



REQUEST FOR PROPOSAL
FOR PROCUREMENT OF EMPANELMENT OF SERVICE PROVIDERS AND
RATE DISCOVERY FOR E-TENDERING, FORWARD AUCTION & REVERSE
AUCTION SERVICES

Ref: SBI/GITC/IT-Partner Relationship/2024/2025/1284
21/02/2025

IT-Partner Relationship Department
State Bank of India
Belapur Railway Station Building
Global IT Centre
Navi Mumbai-400614

1. SCHEDULE OF EVENTS

SI No	Particulars	Remarks
1	Contact details of issuing department (Name, Designation, Mobile No., Email and office address for sending any kind of correspondence regarding this RFP)	<p>1. Name: Mrs Sanchita Banerjee Designation: Asstt. General Manager Email ID: agmit2.pr@sbi.co.in Contact Address: IT-PR Department State Bank Global IT Centre, CBD Belapur, Navi Mumbai-400614 Contact Number:8003444220</p> <p>2. Name: Mr Om Prakash Mishra Designation: Chief Manager Email ID: om.m@sbi.co.in Contact Address: IT-PR Department State Bank Global IT Centre, CBD Belapur, Navi Mumbai-400614 Contact Number: 8795680180</p>
2	Bid Document Availability including changes/amendments, if any to be issued	RFP may be downloaded from Bank's website https://www.sbi.co.in or https://www.bank.sbi procurement news from 21.02.2025 to 15.03.2025
3	Last date for requesting clarification	Upto 2:00 PM on 28.02.2025 All communications regarding points / queries requiring clarifications shall be given in e-mail id: agmit2.pr@sbi.co.in
4	Pre - bid Meeting at (venue)	From 4:00 PM to 5:00 PM on 28.02.2025 through online meeting.
5	Clarifications to queries raised at pre-bid meeting will be provided by the Bank.	On 05.03.2025

6	Last date and time for Bid submission	Upto 2:00 P.M on 15.03.2025
7	Address for submission of Bids	<p>Assistant General Manager IT- Partner Relationships Department, State Bank of India, Global IT Centre, 4th Floor, Tower No.7, Belapur Railway Station Building, CBD Belapur, Navi Mumbai 400614</p> <p>Email id: agmit2.pr@sbi.co.in</p>
8	Date and Time of opening of Technical Bids	<p>04:00 P.M on 15.03.2025 Authorized representatives of Bidders may be present during opening of the Technical Bids. However, Technical Bids would be opened even in the absence of any or all of Bidders representatives.</p>
9	Opening of Price Bids	<p>Price bid of technically qualified bidders only will be opened on a subsequent date. Technically qualified bids are to be opened in presence of authorized representatives of the bidders. However, Price Bids would be opened even in the absence of any or all of Bidders representatives.</p>
11	Tender Fee	<p>Rs.10,000/- (Rupees Ten Thousand Only) Amount should be deposited in Account Name: Subsidy Inward Remittance Account No: 4897932113433 IFSC: SBIN0011343 Branch: OAD, GITC, Belapur Mode of transaction: NEFT only</p>

		<p>2.Account Name: System Suspense Branch Parking A/c Account No.:37608352111 IFSC: SBIN0011343 Branch: OAD, GITC, Belapur Mode of transaction: RTGS and intrabank transfer (SBI to SBI only)</p> <p>Tender fee will be non-refundable.</p>
12	Earnest Money Deposit	<p>Rs.1,00,000/-(Rupees One Lakh only)</p> <p>Amount should be deposited in 1 Account Name: Subsidy Inward Remittance Account No.: 4897932113433 IFSC: SBIN0011343 Branch: OAD, GITC, Belapur Mode of Transaction- NEFT only.</p> <p>2. Account Name: System Suspense Branch Parking A/C Account: No. 37608352111 IFSC: SBIN0011343 Branch: OAD, GITC, Belapur Mode of Transaction- intra-bank transfer (SBI to SBI only)</p> <p>EMD shall be valid upto 180 days from bid submission date. Bidder should deposit EMD and Tender Fee separately.</p>
13	Bank Guarantee	<p>Rs.5,00,000/(Rupees Five Lakh Only)</p> <p>Performance Security in form of BG should be valid for three year(s) and three months from the effective date of the Contract.</p>

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2. INVITATION TO BID:

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

have the necessary experience, capability & expertise to provide SBI the proposed **Services** adhering to Bank's requirements outlined in this RFP.

3. DISCLAIMER:

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

purchase order and/or its acceptance thereof by the successful Bidder as defined in Award Criteria and Award of Contract in this RFP.

4. DEFINITIONS:

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

- i. **“The Bank”** ‘means the State Bank of India (including domestic branches and foreign offices), Subsidiaries and Joint Ventures, where the Bank has ownership of more than 50% of voting securities or the power to direct the management and policies of such Subsidiaries and Joint Ventures.
- ii. **“Bidder/Channel Partner”** means an eligible entity/firm submitting the Bid in response to this RFP.
- iii. **“Bid”** means the written reply or submission of response to this RFP.
- iv. **“The Contract/Agreement”** means the agreement entered into between the Bank and Service Provider, as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein.
- v. **“Vendor/Service Provider”** is the successful Bidder found eligible as per eligibility criteria set out in this RFP, whose technical Bid has been accepted and who has emerged as L1) Bidder as per the selection criteria set out in the RFP and to whom notification of award has been given by the Bank.
- vi. **Event”** means e-Tendering, Forward Auction and Reverse Auction.
- vii. **“Per Event Price/ Per Event Cost”** means the price payable to the Vendor under the Contract for conducting any of the Events as specified in this RFP through its Application Service Platform.
- viii. **“Software Solution/ Application Service Platform”** – means application service platform to be provided by Service Provider to the Bank and/or its customer/Vendor who wishes to participate in any Event through Service Providers’ Application Service Platform
- ix. **“Services”** means all services, scope of work and deliverables to be provided by a Bidder as described in the RFP and include provision of

technical assistance, training, certifications, auditing and other obligation of Service Provider covered under this RFP.

- x. **Intellectual Property Rights** "shall mean, on a worldwide basis, any and all: (a) rights associated with works of authorship, including copyrights & moral rights; (b) Trade Marks; (c) trade secret rights; (d) patents, designs, algorithms and other industrial property rights; (e) other intellectual and industrial property rights of every kind and nature, however designated, whether arising by operation of law, Contract, license or otherwise; and (f) registrations, initial applications, renewals, extensions, continuations, divisions or reissues thereof now or hereafter in force (including any rights in any of the foregoing).

- xi. **Deliverables/ Work Product**" shall mean all work product generated by Service Provider solely or jointly with others in the performance of the Services, including, but not limited to, any and all information, notes, reports, material, drawings, records, diagrams, formulae, processes, technology, firmware, software, know-how, designs, ideas, discoveries, inventions, improvements, copyrights, trademarks, trade secrets and other Intellectual Property Rights.

5. SCOPE OF WORK:

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

6. ELIGIBILITY AND TECHNICAL CRITERIA:

- i. Bid is open to all Bidders who meet the eligibility and technical criteria as given in **Appendix-B, B1 & Appendix-C** of this document. The Bidder has to submit the documents substantiating eligibility criteria as mentioned in this RFP document.
 - (a) If any Bidder submits Bid on behalf of Principal//OSP (Original Service Provider), the same Bidder shall not submit a Bid on behalf of another Principal/OSP under the RFP. Bid submitted with option of multiple OSPs shall also be considered bid submitted on behalf of multiple OSP.

 - (b) Either the Bidder on behalf of Principal/OSP or Principal/OSP itself is allowed to Bid, however both cannot Bid simultaneously.

7. COST OF BID DOCUMENT:

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

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

- i. Bidder requiring any clarification on RFP may notify the Bank in writing strictly as per the format given in **Appendix-L** at the address/by e-mail within the date/time mentioned in the Schedule of Events.
- ii. A pre-Bid meeting will be held online on the date and time specified in the Schedule of Events which may be attended by the authorized representatives of the Bidders interested to respond to this RFP.
- iii. The queries received (without identifying source of query) and response of the Bank thereof will be posted on the Bank's website or conveyed to the Bidders.
- iv. The Bank reserves the right to amend, rescind or reissue the RFP, at any time prior to the deadline for submission of Bids. The Bank, for any reason, whether, on its own initiative or in response to a clarification requested by a prospective Bidder, may modify the RFP, by amendment which will be made available to the Bidders by way of corrigendum/addendum. The interested parties/Bidders are advised to check the Bank's website regularly till the date of submission of Bid document specified in the Schedule of Events/email and ensure that clarifications / amendments issued by the Bank, if any, have been taken into consideration before submitting the Bid. Such amendments/clarifications, if any, issued by the Bank will be binding on the participating Bidders. Bank will not take any responsibility for any such omissions by the Bidder. The Bank, at its own discretion, may extend the deadline for submission of Bids in order to allow prospective Bidders a reasonable time to prepare the Bid, for taking the amendment into account.

Nothing in this RFP or any addenda/corrigenda or clarifications issued in connection thereto is intended to relieve Bidders from forming their own opinions and conclusions in respect of the matters addresses in this RFP or any addenda/corrigenda or clarifications issued in connection thereto.

- v. No request for change in commercial/legal terms and conditions, other than what has been mentioned in this RFP or any addenda/corrigenda or clarifications issued in connection thereto, will be entertained and queries in this regard, therefore will not be entertained.
- vi. Queries received after the scheduled date and time will not be responded/acted upon.

9. CONTENTS OF BID DOCUMENT:

- i. The Bidder must thoroughly study/analyse and properly understand the contents of this RFP, its meaning and impact of the information contained therein.
- ii. Failure to furnish all information required in this RFP or submission of Bid not responsive to this RFP in any respect will be at the Bidder's risk and responsibility and the same may finally result in rejection of its Bid. The Bank has made considerable effort to ensure that accurate information is contained in this RFP and is supplied solely as guidelines for Bidders.
- iii. The Bid prepared by the Bidder, as well as all correspondences and documents relating to the Bid exchanged by the Bidder and the Bank and supporting documents and printed literature shall be submitted in English.
- iv. The information provided by the Bidders in response to this RFP will become the property of the Bank and will not be returned. Incomplete information in Bid document may lead to non-consideration of the proposal.
- v. Nothing in this RFP or any addenda/corrigenda or clarifications issued in connection thereto, is intended to relieve Bidders from forming their own opinions and conclusions in respect of the matters contained in RFP and its addenda, if any.

10. EARNEST MONEY DEPOSIT (EMD):

- i. The Bidder shall furnish EMD for the amount and validity period mentioned

in Schedule of Events of this RFP.

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

11. BID PREPARATION AND SUBMISSION:

- i. The Bid is to be submitted separately for technical and Price bid in a sealed envelope in physical form to the Bank at the address specified in the “Schedule of Events” within the bid submission date and time for the RFP for **providing of Empanelment of Service Providers and Rate Discovery for e-Tendering, forward Auction and Reverse Auction Services** in response to the RFP No. _____ dated _____. Documents mentioned below are to be submitted with the signature of authorised signatory:
- (a) Index of all the documents, letters, bid forms etc. submitted in response to RFP along with page numbers.
 - (b) Bid covering letter/Bid form on the lines of **Appendix-A** on Bidder’s letter head.
 - (c) Proof of remittance of EMD and Tender Fee as specified in this document.
 - (d) Specific response with supporting documents in respect of Eligibility Criteria as mentioned in **Appendix-B, B1** and technical eligibility criteria on the lines of **Appendix-C**.
 - (e) Bidder’s details as per **Appendix-D** on Bidder’s letter head.
 - (f) Audited financial statement and profit and loss account statement as mentioned in Part-II.
 - (g) A copy of board resolution along with copy of power of attorney (POA wherever applicable) showing that the signatory has been duly authorized to sign the Bid document.
 - (h) If applicable, copy of registration certificate issued by competent authority as mentioned in SI No 2 of Eligibility Criteria under Appendix-B.
- ii. **Price Bid** for providing of procurement of Empanelment of Service Providers and Rate Discovery for e-Tendering, Forward Auction and Reverse Auction Services in response to the **RFP No. SBI/GITC/IT-Partner Relationship/2024/2025/1284** dated **21/02/2025** should contain only Price Bid strictly on the lines of **Appendix-F**. The Price must include all the price components mentioned. Prices are to be quoted in Indian Rupees only. Price bid is to be submitted in a sealed envelope in physical form to the Bank at the address specified in the “Schedule of Events” within the bid submission date and time
- iii. **Bidders may please note:**

- (a) The Bidder should quote for the entire package on a single responsibility basis (consortium bidding not allowed) for Services specified in the RFP.
- (b) While submitting the Technical Bid, literature on the Services should be segregated and kept together in one section.
- (c) Care should be taken that the Technical Bid shall not contain any price information. Such proposal, if received, will be rejected.
- (d) The Bid document shall be complete in accordance with various clauses of the RFP document, or any addenda/corrigenda or clarifications issued in connection thereto, duly signed by the authorized representative of the Bidder and stamped with the official stamp of the Bidder. Board resolution authorizing representative to Bid and make commitments on behalf of the Bidder is to be attached.
- (e) It is mandatory for all the Bidders to have class-III Digital Signature Certificate (DSC) (in the name of person who will sign the Bid) from any of the licensed certifying agency. DSC should be in the name of the authorized signatory. It should be in corporate capacity (that is in Bidder capacity).
- (f) Bids are liable to be rejected if only one Bid (i.e. Technical Bid or Price Bid) is received.
- (g) If deemed necessary, the Bank may seek clarifications on any aspect from the Bidder. However, that would not entitle the Bidder to change or cause any change in the substances of the Bid already submitted or the price quoted.
- (h) The Bidder may also be asked to give presentation for the purpose of clarification of the Bid.
- (i) The Bidder must provide specific and factual replies to the points raised in the RFP.
- (j) The Bid shall be typed or written and shall be digitally signed by the Bidder or a person or persons duly authorized to bind the Bidder to the Contract.
- (k) All the enclosures (Bid submission) shall be serially numbered.
- (l) Bidder(s) should prepare and submit their Bids well in advance before the prescribed date and time to avoid any delay or problem during the bid submission process. The Bank shall not be held responsible for any sort of delay or the difficulties faced by the Bidder(s) during the submission of Bids.
- (m) Bidder(s) should ensure that the Bid documents submitted should be free from virus and if the documents could not be opened, due to virus or otherwise, during Bid opening, the Bid is liable to be rejected.
- (n) Prices quoted by the Bidder shall remain fixed for the period specified in Part II of this document and shall not be subjected to variation on any

account, including exchange rate fluctuations. A Bid submitted with an adjustable price quotation will be treated as non-responsive and will be rejected.

- (o) Technical and Price Bid in separate envelope shall be addressed to the Bank and delivered at the address given in Schedule of Event of this RFP and should have name and address of the Bidder on the cover
- (p) The Bank reserves the right to reject Bids not conforming to above.

12. DEADLINE FOR SUBMISSION OF BIDS:

- i. Technical and Price Bids must be submitted separately and sealed in separate envelope and mark as Price Bid and Technical Bid in response to the RFP No. **SBI/GITC/IT-Partner Relationship/2024/2025/1284** dated 21/02/2025. at the Bank's address given in Schedule of Event of this RFP and should have name and address of the Bidder on the cover by the date and time mentioned in the "Schedule of Events".
- ii. Wherever applicable, the Bidder shall submit the proof of EMD and Tender fee together with their respective enclosures and seal it in an envelope and mark the envelope as "Technical Bid". The said envelope shall clearly bear the name of the project and name and address of the Bidder. In addition, the last date for bid submission should be indicated on the right and corner of the envelope. The original documents should be submitted within the bid submission date and time for the RFP at the address mentioned in the Schedule of Events, failing which Bid will be treated as non-responsive.
- iii. In the event of the specified date for submission of Bids being declared a holiday for the Bank, the Bids will be received upto the appointed time on the next working day.
- iv. In case the Bank extends the scheduled date of submission of Bid document, the Bids shall be submitted by the time and date rescheduled. All rights and obligations of the Bank and Bidders will remain the same.
- v. Price Bid received after the deadline for submission of Bids, will be rejected and returned unopened to the Bidder.

13. MODIFICATION AND WITHDRAWAL OF BIDS:

- i. The Bidder may modify or withdraw its Bid after the Bid's submission, provided modification, including substitution or withdrawal of the Bids, is

received at the address mentioned in the schedule of events, prior to the deadline prescribed for submission of Bids.

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

14. PERIOD OF BID VALIDITY

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

15. BID INTEGRITY:

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

16. BIDDING PROCESS/OPENING OF TECHNICAL BIDS:

- i. All the technical Bids received up to the specified time and date will be

opened for initial evaluation on the time and date mentioned in the schedule of events. The technical Bids will be opened in the presence of representatives of the Bidders who choose to attend the same at the address mentioned in the Schedule of Event.. However, Bids may be opened even in the absence of representatives of one or more of the Bidders.

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

17. TECHNICAL EVALUATION:

- i. Technical evaluation will include technical information submitted as per technical Bid format, demonstration of proposed Services, reference calls and site visits, wherever required. The Bidder may highlight the

noteworthy/superior features of their Services. The Bidder will demonstrate/substantiate all claims made in the technical Bid along with supporting documents to the Bank, the capability of the Services to support all the required functionalities at their cost in their lab or those at other organizations where similar Services is in use.

ii. During evaluation and comparison of Bids, the Bank may, at its discretion ask the Bidders for clarification on the Bids received. The request for clarification shall be in writing and no change in prices or substance of the Bid shall be sought, offered or permitted. No clarification at the initiative of the Bidder shall be entertained after bid submission date.

iii. The evaluation will also take into account:

a. Software Solution/ services/Application Service Platform offered by the Bidder to any scheduled commercial bank or PSUs in India. The Bidder should furnish the details.

b. Does the proposed Application Service Platform handles the projected volumes and offers a proven solution to meet the requirements.

c. Does the Application Service Platform offered by the Bidder is a complete system as a project and has not integrated with third party solutions.

d. Upgradation (s) assurance by the Bidder as per requirement of the Bank for the duration of the project. In case of upgradations, the Bank will have right to renegotiate the rates (depending upon prevailing rates) and go in for higher configurations (as per technological developments at that time).

e. Capability of the proposed solution/Application Service Platform to meet future requirements outlined in the RFP.

f. Support on open platforms and solution based on latest technology (both software and hardware).

g. Bidder support facilities: Support requirement like online support/ email support/ offline support, time period. Bidder will support the Bank as required in peak days of business (month-end and start)

18. EVALUATION OF PRICE BIDS AND FINALIZATION:

i. The Price Bid(s) of only those Bidders, who are short-listed after technical evaluation, would be opened.

ii. Price bids are to be opened in the presence of technically qualified bidders, who are willing to attend the bid opening, at a date, time and place communicated to such bidders. However, presence of bidders is not mandatory for opening of price bids.

- iii. The Bidders are required to provide price confirmation on the lines of Appendix-F.
- iv. Based on the price quoted in Price Bid against each Event/item, Event-wise lowest Bidder (L1) and price will be decided by the Bank. An offer will be made to all other technically qualified Bidder(s), who have also quoted for the respective Event(s) to match the price of L1 Bidder for that Event.
- v. Event-wise L1 Bidder is required to provide price confirmation and price breakup strictly on the lines of **Appendix-F** within 48 hours of notification by the Bank, failing which Bank may take appropriate action. Bidder(s) to whom an offer is made in accordance with award criteria clause shall also be required to provide confirmation to match price discovered for L1 Bidder for respective Event within 48 hours of such offer.
- vi. Errors, if any, in the price breakup format will be rectified as under:
 - (a) If the unit price quoted in words and figures differs, then the unit price quoted in words shall be taken as correct.

19. CONTACTING THE BANK:

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

20. AWARD CRITERIA AND AWARD OF CONTRACT:

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

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

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

(b) If L1 bid is not a 'Class-I local supplier', 50% of the order quantity shall be awarded to L1. Thereafter, the lowest bidder among the 'Class-I local supplier', will be invited to match the L1 price for the remaining 50% quantity subject to the Class-I local supplier's quoted price falling within the margin of purchase preference, and contract for that quantity shall be awarded to such 'Class-I local supplier' subject to matching the L1 price. In case such lowest eligible 'Class-I local supplier' fails to match the L1 price or accepts less than the offered quantity, the next higher 'Class-I local supplier' within the margin of purchase preference shall be invited to match the L1 price for remaining quantity and so on, and contract shall be awarded accordingly. In case some quantity is still left uncovered on Class-I local suppliers, then such balance quantity may also be ordered on the L1 bidder.

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

“Local content” means the amount of value added in India which shall, unless otherwise prescribed by the Nodal Ministry, be the total value of the item procured (excluding net domestic indirect taxes) minus the value of imported content in the item (including all customs duties) as a proportion of the total value, in percent.

“Class-I local supplier” means a supplier or service provider whose product or service offered for procurement meets the minimum local content as prescribed for 'Class-I local supplier' hereunder.

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

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

“Minimum Local content” for the purpose of this RFP, the 'local content' requirement to categorize a supplier as 'Class-I local supplier' is minimum

50%. For 'Class-II local supplier', the 'local content' requirement is minimum 20%. If Nodal Ministry/Department has prescribed different percentage of minimum 'local content' requirement to categorize a supplier as 'Class-I local supplier'/ 'Class-II local supplier', same shall be applicable.

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

ii. **Verification of local**

The 'Class-I local supplier'/ 'Class-II local supplier' at the time of submission of bid shall be required to provide self-certification as per **Appendix-G** that the product or service offered meets the minimum local content requirement for 'Class-I local supplier'/ 'Class-II local supplier' as the case may be and shall give details of location(s) at which the local value addition is made

- iii. Bank will notify Event-wise L1 Bidder(s) i.e. L1 and Bidder(s) who matches the price of L1 Bidder in accordance with RFP terms [collectively referred to as Successful Bidder(s)], in writing by way of issuance of rate order through letter or fax/email that its Bid has been accepted. The selected Bidder(s) has/have to return the duplicate copy of the same to the Bank within 7 working days, duly Accepted, Stamped and Signed by Authorized Signatory in token of acceptance. The issuance of purchase order for conducting any Event by the bank shall be subject to service provider's compliance of requirement mentioned in Sl.No. No.33 of Appendix-B1 (Security controls).
- iv. The successful Bidder will have to submit Non-disclosure Agreement, Bank Guarantee for the amount and validity as desired in this RFP and strictly on the lines of format given in Appendix of this RFP together with acceptance of all terms and conditions of RFP.
- v. Copy of board resolution and power of attorney (POA wherever applicable) showing that the signatory has been duly authorized to sign the acceptance letter, contract and NDA should be submitted.
- vi. The successful Bidder shall be required to enter into a Contract with the Bank and submit the Bank Guarantee, within 30 days from issuance of Purchase Order or within such extended period as may be decided by the Bank.

- vii. Till execution of a formal contract, the RFP, along with the Bank's notification of award by way of issuance of purchase order and Service Provider's acceptance thereof, would be binding contractual obligation between the Bank and the successful Bidder.
- viii. The Bank reserves the right to stipulate, at the time of finalization of the Contract, any other document(s) to be enclosed as a part of the final Contract.
- ix. Failure of the successful Bidder to comply with the requirements/terms and conditions of this RFP shall constitute sufficient grounds for the annulment of the award and forfeiture of the EMD and/or BG.
- x. Upon notification of award to the successful Bidder, the Bank will promptly notify the award of contract to the successful Bidder on the Bank's website. The EMD of each unsuccessful Bidder will be discharged and returned.

21. POWERS TO VARY OR OMIT WORK:

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

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

22. WAIVER OF RIGHTS:

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

23. CONTRACT AMENDMENT:

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

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

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

25. BANK GUARANTEE:

- i. Performance security in form of Bank Guarantee [BG] for the amount with validity period as specified in this RFP strictly on the format at **Appendix-H** is to be submitted by the finally selected Bidder (s). The BG has to be issued by a Scheduled Commercial Bank other than SBI and needs to be submitted within the specified time of receipt of formal communication from the Bank about their Bid finally selected. In case, SBI is the sole Banker for the Bidder, a Letter of Comfort from SBI may be accepted.
- ii. The Bank Guarantee is required to protect interest of the Bank against the risk of non-performance of Service Provider in respect of successful implementation of the project and/or failing to perform / fulfil its commitments / obligations in respect of providing Services as mentioned in this RFP; or breach of any terms and conditions of the RFP, which may warrant invoking of Bank Guarantee.

26. SERVICES:

- i. . All professional services necessary to successfully implement the proposed Software Application Service Platform will be part of the RFP/Contract. These services include, but are not limited to, Project Management, Training, Deployment methodologies etc
- ii. The Bidder should also submit as part of technical Bid an overview of Project Management approach of the proposed product.
- iii. Bidder should ensure that Vendor's key personnel with relevant skill-sets are available to the Bank.
- iv. Bidder / Service Provider should ensure that the quality of methodologies for delivering the services, adhere to quality standards/timelines stipulated therefor.
- v. Bidder shall be willing to transfer skills to relevant personnel from the Bank, by means of training and documentation.
- vi. Bidder shall provide and implement patches/ upgrades/ updates for hardware/ software/ Operating System / Middleware etc as and when released by the Vendor/ OEM/OSP or as per requirements of the Bank. Bidder should bring to notice of the Bank all releases/ version changes.
- vii. Bidder shall obtain a written permission from the Bank before applying any of the patches/ upgrades/ updates. Bidder has to support older versions of the hardware/ software/ Operating System/Middleware etc in case the Bank chooses not to upgrade to latest version

- viii. Bidder shall provide legally valid Software Application Service Platform. The detailed information on license count and type of license shall also be provided to the Bank.
- ix. Bidder / Service Provider support staff should be well trained to effectively handle queries raised by the customers/employees of the Bank.
- x. Updated escalation matrix shall be made available to the Bank once in each quarter and each time the matrix gets changed.

27. PENALTIES:

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

28. RIGHT TO VERIFICATION:

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

29. Purchase Price:

- i. The prices have to be quoted in the format provided in **Annexure F**.
- ii. Bidders should ensure that exchange rate fluctuations, changes in import duty/other taxes should not affect the rupee value of Price Bid over the validity period defined in this RFP.
- iii. The applicable TDS will be deducted at the time of payment of invoices.
- iv. Terms of payment are given in Part-II of this RFP document.
- v. Prices payable to the Vendor as stated in the Contract shall be firm and not subject to adjustment during performance of the Contract, irrespective of reasons whatsoever, including exchange rate fluctuations, any upward revision in duties, charges, etc.
- vi. The Bidder will pass on to the Bank, all fiscal benefits arising out of reductions, if any, in Government levies viz. sales tax, excise duty, custom duty, etc. or the benefit of discounts if any announced in respect of the cost of the items for which orders have been placed during that period.

30. COMPLIANCE WITH IS SECURITY POLICY INSPECTION AND QUALITY CONTROL TESTS

- i. The Bank reserves the right to carry out Site inspection by a team of Bank officials or demand a demonstration of the Services on a representative model at Bidder's place.
- ii. The Inspection and Quality Control tests before evaluation, at Site and at the time of final acceptance would be as follows:
- iii. In the event of the Software Application Service Platform failing to pass the acceptance test, as per the specifications given, a period not exceeding two weeks will be given to rectify the defects and clear the acceptance test, failing which, the Bank reserves the right to cancel the Purchase Order.
- iv. Nothing stated herein above shall in any way release the Vendor from any warranty or other obligations under this Contract.
- v. The Bank's right to inspect, test the Application Service Platform and where necessary reject the same which does not meet the specification provided by the Bank. This shall in no way be limited or waived by reason of the Application Service Platform having previously being inspected, tested and passed by the Bank or its representative.
- vi. Nothing stated hereinabove shall in any way release the Vendor from any warranty or other obligations under this Contract.
- vii. User Acceptance testing will be carried out as per requirement of the Bank.

31. Compliance with IS Security Policy:

- i. The Vendor shall have to comply with Bank's IT & IS Security policy in key concern areas relevant to the RFP, details of which will be shared with the finally selected Bidder. Some of the key areas are as under:
 - a. Responsibilities for data and application privacy and confidentiality
 - b. Responsibilities on system and software access control and administration
 - c. Custodial responsibilities for data, software, hardware and other assets of the Bank being managed by or assigned to the Vendor
 - d. Physical Security of the facilities
 - e. Physical and logical separation from other customers of the Vendor
 - f. Incident response and reporting procedures

- g. Password Policy of the Bank
- h. Data Encryption/Protection requirements of the Bank.
- i. In general, confidentiality, integrity and availability must be ensured.

32. RIGHT TO AUDIT:

- i. The Selected Bidder (Service Provider) shall be subject to annual audit by internal/ external Auditors appointed by the Bank/ inspecting official from the Reserve Bank of India or any regulatory authority, covering the risk parameters finalized by the Bank/ such auditors in the areas of products (IT hardware/ Software) and services etc. provided to the Bank and Service Provider is required to submit such certification by such Auditors to the Bank. Service Provider and or his / their outsourced agents / sub – contractors (if allowed by the Bank) shall facilitate the same The Bank can make its expert assessment on the efficiency and effectiveness of the security, control, risk management, governance system and process created by Service Provider. Service Provider shall, whenever required by the Auditors, furnish all relevant information, records/data to them. All costs for such audit shall be borne by the Bank. Except for the audit done by Reserve Bank of India or any statutory/regulatory authority, the Bank shall provide reasonable notice not less than 7 (seven) days to Service Provider before such audit and same shall be conducted during normal business hours.
- ii. Where any deficiency has been observed during audit of Service Provider on the risk parameters finalized by the Bank or in the certification submitted by the Auditors, Service Provider shall correct/resolve the same at the earliest and shall provide all necessary documents related to resolution thereof and the auditor shall further certify in respect of resolution of the deficiencies. The resolution provided by Service Provider shall require to be certified by the Auditors covering the respective risk parameters against which such deficiencies have been observed.
- iii. Service Provider further agrees that whenever required by the Bank, it will furnish all relevant information, records/data to such auditors and/or inspecting officials of the Bank/Reserve Bank of India and/or any regulatory authority(ies). The Bank reserves the right to call for and/or retain any relevant information /audit reports on financial and security review with their findings undertaken by Service Provider. However, Service Provider shall

not be obligated to provide records/data not related to Services under the Agreement (e.g. internal cost breakup etc.).

- iv. Service Provider shall grant unrestricted and effective access to a) data related to the Services; b) the relevant business premises of the Service Provider; subject to appropriate security protocols, for the purpose of effective oversight use by the Bank, their auditors, regulators and other relevant Competent Authorities, as authorised under law.

33. SUBCONTRACTING:

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

34. VALIDITY OF AGREEMENT:

The Agreement/ SLA will be valid for the period of three-year(s) from its effective date subject to annual review by the bank at Bank's dis creation.. The Bank reserves the right to terminate the Agreement as per the terms of RFP/ Agreement.

35. LIMITATION OF LIABILITY:

- i. The maximum aggregate liability of Service Provider, subject to below mentioned sub-clause¹ (iii), in respect of any claims, losses, costs or damages arising out of or in connection with this RFP/Agreement shall not exceed Rs. 5,00,000.00 or total amount paid to Service Provider in respective year under which such claims rise, whichever is greater.
- ii. Under no circumstances shall either Party be liable for any indirect, consequential or incidental losses, damages or claims including loss of profit, loss of business or revenue.
- iii. The limitations set forth herein shall not apply with respect to:
 - (a) claims that are the subject of indemnification pursuant to infringement of third party Intellectual Property Right;
 - (b) damage(s) occasioned by the Gross Negligence or Willful Misconduct of Service Provider,
 - (c) damage(s) occasioned by Service Provider for breach of Confidentiality Obligations,

- (d) Regulatory or statutory fines imposed by a Government or Regulatory agency for non-compliance of statutory or regulatory guidelines applicable to the Bank, provided such guidelines were brought to the notice of Service Provider.

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

36. CONFIDENTIALITY:

Confidentiality obligation shall be as per non-disclosure agreement and clause 14 of Service Level Agreement placed as Appendix to this RFP.

The Bank reserves its right to recall all the Bank’s materials including Confidential Information, if stored in Service Provider system or environment, at any time during the term of the Contract or immediately upon expiry or termination of Contract. Service Provider shall ensure complete removal of such material or data from its system or environment (including backup media) to the satisfaction of the Bank.

37. DELAY IN SERVICE PROVIDER’S PERFORMANCE:

- i. Services shall be made by Service Provider within the timelines prescribed in part II of this document.
- ii. If at any time during performance of the Contract, Service Provider should encounter conditions impeding timely delivery and performance of Services, Service Provider shall promptly notify the Bank in writing of the fact of the

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

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

38. SERVICE PROVIDER'S OBLIGATIONS:

- i. Service Provider is responsible for and obliged to conduct all contracted activities in accordance with the Contract using state-of-the-art methods and economic principles and exercising all means available to achieve the performance specified in the Contract.
- ii. Service Provider is obliged to work closely with the Bank's staff, act within its own authority and abide by directives issued by the Bank from time to time and complete implementation activities.
- iii. Service Provider will abide by the job safety measures prevalent in India and will free the Bank from all demands or responsibilities arising from accidents or loss of life, the cause of which is Service Provider's negligence. Service Provider will pay all indemnities arising from such incidents and will not hold the Bank responsible or obligated.
- iv. Service Provider is responsible for activities of its personnel or sub-contracted personnel (where permitted) and will hold itself responsible for any misdemeanours.
- v. Service Provider shall treat as confidential all data and information about the Bank, obtained in the process of executing its responsibilities, in strict confidence and will not reveal such information to any other party without prior written approval of the Bank as explained under 'Non-Disclosure Agreement' in **Appendix-K** of this RFP.
- vi. Without the Bank's prior written permission, Service Provider shall not store or share Bank's materials including Confidential Information outside the geographical boundary of India or in/with a public cloud.

- vii. Service Provider agrees that the Bank either itself or through its authorized representative shall have right to perform ethical hacking on public IPs and URLs of Service Provider, wherein the Bank has integrations.
- viii. Service Provider agrees that it shall communicate to the Bank well in advance along with detail plan of action, if any changes in Service Provider's environment/infrastructure is of the nature that may have direct or indirect impact on the Services provided under this Agreement or operations of its Services.
- ix. Service Provider at its own expenses, agrees to provide audit report of the process and infrastructure from CERT-In empanelled ISSP, periodically, at least once in a year or as requested by the Bank.
- x. Service Provider shall report the incidents, including cyber incidents and those resulting in disruption of service and data loss/ leakage immediately but not later than one hour of detection.
- xi. The Service Provider shall execute Data Processing Agreement on the format attached as Appendix-P to this RFP.
- xii. The Service Provider agrees to comply with the obligations arising out of the Digital Personal Data Protection Act, 2023, as and when made effective. Any processing of Personal Data by the Service Providers in the performance of this Agreement shall be in compliance with the above Act thereafter. The Service Provider shall also procure that any sub-contractor (if allowed) engaged by it shall act in compliance with the above Act, to the extent applicable. The Service Provider understands and agrees that this agreement may have to be modified in a time bound manner to ensure that the provisions contained herein are in compliance with the above Act.
- xiii. Service Provider shall ensure confidentiality, integrity and availability of the Bank's information at all times and shall comply with regard to the followings:
 - (a) Acceptable Usage Policy: Information assets of Service Provider should be provided to its authorized users only for the intended purpose and users shall adhere to safe and acceptable usage practices.
 - (b) Email Usage: The employees of Service Provider shall use authorized media only for email communication.

- (c) Password Management: Service Provider shall have a password management system in place, which ensures secure passwords.
- (d) Physical and Environmental Security: Service Provider shall provide sufficient guidance for its employees with respect to physical and environmental security.
- (e) Logical Access Control and User Access Management: The access to information and information systems shall be according to the principles of "least privilege" and "need to know" basis to authorized users of Service Provider.
- (f) Infrastructure Security: Service Provider shall ensure correct and secure operations of information processing facilities.
- (g) Change Management: Service Provider shall provide a managed and orderly method in which changes to the information technology environment are requested, tested and approved prior to installation or implementation.
- (h) Information Security Incident Management: Service provider shall ensure effective management of information security incidents, including the preservation of digital evidence.
- (i) Communications Strategy: Service provider shall ensure prevention of unauthorized access to communications traffic, or to any written information that is transmitted or transferred.
- (j) Service Provider Relationship: Service provider shall ensure that information security risks related to outsourcing of Services to any other party, if permitted by the Bank, shall be assessed and managed regularly, to the satisfaction of the Bank.
- (k) Digital Risk: Service Provider shall ensure that electronic data is gathered and preserved in a systematic, standardized and legal manner to ensure the admissibility of the evidence for the purpose of any legal proceedings or investigations, whenever demanded by the Bank.
- (l) Change Management: Service Provider shall provide a managed and orderly method in which changes to the information technology environment (including, database, operating system, application, networking etc.) are requested, tested and approved prior to installation or implementation.
- (m) Port Management: Service Provider shall ensure that the controls are implemented for secure port management so as to protect the network from unauthorized access.
- (n) Patch Management: Service Provider shall ensure that the security patches to information assets and systems are correctly and completely updated in a timely manner for known vulnerabilities.

- (o) Backup Management: Service Provider shall ensure that regular backup is taken so that when necessary, information may be restored from backup media to return the application, database, operating system etc. to production status.
- (p) Access Management: Service Provider shall limit access to information and information processing facilities for authorized users only.
- (q) Log Management: Logging shall be enabled on all systems of Service Provider to ensure audit trail is maintained every time.
- (r) Service Provider shall have an anti-virus solution with regular updates to protect their system against malicious attacks in the form of virus, malware, trojans etc.

39. TECHNICAL DOCUMENTATION:

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

40. INTELLECTUAL PROPERTY RIGHTS AND OWNERSHIP:

- i. For any technology / software / product used by Service Provider for performing Services for the Bank as part of this RFP, Service Provider shall have right to use as well as right to license such technology/ software / product. The Bank shall not be liable for any license or IPR violation on the part of Service Provider.

- ii. Without the Bank's prior written approval, Service provider will not, in performing the Services, use or incorporate link to or call or depend in any way upon, any software or other intellectual property that is subject to an Open Source or Copy left license or any other agreement that may give rise to any third-party claims or to limit the Bank's rights under this RFP.
- iii. Subject to below mentioned sub-clause (iv) and (v) of this RFP, Service Provider shall, at its own expenses without any limitation, indemnify and keep fully and effectively indemnified the Bank against all costs, claims, damages, demands, expenses and liabilities whatsoever nature arising out of or in connection with all claims of infringement of Intellectual Property Right, including patent, trademark, copyright, trade secret or industrial design rights of any third party arising from the Services or use of the technology / software / products or any part thereof in India or abroad.
- iv. The Bank will give (a) notice to Service Provider of any such claim without delay/provide reasonable assistance to Service Provider in disposing of the claim; (b) sole authority to defend and settle such claim and; (c) will at no time admit to any liability for or express any intent to settle the claim provided that (i) Service Provider shall not partially settle any such claim without the written consent of the Bank, unless such settlement releases the Bank fully from such claim, (ii) Service Provider shall promptly provide the Bank with copies of all pleadings or similar documents relating to any such claim, (iii) Service Provider shall consult with the Bank with respect to the defense and settlement of any such claim, and (iv) in any litigation to which the Bank is also a party, the Bank shall be entitled to be separately represented at its own expenses by counsel of its own selection.
- v. Service Provider shall have no obligations with respect to any infringement claims to the extent that the infringement claim arises or results from: (i) Service Provider's compliance with the Bank's specific technical designs or instructions (except where Service Provider knew or should have known that such compliance was likely to result in an infringement claim and Service Provider did not inform the Bank of the same); or (ii) any unauthorized modification or alteration of the deliverable (if any) by the Bank.

41. LIQUIDATED DAMAGES:

If Service Provider fails to deliver and perform any or all the Services within

the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, recover from the Service Provider as liquidated damages a sum equivalent to Rs.20,000/ for delay of each week or part thereof maximum up to Rs.100,000/-. Once the maximum deduction is reached, the Bank may consider termination of the Agreement

42. CONFLICT OF INTEREST:

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

persons shall be computed as follows: (aa) where any intermediary is controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the "Subject Person") shall be taken into account for computing the shareholding of such controlling person in the Subject Person; and (bb) subject always to sub-clause (aa) above, where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken on a proportionate basis; provided, however, that no such shareholding shall be reckoned under this sub-clause (bb) if the shareholding of such person in the intermediary is less than 26% of the subscribed and paid up equity shareholding of such intermediary; or

- (b) a constituent of such Bidder is also a constituent of another Bidder; or
 - (c) such Bidder, its Member or any Associate thereof receives or has received any direct or indirect subsidy, grant, concessional loan or subordinated debt from any other Bidder, its Member or Associate, or has provided any such subsidy, grant, concessional loan or subordinated debt to any other Bidder, its Member or any Associate thereof; or
 - (d) such Bidder has the same legal representative for purposes of this Bid as any other Bidder; or
 - (e) such Bidder, or any Associate thereof, has a relationship with another Bidder, or any Associate thereof, directly or through common third party/parties, that puts either or both of them in a position to have access to each other's information about, or to influence the Bid of either or each other; or
 - (f) such Bidder or any of its affiliates thereof has participated as a consultant to the Bank in the preparation of any documents, design or technical specifications of the RFP.
- iii. For the purposes of this RFP, Associate means, in relation to the Bidder, a person who controls, is controlled by, or is under the common control with such Bidder (the "Associate"). As used in this definition, the expression "control" means, with respect to a person which is a company or corporation, the ownership, directly or indirectly, of more than 50% (fifty per cent) of the voting shares of such person, and with respect to a person which is not a company or corporation, the power to direct the management and policies of such person by operation of law or by contract.

43. CODE OF INTEGRITY AND DEBARMENT/BANNING:

- i. The Bidder and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the bidding Process. Notwithstanding anything to the contrary contained herein, the Bank shall reject Bid without being liable in any manner whatsoever to the Bidder if it determines that the Bidder has, directly or indirectly or through an agent, engaged in corrupt/fraudulent/coercive/undesirable or restrictive practices in the bidding Process.
- ii. Bidders are obliged under code of integrity to Suo-moto proactively declare any conflicts of interest (pre-existing or as and as soon as these arise at any stage) in RFP process or execution of contract. Failure to do so would amount to violation of this code of integrity.
- iii. Any Bidder needs to declare any previous transgressions of such a code of integrity with any entity in any country during the last three years or of being debarred by any other procuring entity. Failure to do so would amount to violation of this code of integrity
- iv. For the purposes of this clause , the following terms shall have the meaning hereinafter, respectively assigned to them:
 - (a) **“corrupt practice”** means making offers, solicitation or acceptance of bribe, rewards or gifts or any material benefit, in exchange for an unfair advantage in the procurement process or to otherwise influence the procurement process or contract execution;
 - (b) **“Fraudulent practice”** means any omission or misrepresentation that may mislead or attempt to mislead so that financial or other benefits may be obtained or an obligation avoided. This includes making false declaration or providing false information for participation in a RFP process or to secure a contract or in execution of the contract;
 - (c) **“Coercive practice”** means harming or threatening to harm, persons or their property to influence their participation in the procurement process or affect the execution of a contract;
 - (d) **“Anti-competitive practice”** means any collusion, bid rigging or anti-competitive arrangement, or any other practice coming under the purview of the Competition Act, 2002, between two or more bidders, with or without the knowledge of the Bank, that may impair the

transparency, fairness and the progress of the procurement process or to establish bid prices at artificial, non-competitive levels;

(e) **“Obstructive practice”** means materially impede the Bank’s or Government agencies investigation into allegations of one or more of the above mentioned prohibited practices either by deliberately destroying, falsifying, altering; or by concealing of evidence material to the investigation; or by making false statements to investigators and/or by threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or by impeding the Bank’s rights of audit or access to information;

v. **Debarment/Banning**

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

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

Whenever a Vendor is found lacking in performance, in case of less frequent and less serious misdemeanors, the vendors may be put on a holiday listing (temporary debarment) for a period upto 12 (twelve) months. When a Vendor is on the holiday listing, he is neither invited to bid nor are his bids considered for evaluation during the period of the holiday. The Vendor is, however, not removed from the list of empaneled vendors, if any. Performance issues which may justify holiday listing of the Vendor are:

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

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

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

- Without prejudice to the rights of the Bank under Clause 39" *CODE OF INTEGRITY AND DEBARMENT/BANNING " sub-clause (i)* hereinabove, if a Bidder is found by the Bank to have directly or indirectly or through an agent, engaged or indulged in any corrupt/fraudulent/coercive/undesirable or restrictive practices during the bidding Process, such Bidder shall not be eligible to participate in any EOI/RFP issued by the Bank during a period of 2 (two) years from the date of debarment.
- Vendor fails to abide by the terms and conditions or to maintain the required technical/operational staff/equipment or there is change in its production/service line affecting its performance adversely, or fails to cooperate or qualify in the review for empanelment;
- If Vendor ceases to exist or ceases to operate in the category of requirements for which it is empaneled;
- Bankruptcy or insolvency on the part of the vendor as declared by a court of law; or
- Banning by Ministry/Department or any other Government agency;
- Other than in situations of force majeure, technically qualified Bidder withdraws from the procurement process or after being declared as successful bidder: (i) withdraws from the process; (ii) fails to enter into a Contract; or (iii) fails to provide performance guarantee or any other document or security required in terms of the RFP documents;
- If the Central Bureau of Investigation/CVC/C&AG or Vigilance Department of the Bank or any other investigating agency recommends such a course in respect of a case under investigation;
- Employs a Government servant or the Bank's Officer within two years of his retirement, who has had business dealings with him in an official capacity before retirement; or
- Any other ground, based on which the Bank considers, that continuation of Contract is not in public interest.

- If there is strong justification for believing that the partners/directors/proprietor/agents of the firm/company has been guilty of violation of the code of integrity or Integrity Pact (wherever applicable), evasion or habitual default in payment of any tax levied by law; etc.

(c) Banning from Ministry/Country-wide procurements

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

44. TERMINATION FOR DEFAULT:

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

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

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

- iii. If the Contract is terminated under any termination clause, Service Provider shall handover all documents/ executable/ Bank's data or any other relevant information to the Bank in timely manner and in proper format as per scope of this RFP and shall also support the orderly transition to another vendor or to the Bank.
- iv. During the transition, Service Provider shall also support the Bank on technical queries/support on process implementation.
- v. The Bank's right to terminate the Contract will be in addition to the penalties / liquidated damages and other actions as specified in this RFP.
- vi. In the event of failure of Service Provider to render the Services or in the event of termination of Agreement or expiry of term or otherwise, without prejudice to any other right, the Bank at its sole discretion may make alternate arrangement for getting the Services contracted with another vendor. In such case, the Bank shall give prior notice to the existing Service Provider. The existing Service Provider shall continue to provide services as per the terms of the Agreement until a 'New Service Provider' completely takes over the work. During the transition phase, the existing Service Provider shall render all reasonable assistance to the new Service Provider within such period prescribed by the Bank, at no extra cost to the Bank, for ensuring smooth switch over and continuity of services, provided where transition services are required by the Bank or New Service Provider beyond the term of this Agreement, reasons for which are not attributable to Service Provider, payment shall be made to Service Provider for such additional period on the same rates and payment terms as specified in this Agreement. If existing Service Provider is breach of this obligation, they shall be liable for paying a penalty of **Rs.5,00,000/- (Rupees Five Lakh only)** on demand to the Bank, which may be settled from the payment of invoices or Bank Guarantee for the contracted period or by invocation of Bank Guarantee.

45. FORCE MAJEURE:

- i. Notwithstanding the provisions of terms and conditions contained in this RFP, neither party shall be liable for any delay in in performing its obligations herein if and to the extent that such delay is the result of an event of Force Majeure.
- ii. For the purposes of this clause, 'Force Majeure' means and includes wars, insurrections, revolution, civil disturbance, riots, terrorist acts, public strikes,

hartal, bundh, fires, floods, epidemic, quarantine restrictions, freight embargoes, declared general strikes in relevant industries, Vis Major, acts of Government in their sovereign capacity, impeding reasonable performance of Service Provider and / or Sub-Contractor but does not include any foreseeable events, commercial considerations or those involving fault or negligence on the part of the party claiming Force Majeure.

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

46. TERMINATION FOR INSOLVENCY:

The Bank may, at any time, terminate the Contract by giving written notice to Service Provider, if Service Provider becomes Bankrupt or insolvent or any application for bankruptcy, insolvency or winding up has been filed against it by any person. In this event, termination will be without compensation to Service Provider, provided that such termination will not prejudice or affect any right of action or remedy, which has accrued or will accrue thereafter to the Bank.

47. TERMINATION FOR CONVENIENCE:

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

48. DISPUTES RESOLUTION:

- i. All disputes or differences whatsoever arising between the parties out of or in connection with the Contract (including dispute concerning interpretation) or in discharge of any obligation arising out of the Contract (whether during the progress of work or after completion of such work and whether before or after the termination of the Contract, abandonment or breach of the Contract), shall be settled amicably. If, however, the parties are not able to solve them amicably within 30 (Thirty) days after the dispute occurs, as evidenced through the first written communication from any Party notifying the other regarding the disputes, the same shall be referred to and be subject to the jurisdiction of competent Civil Courts of Mumbai only. The Civil Courts in Mumbai, Maharashtra shall have exclusive jurisdiction in this regard.
- ii. Service Provider shall continue work under the Contract during the dispute resolution proceedings unless otherwise directed by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the competent court is obtained.

49. GOVERNING LANGUAGE:

The governing language shall be English.

50. APPLICABLE LAW:

The Contract shall be interpreted in accordance with the laws of the Union of India and shall be subjected to the exclusive jurisdiction of courts at Mumbai.

51. TAXES AND DUTIES:

- i. Service Provider shall be liable to pay all corporate taxes and income tax that shall be levied according to the laws and regulations applicable from time to time in India and the price Bid by Service Provider shall include all such taxes in the quoted price.
- ii. Prices quoted should be exclusive of GST. All other present and future tax /duties, if any applicable and also cost of incidental services such as transportation, road permits, insurance etc. should be included in the price quoted. The quoted prices and taxes/duties and statutory levies such as

GST etc. should be specified in the separate sheet (**Appendix- F**).

- iii. Custom duty as also cost of incidental services such as transportation, road permits, insurance etc. in connection with delivery of products at site including any incidental services and commissioning, if any, which may be levied, shall be borne by Service Provider and the Bank shall not be liable for the same. Only specified taxes/ levies and duties in the **Appendix-F** will be payable by the Bank on actuals upon production of original receipt wherever required. If any specified taxes/ levies and duties in **Appendix-F** are replaced by the new legislation of Government, same shall be borne by the Bank. The Bank shall not be liable for payment of those Central / State Government taxes, levies, duties or any tax/ duties imposed by local bodies/ authorities, which are not specified by the Bidder in **Appendix-F**
- iv. Prices payable to Service Provider as stated in the Contract shall be firm and not subject to adjustment during performance of the Contract, irrespective of reasons whatsoever, including exchange rate fluctuations, any upward revision in Custom duty.
- v. Income / Corporate Taxes in India: The Bidder shall be liable to pay all corporate taxes and income tax that shall be levied according to the laws and regulations applicable from time to time in India and the price Bid by the Bidder shall include all such taxes in the contract price.
- vi. Parties shall fulfil all their respective compliance requirements under the GST law. This shall include (but not be limited to):
 - (a) Bank shall pay GST amount after verifying the details of invoice on GSTR 2B on GSTN portal.
 - (b) In case any credit, refund or other benefit is denied or delayed to the Bank due to any non-compliance of GST Laws by the vendor including but not limited to, failure to upload the details of invoice or any other details of the supply of goods or services, as the case may be, as required under GST Law on the appropriate government's goods and services tax network portal, the failure to pay applicable GST to the Government or due to non-furnishing or furnishing of incorrect or incomplete documents by the party, vendor would reimburse the loss to the Bank including, but not limited to, any tax loss or denial of credit, interest and penalty and reasonable fee for contesting the demand. Amount payable under this clause shall survive irrespective of termination of agreement if the demand pertains to the agreement period.

(c) In case of any tax demand or denial of ITC or refund or any other benefit by the GST authorities, both the parties may mutually decide whether to contest the matter. In case, it is decided to contest the matter, the vendor is required to deposit the disputed demand including interest and penalty proposed with the other party without waiting for the outcome of the legal proceeding. In case the matter is finally decided in favour of the other party, the other party is required to refund the amount received from the defaulting party without any interest.

vii. All expenses, stamp duty and other charges/ expenses in connection with the execution of the Agreement as a result of this RFP process shall be borne by Service Provider. The Agreement/ Contract would be stamped as per Maharashtra Stamp Act, 1958 and any amendment thereto.

52. TAX DEDUCTION AT SOURCE:

- i. Wherever the laws and regulations require deduction of such taxes at the source of payment, the Bank shall effect such deductions from the payment due to Service Provider. The remittance of amounts so deducted and issuance of certificate for such deductions shall be made by the Bank as per the laws and regulations for the time being in force. Nothing in the Contract shall relieve Service Provider from his responsibility to pay any tax that may be levied in India on income and profits made by Service Provider in respect of this Contract.
- ii. Service Provider's staff, personnel and labour will be liable to pay personal income taxes in India in respect of such of their salaries and wages as are chargeable under the laws and regulations for the time being in force, and Service Provider shall perform such duties in regard to such deductions thereof as may be imposed on him by such laws and regulations.
- iii. Bank will deduct TDS at applicable rate while making payment under GST Act 2017 and Income Tax Act 1961.

53. TENDER FEE:

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

54. EXEMPTION OF EMD AND TENDER FEE:

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

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

Bidders may please note:

- i. NSIC certificate/ Udyog Aadhar Memorandum/ Udyam Registration Certificate should cover the items tendered to get EMD/tender fee exemptions. Certificate/ Memorandum should be valid as on due date / extended due date for Bid submission.
- ii. "Start-up" company should enclose the valid Certificate of Recognition issued by Department for Promotion of Industry and Internal Trade (DPIIT), (erstwhile Department of Industrial Policy and Promotion), Ministry of Commerce & Industry, Govt. of India with the technical bid.
- iii. *Start-ups which are not under the category of MSE shall not be eligible for exemption of tender fee.
- iv. Bidder who solely on its own, fulfils each eligibility criteria condition as per the RFP terms and conditions and who are having MSE or Start-up company status, can claim exemption for EMD/ tender fee.
- v. If all these conditions are not fulfilled or supporting documents are not submitted with the technical Bid, then all those Bids without tender fees /EMD will be summarily rejected and no queries will be entertained.



55. NOTICES:

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

RFP for procurement of Empanelment of Service Providers and Rate Discovery for e-Tendering, forward Auction and Reverse Auction Services



Part-II

APPENDIX –A : BID FORM

BID FORM (TECHNICAL BID)

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

Date: _____

To:

Deputy General Manager
IT- Partner Relationships
State Bank of India, Global IT Centre,
4th Floor, Tower No.7, Belapur Railway Building,
CBD Belapur, Navi Mumbai
400614

Dear Sir,

Ref: RFP No. SBI/GITC/IT-Partner Relationship/2024/2025/1284 dated 21/02/2025

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We have examined the above RFP, the receipt of which is hereby duly acknowledged and subsequent pre-bid clarifications/ modifications / revisions, if any, furnished by the Bank and we offer to provide Services detailed in this RFP. We shall abide by the terms and conditions spelt out in the RFP. We shall participate and submit the commercial Bid as per the terms of this RFP, on the date advised to us.

| Sl No. | Events          | Participating (Yes/No) |
|--------|-----------------|------------------------|
| 1.     | E-TENDERING     |                        |
| 2.     | FORWARD AUCTION |                        |
| 3.     | REVERSE AUCTION |                        |

i. While submitting this Bid, we certify that:

- The undersigned is authorized to sign on behalf of the Bidder and the necessary support document delegating this authority is enclosed to this letter.

- We declare that we are not in contravention of conflict of interest obligation mentioned in this RFP.
  - prices submitted by us have been arrived at without agreement with any other Bidder of this RFP for the purpose of restricting competition.
  - The prices submitted by us have not been disclosed and will not be disclosed to any other Bidder responding to this RFP.
  - We have not induced or attempted to induce any other Bidder to submit or not to submit a Bid for restricting competition.
  - We have quoted for all the services/items mentioned in this RFP in our price Bid.
  - The rate quoted in the price Bids are as per the RFP and subsequent pre-Bid clarifications/ modifications/ revisions furnished by the Bank, without any exception.
- ii. We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely "Prevention of Corruption Act 1988".
- iii. We undertake that we will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the Bank, connected directly or indirectly with the bidding process, or to any person, organization or third party related to the contract in exchange for any advantage in the bidding, evaluation, contracting and implementation of the contract.
- iv. We undertake that we will not resort to canvassing with any official of the Bank, connected directly or indirectly with the bidding process to derive any undue advantage. We also understand that any violation in this regard, will result in disqualification of bidder from further bidding process.
- v. It is further certified that the contents of our Bid are factually correct. We have not sought any deviation to the terms and conditions of the RFP. We also accept that in the event of any information / data / particulars proving to be incorrect, the Bank will have right to disqualify us from the RFP without prejudice to any other rights available to the Bank.
- vi. We certify that while submitting our Bid document, we have not made any changes in the contents of the RFP document, read with its amendments/clarifications provided by the Bank.

- vii. We agree to abide by all the RFP terms and conditions, contents of Service Level Agreement as per template available at **Appendix-J** of this RFP and the rates quoted therein for the orders awarded by the Bank up to the period prescribed in the RFP, which shall remain binding upon us.
- viii. On acceptance of our technical **and price** bid, we undertake to **complete the formalities as specified in this RFP**
- ix. Till execution of a formal contract, the RFP, along with the Bank's notification of award by way of issuance of purchase order and our acceptance thereof, would be binding contractual obligation on the Bank and us.
- x. We understand that you are not bound to accept the lowest or any Bid you may receive and you may reject all or any Bid without assigning any reason or giving any explanation whatsoever.
- xi. We hereby certify that our name does not appear in any "Caution" list of RBI / IBA or any other regulatory body for outsourcing activity.
- xii. We hereby certify that on the date of submission of Bid for this RFP, we do not have any past/ present litigation which adversely affect our participation in this RFP or we are not under any debarment/blacklist period for breach of contract/fraud/corrupt practices by any Scheduled Commercial Bank/ Public Sector Undertaking/ State or Central Government or their agencies/departments.
- xiii. We hereby certify that on the date of submission of Bid, we do not have any Service Level Agreement pending to be signed with the Bank for more than 6 months from the date of issue of purchase order.
- xiv. We hereby certify that we have read the clauses contained in O.M. No. 6/18/2019-PPD, dated 23.07.2020 order (Public Procurement No. 1), order (Public Procurement No. 2) dated 23.07.2020 and order (Public Procurement No. 3) dated 24.07.2020 along with subsequent Orders and its amendment thereto regarding restrictions on procurement from a bidder of a country which shares a land border with India. We further certify that we and our OEM/OSP are not from such a country or if from a country, has been registered with competent authority (where applicable evidence of valid certificate to be attached). We certify that we and our OEM/OSP fulfil all the requirements in this regard and are eligible to participate in this RFP.



- xv. If our Bid is accepted, we undertake to enter into and execute at our cost, when called upon by the Bank to do so, a contract in the prescribed form and we shall be solely responsible for the due performance of the contract.
- xvi. We hereby certify that Physical copy of Bid Form (Technical Bids and commercial/Price Bid) along with its enclosures are submitted to the Bank in accordance with Sr. No. 7 of Schedule of Events
- xvii.
- xviii. We, further, hereby undertake and agree to abide by all the terms and conditions stipulated by the Bank in the RFP document.

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

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

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

(In the capacity of)

Duly authorised to sign Bid for and on behalf of

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

**APPENDIX-B : BIDDER'S ELIGIBILITY CRITERIA**

**Bidder's Eligibility Criteria**

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

| <b>S. No.</b> | <b>Eligibility Criteria</b>                                                                                                                                                                                                                                              | <b>Compliance (Yes/No)</b> | <b>Documents to be submitted</b>                                                                                                                                           |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.            | The Bidder must be an Indian Company/ LLP /Partnership firm registered under applicable Act in India.                                                                                                                                                                    |                            | Certificate of Incorporation issued by Registrar of Companies and full address of the registered office along with Memorandum & Articles of Association/ Partnership Deed. |
| 2.            | The Bidder (including its OEM, if any) must comply with the requirements contained in O.M. No. 6/18/2019-PPD, dated 23.07.2020 order (Public Procurement No. 1), order (Public Procurement No. 2) dated 23.07.2020 and order (Public Procurement No. 3) dated 24.07.2020 |                            | Bidder should specifically certify in <b>Appendix A</b> in this regard and provide copy of registration certificate issued by competent authority wherever applicable.     |
| 3.            | The Bidder must have an average turnover of minimum Rs. Five crore during last 03 (three) financial year(s) i.e. FY 2021-22, FY 2022-23 and FY2023-24.                                                                                                                   |                            | Copy of the audited financial statement for required financial years. (Certificate from statutory auditor for preceding/current 2023-24 year may be submitted.)            |
| 4.            | The Bidder should be profitable organization on the basis of profit before tax (PBT) for at least 02 (two) out of last 03 (three) financial years mentioned in para 3 above.                                                                                             |                            | Copy of the audited financial statement along with profit and loss statement for corresponding years and / or Certificate of the statutory auditor.                        |

|    |                                                                                                                                                                                                                                                           |  |                                                                                                                                                                                                                                                                                                                                                                                                                  |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5. | Bidder should have experience of minimum three years in providing the Services.                                                                                                                                                                           |  | Copy of the order and / or Certificate of completion of the work. The Bidder should also furnish user acceptance report.                                                                                                                                                                                                                                                                                         |
| 6. | The Bidder (including its OEM/OSP, if any) should either be Class-I or Class-II local supplier as defined under this RFP.                                                                                                                                 |  | Certificate of local content to be submitted as per <b>Appendix-G</b> .                                                                                                                                                                                                                                                                                                                                          |
| 7. | Client references and contact details (email/ landline/ mobile) of customers for whom the Bidder has executed similar projects in India. (Start and End Date of the Project to be mentioned) in the past (At least three_ client references are required) |  | Bidder should specifically confirm on their letter head in this regard as per <b>Appendix-M</b>                                                                                                                                                                                                                                                                                                                  |
| 8. | Certification Requirements). The proposed Application Service Platform under which the required services are to be provided along with the functionality thereof, must be STQC certified as prescribed by CVC and various Government of India Department  |  | Copy of the Valid STQC Certificate(s) to be provided                                                                                                                                                                                                                                                                                                                                                             |
| 9. | Past/present litigations, disputes, if any (Adverse litigations could result in disqualification, at the sole discretion of the Bank)                                                                                                                     |  | Brief details of litigations, disputes related to product/services being procured under this RFP or infringement of any third party Intellectual Property Rights by prospective Bidder/ OEM or disputes among Bidder's board of directors, liquidation, bankruptcy, insolvency cases or cases for debarment/blacklisting for breach of contract/fraud/corrupt practices by any Scheduled Commercial Bank/ Public |

|     |                                                                                                                                                                                                                                                                                                 |  |                                                                                                                                                             |
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|     |                                                                                                                                                                                                                                                                                                 |  | Sector Undertaking / State or Central Government or their agencies/ departments or any such similar cases, if any are to be given on Company's letter head. |
| 10  | Bidders should not be under debarment/blacklist period for breach of contract/fraud/corrupt practices by any Scheduled Commercial Bank/ Public Sector Undertaking / State or Central Government or their agencies/ departments on the date of submission of bid for this RFP.                   |  | Bidder should specifically certify in <b>Appendix A</b> in this regard.                                                                                     |
| 11. | The Bidder should not have any Service Level Agreement pending to be signed with the Bank for more than 6 months from the date of issue of purchase order.                                                                                                                                      |  | Bidder should specifically certify in <b>Appendix A</b> in this regard.                                                                                     |
| 12  | The bidder, if participating as Channel Partner of any OEM/OSP, then OEM/OSP should have a support center and level 3 escalation (highest) located in India. For OEMs/OSPs, directly participating, the conditions mentioned above for support center remain applicable.                        |  | Bidder should specifically certify in <b>Appendix A</b> in this regard.                                                                                     |
| 13  | The Bidder should have experience of conducting at least 1000 e-Procurement events (e-tender/e-reverse auctions/ e-forward auctions) in private sector / Central or State Government departments or bodies / Public Sector Undertakings (PSU)/ Public Sector Enterprises (PSE)/ Banks in India. |  | Summary of Auctions conducted may be shared along with self-declaration.                                                                                    |
| 14  | The Bidder should have executed minimum 5 Contracts for e-Procurement services with Central                                                                                                                                                                                                     |  | Copy of the purchase orders to be attached                                                                                                                  |

|    |                                                                                                                                                             |  |                                                                                                                                                               |
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|    | or State Government departments / Public Sector Undertakings (PSU)/ Public Sector Enterprises (PSE)/ Banks in India during the last 3 financial years.      |  |                                                                                                                                                               |
| 15 | The Bidder should have a fully functional Call Centre / Help Desk. The process of complaint booking/call logging/domain mail ID should be clearly explained |  | Escalation Matrix and Complaint Resolution Matrix to be submitted with Details/Name/Address of the office/Service Engineers/Mobile Number/Telephone/Mail etc. |

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

**Eligibility criteria mentioned at SI No 3,4, 5,7, 13 and 14 in table above are relaxed for Startups subject to their meeting of quality and technical specifications.**

**Bidder to note the followings:**

- i. Start-up” company should enclose the valid Certificate of Recognition issued by Department for Promotion of Industry and Internal Trade (DPIIT), (erstwhile Department of Industrial Policy and Promotion), Ministry of Commerce & Industry, Govt. of India with the technical bid.
- ii. Bidder who solely on its own, fulfils each eligibility criteria condition as per the RFP terms and conditions and who are having Start-up company status, can claim exemption for eligibility criteria mentioned at SI No 3,4, 5,7, 13 and 14 in table above.
- iii. If all these conditions are not fulfilled or supporting documents are not submitted with the technical Bid, then all those Bids will be summarily rejected, and no queries will be entertained.

**Name & Signature of authorised signatory**

**Seal of Company**



**APPENDIX-B1: SECURITY CONTROLS**

**SECURITY CONTROLS**

In addition to the eligibility criteria defined in Appendix-B, Bidder(s) are also required to comply with the following points and submit their compliance on the same on their letter head along with required evidence. In case of non-compliance of any of the requirement, Bid would be rejected:

| <b>S. No.</b> | <b>Required Controls</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <b>Compliance (Yes/No)</b> | <b>Required Evidence</b>                                                                                                                                                                                                                                               |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1             | Whether Bidder has (Board/ Top Management approved) Information Security (IS) Policy in place with periodic review (minimum annually) by Top Management.                                                                                                                                                                                                                                                                                                                                                                              |                            | Content table/ page of IS Policy and review history page.                                                                                                                                                                                                              |
| 2             | Whether IS Policy is communicated to all employees and does Bidder monitor the compliance of the said policy.                                                                                                                                                                                                                                                                                                                                                                                                                         |                            | Relevant evidence or compliance certificate.                                                                                                                                                                                                                           |
| 3             | Whether Bidder has operational processes (SOP, etc) with periodic review (at least annually) including but not limited to: <ul style="list-style-type: none"> <li>a) Business continuity management</li> <li>b) Backup Management and Restoration Testing</li> <li>c) Desktop/ system/ server/ network device hardening with baseline controls</li> <li>d) Patch management</li> <li>e) Port management</li> <li>f) Media movement</li> <li>g) Log management</li> <li>h) Personnel security</li> <li>i) Physical security</li> </ul> |                            | For organisations with ISO-27001, PCI-DSS, SOC1, SOC2 certification, relevant certification with validity periods needs to be produced.<br>For other organisations, each approved document/ IS Policy (respective contents) needs to be produced with version history. |

|    |                                                                                                                                                                                                   |  |                                                                                                                                                                                                                       |
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|    | <p>j) Internal security assessment processes</p> <p>k) Incident Management</p> <p>l) Regulatory Compliance</p>                                                                                    |  |                                                                                                                                                                                                                       |
| 4  | Whether Bidder's IT environment is suitably protected from external threats by way of firewall, WAF, IDS/IPS, AD, AV, NAC, DLP etc.                                                               |  | Evidence for controls in place.                                                                                                                                                                                       |
| 5  | Whether rules are implemented on Firewalls of the Bidder's environment as per their approved process. Whether Bidder has processes in place to review the Firewalls periodically.                 |  | Approved Process of Firewall Rules and self-certification (signed by IS Head of the company) for non-presence of overly permissible such as Any-Any Rules or generic rules/evidence for latest Firewall Audit Report. |
| 6  | Whether Bidder has captive SOC or managed service SOC for monitoring their system and operations.                                                                                                 |  | Evidence of SOC implementation and its activities.                                                                                                                                                                    |
| 7  | Whether Bidder's environment is segregated into militarized zone (MZ) and demilitarized zone (DMZ) separated by firewall, where any access from an external entity is permitted through DMZ only. |  | CERT empanelled auditor's Report on verification of its implementation.                                                                                                                                               |
| 8  | Whether Bidder has deployed secure production, disaster recovery and testing environment for their application.                                                                                   |  | Evidence of a Secured DR Site at different location(s).                                                                                                                                                               |
| 9  | Bidder to confirm that privilege access to its environment is not permitted from internet.                                                                                                        |  | Evidence for the secured access, reviewed by CERT empaneled auditors.                                                                                                                                                 |
| 10 | Whether the Bidder has a dedicated information security team independent of IT,                                                                                                                   |  | Relevant clauses in Policy and implementation evidence                                                                                                                                                                |

|    |                                                                                                                                                                                                                                                              |  |                                                                                                                                                                                                                                                |
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|    | reporting directly to MD/CIO for conducting security related functions & operations.                                                                                                                                                                         |  | like organization structure etc.                                                                                                                                                                                                               |
| 11 | Whether CERT-IN Empaneled Auditors are engaged by Bidder for ensuring security posture of their application. Security testing includes but is not limited to Appsec, API Testing, Source Code Review, VA, PT, SCD, DFRA, Process Review, Access Control etc. |  | Latest security Testing Certification with Scope of review & closure of observations.                                                                                                                                                          |
| 12 | Whether suitable security certification (ISO, PCI-DSS, SOC1 and SOC2 etc.) of the security posture at Bidders IT environment are in place.                                                                                                                   |  | Certificate with validity period, if available.                                                                                                                                                                                                |
| 13 | Whether Bidder is agreeable to secure the Bank's data (if shared) while transit, processing, at store, during backup and archivals, over external media etc. with latest & secured encryption standards.                                                     |  | Evidence for protection of data in transit such as Secure Encryption algorithm used.                                                                                                                                                           |
| 14 | Whether Bidder has processes in place and is agreeable to completely erase the data after processing at their end or after a clearly defined retention period, if so permitted to be stored.                                                                 |  | Self-certification in case of Govt entity and approved Purging Process & timeline and Evidence of actual implementation for Non-Govt entities duly verified by CERT empaneled IS auditor to be provided by successful Bidder at relevant time. |
| 15 | Bidder to confirm that it will not share the Bank's data to any other party for any purpose without prior permission of the Bank.                                                                                                                            |  |                                                                                                                                                                                                                                                |
| 16 | Whether Bidder is willing to put in place a system of obtaining                                                                                                                                                                                              |  |                                                                                                                                                                                                                                                |

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|    | approval from the Bank before carrying out any changes in their environment.                                                                                         |  |                                                                                                                               |
| 17 | Bidder to confirm that it will not take any crucial decisions on behalf of the Bank without written approval from the Bank.                                          |  |                                                                                                                               |
| 18 | Whether Bidder is willing to implement an efficient and sufficient preventive control to protect the Bank's interests against any damage under section 43 of IT Act. |  |                                                                                                                               |
| 19 | Whether Bidder configures or provides access to officials based on a documented and approved Role Conflict Matrix.                                                   |  | Role Conflict Matrix and evidence of following the same.                                                                      |
| 20 | Whether Bidder is agreeable that all default admin and root users are deleted/disabled and access is based on user specific IDs and all such accesses are logged.    |  | Evidence of having disabled default admins and root users preferably verified by CERT empaneled auditor.                      |
| 21 | Whether Bidder has deployed Active Directory (AD), Single Sign On (SSO) and strong Password Policy for End point and application access.                             |  | Details of the AD, SSO, Password Policy in relevant clauses of IS Policy and/or compliance verification.                      |
| 22 | Whether Bidder is agreeable to define proper access control for protecting the Bank's data (if shared) and access to the data is strictly on need-to-know Basis.     |  | Approved Access Control process document and evidence of implementation to be provided by successful Bidder at relevant time. |
| 23 | Whether Bidder follows the best practices of creation of separate network zones (VLAN segments) for production and non-production such as UAT.                       |  | CERT empaneled auditor's Report on verification of its implementation.                                                        |
| 24 | Whether Bidder follows the best practices of creation of separate network zones (VLAN                                                                                |  | Self-certification (signed by IS Head of the company) with evidence.                                                          |

|    |                                                                                                                                                                                                       |  |                                                                                                                                                                                       |
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|    | segments) for Web, App, DB, Critical & Non-Critical Applications.                                                                                                                                     |  |                                                                                                                                                                                       |
| 25 | Whether Bidder is agreeable to have a separate network architecture diagram specific to integration with the Bank.                                                                                    |  | Network architecture diagram specific to the Bank to be provided by successful Bidder.                                                                                                |
| 26 | Bidder to confirm that internet access is restricted on internal servers, database servers or any other servers.                                                                                      |  | Evidence of purpose/need of this and verification of controls in place by CERT empaneled ISSP.                                                                                        |
| 27 | Whether Bidder has deployed any open source or free software in their environment. If yes, whether processes are in place for closure of vulnerabilities & regular/timely patching for such software. |  | If any Open Source software is used, evidence for process in place to adhere to the stated control and/or declaration that there are no known CVE (Common Vulnerability & Exposures). |
| 28 | Whether minimum baseline controls are implemented for hardening the application and DB Servers.                                                                                                       |  | Content page of SCD document and review history and implementation evidence of latest SCD version.                                                                                    |
| 29 | Whether Suitable Security certificate such as ISO27017 & ISO27018 for Cloud Services (if applicable) and PCI DSS where Debit Card related data (if applicable) are processed are in place.            |  | Certificate with validity period.                                                                                                                                                     |
| 30 | Whether Bidder is agreeable that the key used by it to encrypt the Bank's data (if shared) should be different i.e. it should not be the same that was/is used for other clients.                     |  | Approved Process for Key Management and evidence of actual implementation of Key Sharing.                                                                                             |
| 31 | Bidder to confirm that data should not be allowed to be downloaded or to prepare                                                                                                                      |  | Approved Process & evidence of                                                                                                                                                        |

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|    | copies unless explicitly approved.                                                                                                                                                                                                                                                                                                                                |  | implementation of the control.                                                                                      |
| 32 | Whether Bidder is agreeable to performs periodic DR Drills.                                                                                                                                                                                                                                                                                                       |  | Evidence of conducting DR drills, lessons learnt and their detailed recordings to be provided by successful Bidder. |
| 33 | Bidder is agreeable that the application and DB will be hosted separately on a dedicated infrastructure (physical/logical) for the Bank.                                                                                                                                                                                                                          |  | Evidence of dedicated infrastructure (physical/logical) for the Bank to be provided by successful Bidder.           |
| 34 | Whether proper log generation, storage, management and analysis happens for the Bidder's application (including DFRA & access logs).                                                                                                                                                                                                                              |  | Log generation, storage and review process certified by CERT empaneled auditor.                                     |
| 35 | Whether the privilege access activities are logged, monitored, controlled and governed preferably using Privilege Identity Management (PIM).                                                                                                                                                                                                                      |  | Evidence of Privileged access logs and PIMS implementation.                                                         |
| 36 | The bidder agrees to Develop, implement, maintain, and use best in class industry proven security controls that prevents the misuse of information systems and appropriately protect the confidentiality, integrity, and availability of information systems. Follow industry standards such as OWASP, SANS, NIST frameworks during design and development phase. |  | Evidence towards establishing Security by Design wither by way of CERT-In empanelled auditors report or otherwise   |
| 37 | The bidders' solution should adhere to the S-SDLC (Secure System Development Lifecycle)                                                                                                                                                                                                                                                                           |  | CERT-In empaneled auditors report on adherence of a Secure SDLC Process                                             |

|    |                                                                                                                                                                                                                                                                                                               |  |                                                                                                |
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|    | process and practices as per <organization> IS policy.                                                                                                                                                                                                                                                        |  |                                                                                                |
| 38 | The source code should be maintained in version-controlled environment that provides for logging and audit of all activities performed on source code.                                                                                                                                                        |  | Evidence for Secure Code Deployment and Version Control                                        |
| 39 | The bidder agrees to conduct SAST (Static Application Security Testing) & DAST (Dynamic Application Security Testing) and provide detailed reports of the same or the Bank may conduct the SAST. The bidder should close all the vulnerabilities which should be revalidated by conducting SAST & DAST again. |  | CERT-In empanelled auditors report on the Security of the application assessed comprehensively |
| 40 | The Bank will have the right to audit the bidder's people, processes, technology etc. as part of Vendor security risk assessment process.                                                                                                                                                                     |  |                                                                                                |
| 41 | Wherever the Solution is hosted in Cloud, the bidder agrees to establish a clearly defined RACI matrix, Access Control, Infra and Application Security (including data during its entire lifecycle)                                                                                                           |  | CERT-In empanelled auditors report on the Security of the Cloud application / data and Infra   |

Bidder should also confirm whether it has witnessed any security or privacy breach in the past 2 (two) years. Bidder should submit self-certification of IS Head in case

of Govt entity/evidence reported to regulatory agencies and/or self-attestation and the same to be verified by CERT empaneled ISSP.

**Note:**

- The above-mentioned required controls shall be reviewed at quarterly interval.

Service Provider at its own expenses, agrees to submit certificate from CERT-In empaneled ISSP, periodically, i.e. at quarterly interval by 15<sup>th</sup> day of completion of respective quarter or as requested by the Bank for the control points mentioned in Appendix B1. **In case Service Provider fails to submit the required certificate within the aforesaid timeline, empanelment of such Service Provider may be suspended for the period of Breach without prejudice to the Bank's other rights available under this RFP**

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**APPENDIX-C**

**Technical Criteria**

In addition to the eligibility criteria defined in Appendix-B, Bidder(s) are also required to comply with the following points and submit their compliance on the same on their letter head along with required evidence. In case of non-compliance of any of the requirement, Bid would be rejected:

| <b>S. No.</b> | <b>Description</b>                                                                                                                                                                                                                         | <b>Yes/No</b> |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| <b>1</b>      | <b>INFRASTRUCTURE</b>                                                                                                                                                                                                                      |               |
| 1.1           | Data Centre to be located in India and no data sharing to be done outside of India.                                                                                                                                                        |               |
| 1.2           | Disaster Recovery setup to be located in a different seismic zone in India.                                                                                                                                                                |               |
| 1.3           | Application Service Platform should be PKI enabled. Service Provider to provide documentation for PKI compliance for the services rendered. The encryption to be implemented must use Perfect Forward Secrecy using Ephemeral keys.        |               |
| 1.4           | Application Service Platform should work with the Digital Certificates issued by any of the License Certifying Authorities in India.                                                                                                       |               |
| 1.5           | All the e-Procurement data including transmission of data to be held in encrypted form (minimum of 256 bit encryption preferably AES 256). Data to be transmitted using 256 bit encryption and TLS 1.2                                     |               |
| 1.6           | The Service Provider shall provide all the data on CD/DVD or Portable devices on a yearly basis without any additional cost to the Bank. This should be on-demand and annual basis. The data must include all the audit trail/ logs.       |               |
| 1.7           | The Application Service Platform should support Evaluation of Technical and Commercial parameters based on a formula. Under any given circumstances atleast one of these evaluation parameters (technical or commercial) must be mandatory |               |
| 1.8           | The Application Service Platform shall incorporate Data Intrusion System, Firewall, Online Virus Scanning and necessary web security features to prevent unauthorized and malicious access apart from normal measures already in           |               |

|          |                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
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|          | place for the same. The System should have anti-virus protection, IPS, SIEM with provisions of regular updates and patches.                                                                                                                                                                                                                                                                                        |  |
| 1.9      | The Application Service Platform should support simultaneous concurrent events. Bidder to provide the details regarding number of concurrent events that can be conducted. The same shall be demonstrated at the POC.                                                                                                                                                                                              |  |
| 1.10     | The application should have obtained Source code review report from CERT-IN empaneled security consultant mentioning that all the identified vulnerabilities have been closed.                                                                                                                                                                                                                                     |  |
| <b>2</b> | <b>TECHNICAL REQUIREMENTS</b>                                                                                                                                                                                                                                                                                                                                                                                      |  |
| 2.1      | The Service Provider shall guarantee a Quarterly uptime of minimum 99% for the Backend Infrastructure (hardware/software) and application from the date of commencement of the proposed Application Service Platform. (Any planned shutdown will not be considered for calculation).<br><br>However, the Application Service Platform should be available online on a 24*7*365 basis and accessible from anywhere. |  |
| 2.2      | The various stages of the Application Service Platform being proposed should be modular and capable of being implemented independent of each other.                                                                                                                                                                                                                                                                |  |
| 2.3      | It should be a single domain solution with independent modules for both the e-tender and e-auction event.                                                                                                                                                                                                                                                                                                          |  |
| <b>3</b> | <b>FEATURES OF APPLICATION</b>                                                                                                                                                                                                                                                                                                                                                                                     |  |
| 3.1      | Enabling hosted solution for e-Procurement of any Product, service or goods.                                                                                                                                                                                                                                                                                                                                       |  |
| 3.2      | The system should cover full life cycle of purchase (from RFP/Indent to Purchase Order).                                                                                                                                                                                                                                                                                                                           |  |
| 3.3      | The System should have the following Modules:                                                                                                                                                                                                                                                                                                                                                                      |  |
|          | 1) Creation of Tender                                                                                                                                                                                                                                                                                                                                                                                              |  |
|          | 2) Preparation of Tender document online                                                                                                                                                                                                                                                                                                                                                                           |  |
|          | 3) Approve Tender document online                                                                                                                                                                                                                                                                                                                                                                                  |  |
|          | 4) Cancel/Re-invite Tender                                                                                                                                                                                                                                                                                                                                                                                         |  |
|          | 5) Creation of Bidding formats                                                                                                                                                                                                                                                                                                                                                                                     |  |
|          | 6) Uploading of Tenders                                                                                                                                                                                                                                                                                                                                                                                            |  |
|          | 7) Uploading of corrigendum's/attachments to Tender                                                                                                                                                                                                                                                                                                                                                                |  |
|          | 8) Centralized Registration of Vendors/ Contractors                                                                                                                                                                                                                                                                                                                                                                |  |
|          | 9) Downloading of Tenders by prospective Vendors                                                                                                                                                                                                                                                                                                                                                                   |  |
|          | 10) Pre-Bid Queries                                                                                                                                                                                                                                                                                                                                                                                                |  |
|          | 11) Facility for online Pre-Bid Meetings                                                                                                                                                                                                                                                                                                                                                                           |  |

|            |                                                                                                                                                                                                                                                                 |  |
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|            | 12) Publish Minutes of Pre-Bid Meeting                                                                                                                                                                                                                          |  |
|            | 13) Submit Bids Online                                                                                                                                                                                                                                          |  |
|            | 14) Technical Evaluation                                                                                                                                                                                                                                        |  |
|            | 15) Price Bid Opening                                                                                                                                                                                                                                           |  |
|            | 16) Publish Tender Results                                                                                                                                                                                                                                      |  |
|            | 17) Award of Contract                                                                                                                                                                                                                                           |  |
|            | 18) Management Information System (MIS)                                                                                                                                                                                                                         |  |
|            | 19) Audit Trail                                                                                                                                                                                                                                                 |  |
|            | 20) Reverse Auction                                                                                                                                                                                                                                             |  |
|            | 21) Forward Auction                                                                                                                                                                                                                                             |  |
| 3.4        | The Service provider should have a well-organized Help-line during Events.                                                                                                                                                                                      |  |
| 3.5        | The Service provider should customize the Application Service Platform, suitable for <b>Bank's</b> Technical and Functional Requirements mentioned in this RFP document and should make the application ready within two weeks of the notification by the Bank. |  |
| <b>4</b>   | <b>FUNCTIONAL REQUIREMENTS</b>                                                                                                                                                                                                                                  |  |
| <b>4.1</b> | <b>USER INTERFACE</b>                                                                                                                                                                                                                                           |  |
| 1          | GUI based Wizard Driven Configuration Customized Look & Feel, Graphical Representation, Online/Onscreen help features etc.                                                                                                                                      |  |
| 2          | Home Page should have search option with different parameters like event reference no., date, status, event keyword etc. Preferably free text search.                                                                                                           |  |
| <b>4.2</b> | <b>TYPES OF TENDERS (Should support various types of Bids e.g.)</b>                                                                                                                                                                                             |  |
| 1          | General Tenders                                                                                                                                                                                                                                                 |  |
| 2          | Rate Contracts                                                                                                                                                                                                                                                  |  |
| 3          | Single/Multiple Envelope Bidding                                                                                                                                                                                                                                |  |
| 4          | Open Tender where any Vendor can bid after registering with the portal.                                                                                                                                                                                         |  |
| 5          | Limited Tender where only limited Vendors can bid.                                                                                                                                                                                                              |  |
| 6          | EOI /Expression of Interest.                                                                                                                                                                                                                                    |  |
| 7          | NCB (National Competitive Bidding).                                                                                                                                                                                                                             |  |
| 8          | Goods Tender - with quote for each line item.                                                                                                                                                                                                                   |  |
| 9          | Works Tender – with quote in % of the estimated cost.                                                                                                                                                                                                           |  |
| <b>4.3</b> | <b>TENDER NOTICE CREATION</b>                                                                                                                                                                                                                                   |  |
| 1          | It must be capable of floating Tender notice in .pdf,.doc/.docx /.jpeg and other preferred formats and exclude editable file format                                                                                                                             |  |
| 2          | Tender notices should be visible to Vendors only after it has been approved.                                                                                                                                                                                    |  |
| 3          | Application Service Platform should allow Archival and Retrieval of Tenders as and when required.                                                                                                                                                               |  |

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| 4          | Application Service Platform should allow Cancelled Tenders to be revived for future tenders.                              |  |
| 5          | Availability of provision for categorizing a Tender as New, Live, Archived, Cancelled, etc. for ease of understanding.     |  |
| 6          | Provision for attaching images with Tender Notice should be available.                                                     |  |
| 7          | The Application Service Platform should have the capability of assigning unique internal reference number for each Tender. |  |
| 8          | There should be a facility for Online Pre-bid Meeting.                                                                     |  |
| <b>4.4</b> | <b>TENDER SETTINGS</b>                                                                                                     |  |
| 1          | Application Service Platform should support Tenders with or without tender RFP Costs.                                      |  |
| 2          | Application Service Platform should support Tenders with or without EMD.                                                   |  |
| 3          | Application Service Platform should support Tenders with or without Pre-Bid Meeting.                                       |  |
| 4          | Application Service Platform should support Tenders with or without pre-qualification phase.                               |  |
| 5          | Application Service Platform should support Tenders with or without Technical Bid.                                         |  |
| 6          | Application Service Platform should have provision for inviting EOI and issuing RFP to only pre-qualified Bidders of EOI.  |  |
| 7          | Application Service Platform should have inbuilt check to ensure that incomplete bids in any manner will not be accepted.  |  |
| 8          | Provision for withdrawal of already submitted bids to be available to Bidders before due date and time.                    |  |
| 9          | Application Service Platform should have facility of generating emails for sending to all Registered Vendors.              |  |
| 10         | Application Service Platform should have the ability to set maximum size of single file upload.                            |  |
| 11         | Application Service Platform should have ability for uploading various types of documents.                                 |  |
| 12         | It should be possible to download Tenders free of cost.                                                                    |  |
| 13         | Application Service Platform should maintain record of Vendors who will download the Tender.                               |  |
| 14         | It should be possible to specify online brief description of the Tender to enable Vendors to view.                         |  |
| 15         | Application Service Platform should support Evaluation of Technical and Commercial parameters based on a formula.          |  |
| 16         | Provision of Black listing a Vendor should be available in Application Service Platform.                                   |  |
| 17         | Application Service Platform should have facility for Vendor Registration & Administration.                                |  |
| <b>4.5</b> | <b>TENDER UPLOAD</b>                                                                                                       |  |

|             |                                                                                                                                                                                                                                                                        |  |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1           | Application Service Platform should allow for upload of multiple documents of a Tender.                                                                                                                                                                                |  |
| 2           | Application Service Platform should have the facility of virus scan or any other security threat while uploading documents by the Vendors. The Application Service Platform should have anti-virus protection, IPS, SIEM with facility of regular updates and patches. |  |
| 3           | Tender should be visible to Vendors, only after it is published.                                                                                                                                                                                                       |  |
| <b>4.6</b>  | <b>TENDER CORRIGENDUM</b>                                                                                                                                                                                                                                              |  |
| 1           | It should be possible to upload corrigendum and correlate them to the main Tender.                                                                                                                                                                                     |  |
| 2           | Corrigendum should be maintained chronologically.                                                                                                                                                                                                                      |  |
| 3           | Corrigendum should be visible to all those who have already downloaded the original Tender.                                                                                                                                                                            |  |
| <b>4.7</b>  | <b>ONLINE PRE-BID QUERIES</b>                                                                                                                                                                                                                                          |  |
| 1           | The Application Service Platform should allow Vendors to post any number of questions. Allow excel based query posting for efficiency and secrecy of Bidders. If this is envisaged in the form of comments/ blog posts then it will be quite inefficient               |  |
| 2           | Allow Vendors to upload pre-bid queries within prescribed timelines.                                                                                                                                                                                                   |  |
| 3           | The Application Service Platform should have the facility of masking the name of the Vendors who have raised the questions and should be visible only to Bank                                                                                                          |  |
| 4           | The Application Service Platform should allow for upload of responses to pre-bid queries.                                                                                                                                                                              |  |
| <b>4.8</b>  | <b>ONLINE PRE-BID MEETING</b>                                                                                                                                                                                                                                          |  |
| 1           | It should be possible to hold pre-bid meeting online, if required by BANK.                                                                                                                                                                                             |  |
| 2           | There should be a facility of replying to all or selected questions.                                                                                                                                                                                                   |  |
| 3           | The Application Service Platform should not allow Bidders to raise and upload questions after expiry of pre-bid meeting date.                                                                                                                                          |  |
| 4           | The Application Service Platform should have the facility for not responding to any question.                                                                                                                                                                          |  |
| 5           | The Application Service Platform should allow for upload of replies to pre-bid meeting.                                                                                                                                                                                |  |
| <b>4.9</b>  | <b>VENDOR REGISTRATION</b>                                                                                                                                                                                                                                             |  |
| 1           | Only those Vendors who register themselves in the portal would be eligible for participating in the Tenders.                                                                                                                                                           |  |
| <b>4.10</b> | <b>BID SUBMISSION</b>                                                                                                                                                                                                                                                  |  |

|             |                                                                                                                                                                                                                                                                                                                                                    |  |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1           | Application Service Platform should allow online Bid submission along with attachments.                                                                                                                                                                                                                                                            |  |
| 2           | Provision for modification & withdrawal of already submitted bids to be available to Bidders before due date and time.                                                                                                                                                                                                                             |  |
| 3           | Tender Opening links should not get activated before the publishing date and time.                                                                                                                                                                                                                                                                 |  |
| <b>4.11</b> | <b>BID OPENING</b>                                                                                                                                                                                                                                                                                                                                 |  |
| 1           | Application Service Platform should have facility of Tender opening in a phase wise manner for multi envelope tenders. Unless the first phase (envelope) is completed, the second phase (envelope) should not get opened and so on.                                                                                                                |  |
| 2           | Application Service Platform should auto generate the comparative chart of Vendors after completion of each stage of e-Procurement.                                                                                                                                                                                                                |  |
| 3           | Rejected Vendors should not qualify for next round automatically.                                                                                                                                                                                                                                                                                  |  |
| 4           | Application Service Platform should have the facility to export data to spread sheets.                                                                                                                                                                                                                                                             |  |
| 5           | Application Service Platform should have a provision for Bank to view the name of the Vendors who are present online at the time of online Tender Opening event.                                                                                                                                                                                   |  |
| 6           | Application Service Platform to support co-signing facility i.e. 2 or more officers can give remarks by digitally signing themselves on the Application Service Platform.                                                                                                                                                                          |  |
| 7           | BANK should have an option to select a Bidder based on individual line item of requirement or on the basis of overall cost of items.                                                                                                                                                                                                               |  |
| 8           | Application Service Platform should have the flexibility to make desired combination of members to form a committee at any point of time before bid opening events.                                                                                                                                                                                |  |
| 9           | Tender Opening links should not get activated before publishing-date and time.                                                                                                                                                                                                                                                                     |  |
| 10          | Application Service Platform should support online Tender Opening where Vendors can participate online from their respective offices                                                                                                                                                                                                               |  |
| 11          | Application Service Platform should have the facility to export data to any desired format such as PDF/DOC/DOCX/XLS/XLSX.                                                                                                                                                                                                                          |  |
| 12          | For Reverse Auctions Alias names should be auto generated for the Bidders and the same shall be visible to Bank at the time of live event. Once Reverse Auction is completed, Bidder's names should be visible to Bank. Alias names generated for the Bidders should be unique for each Bidder and their original name will be difficult to guess. |  |
| <b>4.12</b> | <b>E-AUCTION</b>                                                                                                                                                                                                                                                                                                                                   |  |

|             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  |
|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1           | Application Service Platform should have provision of Reverse / Forward, including Rank bidding, Anonymous & Alias bidding, Multi Line bidding, Multiple Lot bidding, Package Auction, English, Transformational, Preferential, Weighted, Techno Commercial and / or any other formats.                                                                                                                                                                                                                                                                                  |  |
| 2           | Application Service Platform should have provision for Parameters defining and setting of Opening Price, Historic Price, Increment/Decrement Price, Reserve Price, and Landed & Base Price.                                                                                                                                                                                                                                                                                                                                                                              |  |
| 3           | Data validation rules, Auction Rules like lowest / highest Bid wins or highest / lowest quality wins etc.                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
| 4           | The System should display and record Start and End Time.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |
| 5           | There should be Automatic and Manual Extensions and Closing rules.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
| 6           | Masking of Bidders - Bidders' identity should not be revealed to others who are participating in the bidding process.                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
| 7           | Administration features like Roles and Rights, Checking login status of participants etc. should be available.                                                                                                                                                                                                                                                                                                                                                                                                                                                           |  |
| 8           | The system should be capable of providing event-wise history, Vendor-wise, Product-wise, date-wise reports.                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |
| 9           | Audit Trail - logs should be available for all User Transactions and administrative actions.<br>It should be possible to download the audit trail whenever needed.                                                                                                                                                                                                                                                                                                                                                                                                       |  |
| 10          | Application Service Platform should have the provision to generate L1, L2, L3 chart dynamically.                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  |
| <b>4.13</b> | <b>ACCESS CONTROL</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
| 1           | Access to the Application Service Platform by BANK as well as proposed Vendors should be by way of User ID /Password for some Tenders (say of small values) and also through digital signatures for some Tenders. Both ways of Access should be available. BANK should be able to decide which Tenders will be accessed through User ID/Password and which will be through digital signatures. As per STQC compliance and to ensure secrecy all the tenders should be accessed using digital signatures. Moreover, multi-factor authentication may be used, if required. |  |
| 2           | It should be possible for the Administrator to create role-based users such as tender owner/ approver/opener, creator/evaluator etc. with any of the two modes i.e. User ID and Password or with digital signatures. Admin should not be allowed to generate passwords for other users.<br>Ideally there should be no option for forgot password. In case it can't be avoided then the Forgot Password feature should not be based on some questions and answers which can be guessed by a competitor/ hacker.                                                           |  |

|             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |  |
|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 3           | The Application Service Platform should have at least 3 levels of Access Control for <b>Bank</b> with provision for support users.<br>a) Administrator - who will be the super User and will create Internal Users.<br>b) Tender Owners - who can open and approve Tenders.<br>c) Users - Third Level will be the Users who will create tenders, create Corrigendum, attend pre-bid meetings, download Tender documents of Vendors, evaluate etc. The Application Service Platform should support multiple users on request of <b>Bank</b> . The same should be made available at no extra cost to <b>Bank</b> . Creation of User ID's should be automated without interference from SBI. |  |
| 4           | The Tender document should not get uploaded unless it is approved by the Tender Owner.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
| 5           | The access to the Application Service Platform by the Administrator of SBI should be through digital signature.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |  |
| <b>4.14</b> | <b>MESSAGING</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  |
| 1           | There should be a facility of Broadcasting messages through emails to Vendors during Reverse auction for information and clarifications.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
| <b>4.15</b> | <b>ADMINISTRATION</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |
| 1           | Vendor administration                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |
| 2           | Monitoring Roles and Rights Control                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
| 3           | Checking the login status of the participants                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  |
| 4           | Masking of Vendors' identity to others who are participating in the bidding process and/or during Reverse Auction.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |
| <b>4.16</b> | <b>REPORTS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  |
| 1           | The Application Service Platform should be capable of generating detailed reports in Excel/HTML/ DOC/DOCX/PDF and any other format specified by SBI.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |
| 2           | The Application Service Platform should be capable of providing Event-wise Bid history, Supplier-wise, Product-wise, date-wise, time- wise reports.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
| 3           | Actual savings report, category wise reports, transaction-based reports, aggregated reports per category cross suppliers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |
| 4           | Visibility to reports is granted through the use of report privileges like Admin Reports, Originator Reports and Bidder Reports.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  |
| <b>4.17</b> | <b>SECURITY CONSIDERATIONS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  |
| 1           | Application Service Platform should be secure from making any temporary distortion in the electronic posting of tender notice which could mislead some Vendors.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |  |



|    |                                                                                                                                                                                                                                    |  |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 2  | Application Service Platform should be safe from sending discriminatory communication to different Bidders about the same e- Procurement process.                                                                                  |  |
| 3  | Application Service Platform should be safe from submission of fake bids.                                                                                                                                                          |  |
| 4  | Encryptions of bids should be done at clients end before transmission.                                                                                                                                                             |  |
| 5  | Safety against tampering and stealing of information of submitted Bid etc. during storage before its opening to be ensured.                                                                                                        |  |
| 6  | Application Service Platform should be safe from siphoning off and decrypting the clandestine copy of a Bid .                                                                                                                      |  |
| 7  | Application Service Platform should be safe from mutilation / sabotage or otherwise rendering the encrypted Bid in the e-tender box during storage to make it unreadable / invalid in any form, before opening of the bids.        |  |
| 8  | Introduction of special characters / executable files etc. by users should be restricted in the Application Service Platform.                                                                                                      |  |
| 9  | Validity checks of Digital Signature Certificate to be done at server end                                                                                                                                                          |  |
| 10 | Application Service Platform should support feature that even though a published tender is deleted from the application, Application Service Platform does not allow permanent deletion of the published tender from the Database. |  |
| 11 | Sufficient security features to be provided in the Application Service Platform for authentication procedure of the system administrator like ID, password, digital signature, biometric etc.                                      |  |
| 12 | Audit trails should be captured in the Application Service Platform on media and these should not be prone to tampering, such as optical write once.                                                                               |  |
| 13 | Integrity and non-tampering to be ensured in maintaining the server clock synchronization and time stamping.                                                                                                                       |  |
| 14 | Application Service Platform should generate exception report / system alerts etc. to indicate the resetting of the clock, in case the application for time stamping is killed at the server level and time is manipulated.        |  |
| 15 | Application Service Platform should ensure that the quotes from various Bidders with their name are not being displayed to anyone including the Organization during the e-reverse auction process.                                 |  |
| 16 | Application Service Platform should be fit for usage complying with the requirements of tender processing viz. Authenticity of tenderer, non-repudiation and secrecy of information till the actual opening of tenders.            |  |

|          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |
|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 17       | STQC Certification as per statutory requirement and also as per the requirements of e- tender processing (compliance to IT Act 2000 and its subsequent amendment 2008) should be completed before putting it to public use.<br>The validity of the STQC certificate is 3 years. Therefore, the Vendor has to get it renewed well before its expiry date.                                                                                                                                                     |  |
| 18       | Application Service Platform should comply with the latest CVC's Guidelines on Security considerations for e-Procurement Systems.                                                                                                                                                                                                                                                                                                                                                                            |  |
| <b>5</b> | <b>OTHERS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
| 5.1      | All data should be maintained & preserved in keeping with the provisions of the IT Act 2000 and its subsequent amendment 2008 Act.                                                                                                                                                                                                                                                                                                                                                                           |  |
| 5.2      | All correspondence between the Bidder and the SBI as well as prospective Bidders whether in the form of email, fax, hard or soft copies of letters etc. should be maintained and preserved in keeping with the provisions of the SBI's existing record retention policy.<br>These records should be backed up and provided:<br><input type="checkbox"/> to the individual procuring offices on completion of the event.<br><input type="checkbox"/> to the IT department of SBI at the end of every quarter. |  |
| 5.3      | Application Service Platform should ensure that the tender documents issued to / downloaded by Bidders are complete in shape as per the approved tender documents including all its corrigendum.                                                                                                                                                                                                                                                                                                             |  |
| 5.4      | Application Service Platform should ensure that all the corrigendum issued by the Competent Authority are being fully communicated in proper fashion to all Bidders including those who had already purchased / downloaded the Bid documents well ahead of the due date and before uploading the corrigendum.                                                                                                                                                                                                |  |
| 5.5      | Facilities for evaluation / loading of bids, strictly in terms of criteria laid down in Bid documents are available in the Application Service Platform                                                                                                                                                                                                                                                                                                                                                      |  |
| 5.6      | Product demo to be given by the Bidder.<br><b>Note:</b> The Application Service Platform may be Verified / tested by the Company officials to check whether the compliance to all the technical criteria are fully satisfied; This would be done after the technical evaluations of this tender, but before the opening of the Price Bids                                                                                                                                                                    |  |
| <b>6</b> | <b>E-PAYMENT</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  |
| 6.1      | The Application Service Platform should be capable to receive the payment via e-payment as well as offline mode. Hence, both the payment options should be available. In                                                                                                                                                                                                                                                                                                                                     |  |

|          |                                                                                                                                                                                                                                                                                                                                                           |  |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
|          | case of offline payment, the Vendor should be able to submit the payment details of DD/Pay Order etc.                                                                                                                                                                                                                                                     |  |
| 6.2      | The Application Service Platform should be capable to integrate with payment gateway.                                                                                                                                                                                                                                                                     |  |
| 6.3      | The Application Service Platform should be bank neutral as far as the e-payment gateway integrations are concerned.                                                                                                                                                                                                                                       |  |
| 6.4      | Electronic Performance Bank Guarantee (PBG) feature should be incorporated/made available whenever the same would be available with majority of banks.                                                                                                                                                                                                    |  |
| <b>7</b> | <b>PARAMETER SETTINGS</b>                                                                                                                                                                                                                                                                                                                                 |  |
| 7.1      | Opening Price, Reserve Price, Bid decrement/increment                                                                                                                                                                                                                                                                                                     |  |
| 7.2      | Start and End Time                                                                                                                                                                                                                                                                                                                                        |  |
| 7.3      | Automatic and Manual Extensions and Closing rules                                                                                                                                                                                                                                                                                                         |  |
| 7.4      | Data validation rules, Auction Rules like lowest / highest Bid wins                                                                                                                                                                                                                                                                                       |  |
| 7.5      | Uploading file attachments                                                                                                                                                                                                                                                                                                                                |  |
| <b>8</b> | <b>Process Operations Response Times</b>                                                                                                                                                                                                                                                                                                                  |  |
| 8.1      | Sizing and capability of the Application Service Platform and Hardware deployed would be such that the Application Service Platform is able to deliver the web page or screen output at the user end within 5 seconds of query or request submission under ideal condition. The Application Service Platform should support minimum 300 concurrent users. |  |

We confirm that our proposed Application Service Platform meet all the specifications mentioned as above.

**Name & Signature of authorised signatory**

**Seal of Company**

**APPENDIX-D: BIDDER DETAILS**

**Bidder Details**

Details of the Bidder

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

**Name & Signature of authorised signatory**

**Seal of Company**

## APPENDIX-E: SCOPE OF WORK

### Scope of Work

#### **i.Scope of work includes the following service but not limited to:**

The empaneled E-Tendering Vendors here-in-after referred to as “Service Providers” will provide the following services to the Bank and in line with Appendix-C:

- a. Online e-tendering, receipt of Online Technical Bids and Bid evaluation (As specified in Sl. No. 1 to 17 of Clause 3.3 of **Appendix-C**) to be used for procurements of the Bank.
- b. Reverse e-Auction to be used for procurements of the Bank.
- c. Forward e-Auction to be used for disposal of assets by the Bank including those under DRT and SARFAESI.

It is clarified that:

1. Service provider does not have any role in the settlement of commercial transactions after the event. The payment, shipment and necessary installation and commissioning activities are between the Bank / DRT and the Seller/Buyer.
2. Service provider will, however, remain responsible for maintaining adequate security and control at the hosting site as also at the network level so as to ensure confidentiality of the transactions, restriction of access only to the authorized users, maintenance of auditable / verifiable logs of all bids etc. and their acceptance/rejection in a transparent and orderly manner.
3. The Service provider should also comply with the security and control standards at the hosting site as per the provisions of the IT Act 2000.
4. The Service provider should also comply with the STQC Quality requirements for e- procurement Systems or e-auction systems as on date and also ensure future compliance applicable from time to time.
5. The empaneled Service provider shortlisted by the Bank would be used by all offices of the State Bank Group across the country for E-Tendering services etc through various IT initiatives of the Bank.
6. The Bank may time to time, based on its actual requirements avail Services from any of the empaneled Service Provider and there is no minimum or prior commitment for such orders under this RFP.

## ii. Time Schedule

The Service provider must ensure that dates chosen for conducting online e-Auction and timing as communicated by the Bank from time to time are to be strictly adhered.

Service provider has to conduct one e-Tendering, one Forward Auction and one Reverse Auction Event online as Proof of Concept without any cost to the Bank as per their respective category. Only after successful completion of Proof of Concept the Application Service Platform will be deemed to be accepted by the Bank.

### Security:

i. The Application Service Platform should deploy the highest level of security that is available today in the market to prevent unauthorized access, modifications to the system, denial of service attack, hacking etc. and should be having perfect forward secrecy i.e. the Application Service Platform information should not be able to compromise even in the future.

ii. The Information Security Audit of the system should have been conducted from CERT-IN empaneled Auditor annually and submit the auditor's report, failing which any payment due to Service provider shall be withheld till such time report is made available to SBI. The said report should also include successful implementations of vulnerabilities and recommendations by auditors.

iii. The Application Service Platform should support high order encryption level and all the commercial information is encrypted during the transmission/network and at the database level.

iv. The entire Application Service Platform should have security mechanism for encryption to ensure data integrity, authentication etc as per the Indian IT Act 2000 and subsequent amendments. Should be having security mechanism for encryption and to ensure data integrity, authentication etc.

v. The Application Service Platform should be certified by Standardization Testing and Quality Certification (STQC) Directorate under Department of Information Technology (DIT), Ministry of Communication & Information Technology and compliant with all the applicable requirements relating to functionality, security and transparency of the following guidelines

'Guidelines for compliance to Quality requirement of e-Procurement Systems' dated 31st August, 2011 of Department of Information Technology (DIT)/ Standardization Testing and Quality Certification (STQC), Ministry of Communication & Information Technology of the Government of India (DIT-Guidelines) which includes:

CVC Guidelines for e-Procurement application software as covered by the relevant provisions of Annexure-II of DIT-Guidelines

- GFR-2005 as covered by Annexure-III of DIT-Guidelines
- IT Act 2000 (and its subsequent amendment 2008) as covered by Annexure-IV of DIT Guidelines.
- The STQC certificate should remain valid during the entire agreement period with SBI.

iv. **On-Line availability:**

The Service Provider shall guarantee a Quarterly uptime of minimum 99% for the Backend Infrastructure (hardware/software) **and application** from the date of commencement of the proposed Application Service Platform. (Any planned shutdown will not be considered for calculation.)”.

However, the Application Service Platform should be available online on a 24\*7\*365 basis and accessible from anywhere.

v. **Confidentiality:**

The Application Service Platform should ensure complete confidentiality and security of data. It should incorporate digital signatures to ensure that only authorized personnel have access to the tender application and the data. The Application Service Platform should generate a log of all the activities and make the same available to the Bank as and when required, thereby leaving a robust audit trail.

Also the Service provider must maintain absolute confidentiality of the documents/maps/tools collected in any form including electronic media and any other data/information provided to him for the execution of the work. The Service provider should not use the data for any purpose other than the scope of work specified in the document and added/amended before signing the Contract.

If at any stage it is found that the Service provider is using the data provided by the client during the Contract execution or after completion of the Contract for any other purposes, stringent legal action will be initiated as per applicable law of land and the Contract will be terminated without assigning any reasons.

vi. **Data Ownership:**

The ownership of all tender related data, RFP documents/forms lies with the Bank only. The Service provider will only be custodian of this data during the Contract period.

vii. **Audit trail:**

The Application Service Platform should provide for adequate audit trail including log reports for all the activities, transactions and any changes in configuration, information/ data changes, updations etc. The service provider shall provide the same to the Bank by the end of every month till the duration of the contract.

**viii. MIS/Reports:**

- i. MIS reports in the form of total number of Bids with the value for a tender as well as for a particular Bidder, lowest Bid with the details, the details of the Bidder etc., the progression of the tendering process etc. shall be provided in addition to configurable reports with available data based on actual requirements for a given option/e-auction processing a password protected file.
- ii. The Application Service Platform should be capable of generating reports regarding down time. Service provider shall provide mechanism for logging and recording of server or system down time, which should be acceptable to the Bank.
- iii. Monthly MIS of all the events conducted during the month shall be submitted by the service provider to the IT-Partner Relationships Department at GITC.
- iv. In the following format (alongwith other reports) , a report to be submitted to IT-PR quarterly (June, September, December and March) by 15<sup>th</sup> of subsequent month of the quarter ended.

| Sr No. | Circles+     | Nos of E-tendering | Nos of Reverse Auction | Nos. of Forward Auction | Total |
|--------|--------------|--------------------|------------------------|-------------------------|-------|
| 1      | Ahmedabad    |                    |                        |                         |       |
| 2      | Amaravati    |                    |                        |                         |       |
| 3      | Bengaluru    |                    |                        |                         |       |
| 4      | Bhopal       |                    |                        |                         |       |
| 5      | Bhubaneshwar |                    |                        |                         |       |
| 6      | Chandigarh   |                    |                        |                         |       |
| 7      | Chennai      |                    |                        |                         |       |
| 8      | Guwahati     |                    |                        |                         |       |
| 9      | Hyderabad    |                    |                        |                         |       |
| 10     | Jaipur       |                    |                        |                         |       |
| 11     | Kolkata      |                    |                        |                         |       |
| 12     | Lucknow      |                    |                        |                         |       |
| 13     | Maharashtra  |                    |                        |                         |       |
| 14     | Mumbai Metro |                    |                        |                         |       |
| 15     | New Delhi    |                    |                        |                         |       |
| 16     | Patna        |                    |                        |                         |       |



|    |                    |  |  |  |
|----|--------------------|--|--|--|
| 17 | Thiruvananthapuram |  |  |  |
| 18 | Corporate Centre   |  |  |  |
| 19 | GITC               |  |  |  |

**ix. Data Protection and Retention**

The Service provider will take all measures to keep data pertaining to the Bank secure at Data Center (DC) as well as at Disaster Recovery (DR) site in India only during the Contract period. A copy of this data should be kept in fireproof vault at DC and DR. At the end of Contract period, the Service provider will hand over this data to the Bank, in readable soft format.

Service provider acknowledges and agrees that all tangible and intangible information obtained, developed or disclosed including all documents of the Bank in part or complete shall be considered to be confidential and proprietary information (“Confidential Information”) and shall not be disclosed to any third party/published without the written approval of the Bank.

Any document, shall remain the property of the Bank and shall be returned (in all copies) to the Bank on completion of the Vendor’s performance under the Contract, if so required by the Bank.

If the Contract is terminated under any termination clause, the Service provider shall handover all documents/ executable/ Bank’s data or any other relevant information to the Bank in timely manner and in proper format as per scope of this RFP.

The Service provider should keep all the data pertaining to the Bank duly encrypted and store in a secured format. The Service provider shall submit the stored data to Bank within 10 days after completion of every year in a separate CD. Further, Service provider has to provide data pertaining to all the events conducted on the website during Contract period to the bank within 7 days prior to end of the Contract period. Service provider should ensure Data Security and protection of facilities/application managed by them.

**x. Change Management, Upgrades & Updates:**

The Service provider shall be responsible to carry out changes in Application Service Platform for any changes required for functions, processes, rules, improvements or any configuration changes etc. as per requirements of the CVC/Bank from time to time. Any statutory changes would be required to be done within stipulated time line. The upgrades and updates in the Application Service Platform shall be carried wherever due, with prior intimation to the Bank.

**xi. Process Operations Response Times:**

Sizing and capability of the Application Service Platform and Hardware deployed would be such that the Application Service Platform is able to deliver the web page or screen output at the user end within 5 seconds of query or request submission under ideal condition. The Application Service Platform should support minimum 300 concurrent users.

**xii. Support response and resolution time:**

Conduct event- If the service provider fails to conduct event then 5% of the cost of the Event per day if the Event is postponed by the Service Provider (even if conducted on the same date), subject to a maximum of 20% of the cost of that Event.

If Service Provider fails to deliver and perform any or all the Services within the stipulated time, schedule as specified in this Agreement, the Bank may, without prejudice to its other remedies under the Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, deduct from the Performance Bank Guarantee, as liquidated damages a sum equivalent to Rs Twenty Thousand for delay of each week or part thereof maximum up to Rs One Lakh. Once the maximum deduction is reached, the Bank may consider termination of the Agreement

RFP for procurement of Empanelment of Service Providers and Rate Discovery for e-Tendering, forward Auction and Reverse Auction Services



**APPENDIX-F PRICE BID**

**Price Bid**

The Price Bid needs to contain the information listed **Bearing the identification- “ price Bid for E-tendering, Forward auction and Reverse auction.**

The per e-auction price includes multiple lots/items in e-auction, if any. All activities included in a single notice inviting tender (NIT) shall constitute one auction/tender. The per e-tender event price includes multiple lots/items in e-tender, if any. The prices include all Services as defined in this RFP including but not limited to training service, preparation of Business rule Document (BRD), Tender creation/processing charges of E-Tendering/ E-Auction services, Post tender/auction, event report including Bid comparison chart, event history and MIS report and Help desk facility.

**Name of the Bidder:**

| Sr. No. | Item/Event*     | Unit cost per event (in Rupees) excluding all applicable taxes and duties# |
|---------|-----------------|----------------------------------------------------------------------------|
| 1.      | E-tendering     |                                                                            |
| 2.      | Reverse Auction |                                                                            |
| 3.      | Forward Auction |                                                                            |

\*Bidder(s) may quote for any or all of the item/ Event(s)

|  |  |  |  |  |  |
|--|--|--|--|--|--|
|  |  |  |  |  |  |
|  |  |  |  |  |  |

#

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

#Illustration: If your price is Rs.500/-plus GST . You may only quote Rs. 500/- in above table

**APPENDIX-G: CERTIFICATE OF LOCAL CONTENT**

**Format for Self-Certification of Local Content**

Date:

To,  
Deputy General Manager  
IT- Partner Relationships  
State Bank of India, Global IT Centre,  
4<sup>th</sup> Floor, Tower No.7, Belapur Railway Building,  
CBD Belapur, Navi Mumbai  
400614

Dear Sir,

**Ref.: RFP No. : SBI/GITC/IT-Partner Relationship/2024/2025/1284 Dated: 21/02/2025**

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

1. The details of location(s) at which the local value addition is made are as under:

| SI No | Product details | Name of place |
|-------|-----------------|---------------|
| 1     |                 |               |
| 2     |                 |               |

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

**Signature of authorised official  
Name:  
Company seal:**

**APPENDIX-H : BANK GUARANTEE FORMAT**

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

1. THIS BANK GUARANTEE AGREEMENT executed at \_\_\_\_\_this \_\_\_\_\_day of \_\_\_\_\_201 by \_\_\_\_\_ (Name of the Bank) \_\_\_\_\_ having its Registered Office at \_\_\_\_\_and its Branch at \_\_\_\_\_ (hereinafter referred to as "the Guarantor", which expression shall, unless it be repugnant to the subject, meaning or context thereof, be deemed to mean and include its successors and permitted assigns) IN FAVOUR OF State Bank of India, a Statutory Corporation constituted under the State Bank of India Act, 1955 having its Corporate Centre at State Bank Bhavan, Nariman Point, Mumbai and one of its offices at \_\_\_\_\_(procuring office address), hereinafter referred to as "SBI" which expression shall, unless repugnant to the subject, context or meaning thereof, be deemed to mean and include its successors and assigns).
2. WHEREAS M/s \_\_\_\_\_, incorporated under \_\_\_\_\_ Act having its registered office at \_\_\_\_\_ and principal place of business at \_\_\_\_\_ (hereinafter referred to as "Service Provider/ Vendor" which expression shall unless repugnant to the context or meaning thereof shall include its successor, executor & assigns) has agreed to develop, implement and support \_\_\_\_\_ (name of Service) (hereinafter referred to as "Services") to SBI in accordance with the Request for Proposal (RFP) No. **SBI/GITC/IT-Partner Relationship/2024/2025/1284** dated 21/02/2025.
3. WHEREAS, SBI has agreed to avail the Services from Service Provider for a period of \_\_\_\_\_ year(s) subject to the terms and conditions mentioned in the RFP.
4. WHEREAS, in accordance with terms and conditions of the RFP/Purchase order/Agreement dated \_\_\_\_\_, Service Provider is required to furnish a Bank Guarantee for a sum of Rs. \_\_\_\_\_/- (Rupees \_\_\_\_\_ only) for due performance of the obligations of Service Provider in providing the Services, in accordance with the RFP/Purchase order/Agreement guaranteeing payment of the said amount of Rs. \_\_\_\_\_/- (Rupees

\_\_\_\_\_ only) to SBI, if Service Provider fails to fulfill its obligations as agreed in RFP/Agreement.

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

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

#### **NOW THIS GUARANTEE WITNESSETH THAT**

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

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

- i. Any neglect or forbearance on the part of SBI to Service Provider or any indulgence of any kind shown by SBI to Service Provider or any change in the terms and conditions of the Agreement or the Services shall not, in any way, release or discharge the Bank from its liabilities under this Guarantee.
- ii. This Guarantee herein contained shall be distinct and independent and shall be enforceable against the Guarantor, notwithstanding any Guarantee or Security now or hereinafter held by SBI at its discretion.
- iii. This Guarantee shall not be affected by any infirmity or absence or irregularity in the execution of this Guarantee by and / or on behalf of the Guarantor or by merger or amalgamation or any change in the Constitution or name of the Guarantor.
- iv. The Guarantee shall not be affected by any change in the constitution of SBI or Service Provider or winding up / liquidation of Service Provider, whether voluntary or otherwise
- v. This Guarantee shall be a continuing guarantee during its validity period.
- vi. This Guarantee shall remain in full force and effect for a period of \_\_\_ year(s) \_\_\_\_\_ month(s) from the date of the issuance i.e. up to \_\_\_\_\_. Unless a claim under this Guarantee is made against us on or before \_\_\_\_\_, all your rights under this Guarantee shall be forfeited and we shall be relieved and discharged from all liabilities there under.
- vii. This Guarantee shall be governed by Indian Laws and the Courts in Mumbai, India alone shall have the jurisdiction to try & entertain any dispute arising out of this Guarantee.

**Notwithstanding anything contained herein above:**

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

**Yours faithfully,**

**For and on behalf of bank.**

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

**APPENDIX-I : PENALTIES**

**Penalties**

No charge will be paid for an event that is cancelled due to any technical fault/ failure on the part of the Service Provider concerned (including connectivity to the Service Provider's portal/data center /servers etc.). Additionally, a flat penalty of 20% of the 'per Event cost' will be levied for each of the cancelled events. If the event is cancelled by the Bank, no penalty will be levied. The Bank will be solely entitled to declare 'cancellation' of an event and to categorize it as a failure due to technical fault/failure on part of the Service Provider concerned

| <b>S. No.</b> | <b>Particulars</b>                                                                                                                                                                                         | <b>Delivery Schedule</b>                                    | <b>Penalty</b>                                                                                                                                                                     |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1             | Conduct Event                                                                                                                                                                                              | As per the agreed date                                      | 5% of the cost of the Event per day if the Event is postponed by the Service Provider (even if conducted on the same date), subject to a maximum of 20% of the cost of that Event. |
| 2             | Provision of error file, log file and other MIS as needed by the Bank after each tender event.                                                                                                             | 1 day from end of each tender event.                        | 5% of the cost of the Event per day beyond the delivery schedule subject to maximum of 20% of the cost of that Event                                                               |
| 3             | Submission of RCA (Root Cause Analysis) report for failed events due to technical issues at Bidder's end.                                                                                                  | 3 days from end of each tender event.                       | 5% of the cost of the Event per day beyond the delivery schedule subject to maximum of 20% of the cost of that Event                                                               |
| 4             | Quarterly certificate from CERT-In empaneled ISSP, periodically, i.e. at Quarterly interval by 15 <sup>th</sup> day of completion of respective quarter or as requested by the Bank for the control points | By 15 <sup>th</sup> day of completion of respective quarter | Rs 10,000/-per incident.                                                                                                                                                           |



|   |                                                                  |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|---|------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|   | mentioned in Appendix B1                                         |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 5 | Support response and resolution times, in the event of incident. |  | <p>If Service Provider fails to deliver and perform any or all the Services within the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, recover from the Service Provider as liquidated damages a sum equivalent to Rs.20,000/ for delay of each week or part thereof maximum up to Rs.100,000/-. Once the maximum deduction is reached, the Bank may consider termination of the Agreement</p> |



**APPENDIX-J : SERVICE LEVEL AGREEMENT**

**Service Level Agreement**

**AGREEMENT FOR PROCUREMENT OF EMPANELMENT OF SERVICE PROVIDERS AND RATE DISCOVERY FOR E-TENDERING, FORWARD AUCTION & REVERSE AUCTION SERVICES**

**BETWEEN**

**STATE BANK OF INDIA, \_\_\_\_\_ 1**

**AND**

\_\_\_\_\_ 2

**Date of Commencement : \_\_\_\_\_ 3**

**Date of Expiry : \_\_\_\_\_**

\_\_\_\_\_

This agreement (“Agreement”) is made at Navi Mumbai on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_.

BETWEEN

**State Bank of India**, constituted under the State Bank of India Act, 1955 having its Corporate Centre at State Bank Bhavan, Madame Cama Road, Nariman Point, Mumbai-21 and its Global IT Centre at Sector-11, CBD Belapur, Navi Mumbai-400614 through its IT-Partner Relationships Department,<sup>4</sup> hereinafter referred to as “**the Bank**” which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include its successors in title and assigns of First Part:

AND

\_\_\_\_\_ <sup>5</sup> a private/public limited company/LLP/Firm ~~<strike off whichever is not applicable>~~ incorporated under the provisions of the Companies Act, 1956/ Limited Liability Partnership Act 2008/ Indian Partnership Act 1932 ~~<strike off whichever is not applicable>~~, having its registered office at \_\_\_\_\_ hereinafter referred to as “**Service Provider/ Vendor**”, which expression shall mean to include its successors in title and permitted assigns of the Second Part:

WHEREAS

- (i) “The Bank” is carrying on business in banking in India and overseas and desirous to avail services for e-Tendering , Forward Auction and Reverse Auction.
- (ii) Service Provider is in the business of providing services for e-Tendering , Forward Auction and Reverse Auction and has agreed to provide the services as may be required by the Bank mentioned in the Request of Proposal (RFP) No. **SBI/GITC/IT-Partner Relationship/2024/2025/1284** dated 21/02/2025 issued by the Bank along with its clarifications/ corrigenda, referred hereinafter as a

\_\_\_\_\_

“RFP” and same shall be part of this Agreement.

- (iii) Service Provider participated in above mentioned RFP and emerged as one of the successful Bidder. Service Provider agreed to enter into an agreement (Rate Contract) with the Bank for providing Services for e-Tendering, Forward Auction, Reverse Auction Services
- (iv) Parties understand and agree that under this Agreement, the Bank may time to time, based on its actual requirements issue separate Purchase Order(s) to Service Provider for providing Services for e-Tendering, Forward Auction, and Reverse Auction Services and there is no minimum or prior commitment for such orders under this Agreement

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

## **1. DEFINITIONS & INTERPRETATION**

### **1.1 Definition**

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

- 1.1.1 ‘The Bank’ shall mean the State Bank of India (including domestic branches and foreign offices), Subsidiaries and Joint Ventures, where the Bank has ownership of more than 50% of voting securities or the

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

- 1.1.2 “Confidential Information” shall have the meaning set forth in Clause 14.
- 1.1.3 “Deficiencies” shall mean defects arising from non-conformity with the mutually agreed specifications and/or failure or non-conformity in the Scope of the Services.
- 1.1.4 “Documentation” will describe in detail and in a completely self-contained manner how the User may access and use the Service providers for e-Tendering , Forward Auction and Reverse Auction services such that any reader of the Documentation can access, use and maintain all of the functionalities of the Service providers for e-Tendering , Forward Auction and Reverse Auction services, without the need for any further instructions. ‘Documentation’ includes, user manuals, installation manuals, operation manuals, design documents, process documents, technical manuals, functional specification, software requirement specification, on-line tutorials/CBTs, system configuration documents, system/database administrative documents, debugging/diagnostics documents, test procedures, Review Records/ Test Bug Reports/ Root Cause Analysis Report, list of all Product components, list of all dependent/external modules and list of all documents relating to traceability of the Product as and when applicable etc.
- 1.1.5 “Intellectual Property Rights” shall mean, on a worldwide basis, any and all: (a) rights associated with works of authorship, including copyrights & moral rights; (b) Trade Marks; (c) trade secret rights; (d) patents, designs, algorithms and other industrial property rights; (e) other intellectual and industrial property rights of every kind and nature, however designated, whether arising by operation of law, contract, license or otherwise; and (f) registrations, initial applications, renewals, extensions, continuations, divisions or reissues thereof now or hereafter in force (including any rights in any of the foregoing).

- 1.1.6 "Per Event Price/ Per Event Cost" means the price payable to the Vendor under the Contract for conducting any of the Events as specified in the RFP through its Application Service Platform.
- 1.1.7 "Request for Proposal (RFP)" shall mean RFP NO.: **SBI/GITC/IT-Partner Relationship/2024/2025/1284** dated 21/02/2025 along with its clarifications/ corrigenda issued by the Bank time to time.
- 1.1.8 "Root Cause Analysis Report" shall mean a report addressing a problem or non-conformance, in order to get to the 'root cause' of the problem, which thereby assists in correcting or eliminating the cause, and prevent the problem from recurring.
- 1.1.9 'Services' shall mean and include the Services offered by Service Provider under this Agreement more particularly described in Clause 2 of this Agreement.
- 1.2 **Interpretations:**
- 1.2.1 Reference to a person includes any individual, firm, body corporate, association (whether incorporated or not) and authority or agency (whether government, semi government or local).
- 1.2.2 The singular includes the plural and vice versa.
- 1.2.3 Reference to any gender includes each other gender.
- 1.2.4 The provisions of the contents table, headings, clause numbers, italics, bold print and underlining is for ease of reference only and shall not affect the interpretation of this Agreement.
- 1.2.5 The Schedules, Annexures and Appendices to this Agreement shall form part of this Agreement.
- 1.2.6 A reference to any documents or agreements (and, where applicable, any of their respective provisions) means those documents or agreements as amended, supplemented or replaced from time to time provided they are amended, supplemented or replaced in the manner envisaged in the relevant documents or agreements.

- 1.2.7 A reference to any statute, regulation, rule or other legislative provision includes any amendment to the statutory modification or re-enactment or, legislative provisions substituted for, and any statutory instrument issued under that statute, regulation, rule or other legislative provision.
- 1.2.8 Any agreement, notice, consent, approval, disclosure or communication under or pursuant to this Agreement is to be in writing.
- 1.2.9 The terms not defined in this agreement shall be given the same meaning as given to them in the RFP. If no such meaning is given technical words shall be understood in technical sense in accordance with the industrial practices.

### 1.3 **Commencement, Term & Change in Terms**

- 1.3.1 This Agreement shall commence from its date of execution mentioned above/ be deemed to have commenced from 08.04.2025 (Effective Date).
- 1.3.2 This Agreement shall be in force for a period of three year(s) from Effective Date, unless terminated by the Bank by notice in writing in accordance with the termination clauses of this Agreement.
- 1.3.3 Purchase Order(s), which may be issued by the Bank time to time, shall be governed by the terms and conditions of this Agreement. Notwithstanding expiry of this Agreement, all the terms and conditions of this Agreement shall also be applicable and in full force for such Purchase Order(s) under which Service are required to be delivered beyond the term of this Agreement.
- 1.3.4 The Bank shall have the right at its discretion to renew this Agreement in writing, for a further term of the mutually agreed terms & conditions.

## 2. **SCOPE OF WORK**

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

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

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

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

2.2.3 Service Provider shall be required to get the Device hardened/configured as per the Bank's prevailing standards and policy.

2.2.4 Service Provider and/or its employee/representative shall be required to furnish an undertaking and/or information security declaration on the Bank's prescribed format before such remote access is provided by the Bank.

2.2.5 Service Provider shall ensure that services are performed in a physically protected and secure environment which ensures confidentiality and integrity of the Bank's data and artefacts, including but not limited to information (on customer, account, transactions, users, usage, staff, etc.), architecture (information, data, network, application, security, etc.), programming codes, access configurations, parameter settings, executable files, etc., which the Bank representative may inspect. Service Provider shall facilitate and/ or handover the Device to the Bank or its authorized representative for investigation and/or forensic audit.

2.2.6 Service Provider shall be responsible for protecting its network and subnetworks, from which remote access to the Bank's network is performed, effectively against unauthorized access, malware,



malicious code and other threats in order to ensure the Bank's information technology system is not compromised in the course of using remote access facility.

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

#### **3.1 Professional fees**

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

| Event           | Unit cost per event (in Rupees) excluding all applicable taxes and duties |
|-----------------|---------------------------------------------------------------------------|
| E-tendering     |                                                                           |
| Forward Auction |                                                                           |
| Reverse Auction |                                                                           |

3.2 All duties and taxes (excluding GST or any other tax imposed by the Government in lieu of same), if any, which may be levied, shall be borne by Service Provider and Bank shall not be liable for the same. All expenses, stamp duty and other charges/ expenses in connection with execution of this Agreement shall be borne by Service Provider. GST or any other tax imposed by the Government in lieu of same shall be borne

by the Bank on actual upon production of original receipt wherever required.

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

### 3.4 **Payments**

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

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

### 3.5 **Bank Guarantee and Penalties**

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

3.5.2 The Bank Guarantee is required to protect the interest of the Bank against the risk of non-performance of Service Provider in respect of successful implementation of the project and/or failing to perform / fulfil its commitments / obligations in respect of providing Services

as mentioned in this Agreement; or breach of any terms and conditions of the Agreement, which may warrant invoking of Bank Guarantee.

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

3.5.4 Performance of the obligations under the Agreement shall be made by Service Provider in accordance with the time schedule<sup>6</sup> specified in this Agreement.

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

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

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

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

- (i) Processing and authorizing invoices

##### **4.2 Service Provider Duties**

- (i) Service Delivery responsibilities
  - (a) To adhere to the service levels documented in this Agreement.

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<sup>6</sup> Please ensure that the time scheduled is suitably incorporated in the Agreement.

- (b) Service Provider shall *ensure that* Service Provider's personnel and its sub-contractors (if allowed) will abide by all reasonable directives issued by the Bank, including those set forth in the Bank's then-current standards, policies and procedures (to the extent applicable), all on-site rules of behaviour, work schedules, security procedures and other standards, policies and procedures as established by the Bank from time to time.
  - (c) Service Provider agrees and declares that it shall be the sole responsibility of Service Provider to comply with the provisions of all the applicable laws for the time being in force including but not limited to Information Technology Act, 2000 and rules thereof concerning or in relation to rendering of Services by Service Provider as envisaged under this Agreement.
  - (d) Service Provider shall report the incidents, including cyber incidents and those resulting in disruption of service and data loss/ leakage immediately but not later than one hour of detection.
  - (e) The Service Provider shall execute Data Processing Agreement on the format attached as Appendix-G to this RFP.
  - (f) The Service Provider agrees to comply with the obligations arising out of the Digital Personal Data Protection Act, 2023, as and when made effective. Any processing of Personal Data by the Service Providers in the performance of this Agreement shall be in compliance with the above Act thereafter. The Service Provider shall also procure that any sub-contractor (if allowed) engaged by it shall act in compliance with the above Act, to the extent applicable. The Service Provider understands and agrees that this agreement may have to be modified in a time bound manner to ensure that the provisions contained herein are in compliance with the above Act.
- (ii) Security Responsibility

- (a) Service Provider shall maintain the confidentiality of the Bank's resources and other intellectual property rights.
- (b) Service Provider shall implement and maintain reasonable security practices and procedures as defined under Section 43A of Information Technology Act, 2000 and rules thereof.
- (c) Without the Bank's prior written permission, Service Provider shall not store or share Bank's materials including Confidential Information outside the geographical boundary of India or in/with a public cloud.
- (d) Service Provider shall ensure that its environment is suitably protected from external threats by way of firewall.
- (e) Service Provider shall follow the best practices of creation of separate network zones (VLAN Segments) for Web, App, DB and different zones for critical applications, non-critical applications, UAT etc.
- (f) Service Provider shall take action immediately to identify and mitigate an information security incident and to carry out any recovery or remedies. Service Provider shall first obtain the Bank's approval of the content of any filing, communications, notices, press release or reports related to any security breach prior to any publication or communication thereof to any third party. Service Provide shall maintain a well understood reporting procedure for security incidents and a copy of such procedure shall be made available to the Bank.

## **5. REPRESENTATIONS & WARRANTIES**

5.1 Each of the Parties represents and warrants in relation to itself to the other that:

- 5.1.1 It has all requisite corporate power and authority to execute, deliver and perform its obligations under this Agreement and has been fully authorized through applicable corporate process to do so.

5.1.2 The person(s) signing this Agreement on behalf of the Parties have the necessary authority and approval for execution of this document and to bind his/their respective organization for due performance as set out in this Agreement. It has all necessary statutory and regulatory permissions, approvals and permits for the running and operation of its business.

5.1.3 It has full right, title and interest in and to all software, copyrights, trade names, trademarks, service marks, logos symbols and other proprietary marks (collectively 'IPR') (including appropriate limited right of use of those owned by any of its vendors, affiliates or subcontractors) which it provides to the other Party, for use related to the Services to be provided under this Agreement.

5.1.4 It will provide such cooperation as the other Party reasonably requests in order to give full effect to the provisions of this Agreement.

5.1.5 The execution and performance of this Agreement by either of the Parties does not and shall not violate any provision of any of the existing Agreement with any of the party and any other third party.

## 5.2 **Additional Representation and Warranties by Service Provider**

5.2.1 Service Provider shall perform the Services and carry out its obligations under the Agreement with due diligence, efficiency and economy, in accordance with generally accepted techniques and practices used in the industry and with professional standards recognized by international professional bodies and shall observe sound management practices. It shall employ appropriate advanced technology and safe and effective equipment, machinery, material and methods.

5.2.2 Service Provider has the requisite technical and other competence, sufficient, suitable, qualified and experienced manpower/personnel and expertise in providing the Services to the Bank.

- 5.2.3 Service Provider shall duly intimate to the Bank immediately, the changes, if any in the constitution of Service Provider.
- 5.2.4 Service Provider warrants that to the best of its knowledge, as on the Effective Date of this Agreement, the Services provided by Service Provider to the Bank do not violate or infringe any patent, copyright, trademarks, trade secrets or other intellectual property rights of any third party.
- 5.2.5 Service provider shall ensure that all persons, employees, workers and other individuals engaged by or sub-contracted (if allowed) by Service Provider in rendering the Services under this Agreement have undergone proper background check, police verification and other necessary due diligence checks to examine their antecedence and ensure their suitability for such engagement. No person shall be engaged by Service provider unless such person is found to be suitable in such verification and Service Provider shall retain the records of such verification and shall produce the same to the Bank as and when requested.
- 5.2.6 Service Provider warrants that the software deployed/ upgraded for providing Services as a part of this Agreement is free from malware, free from any obvious bugs, and free from any covert channels in the code (of the versions of the applications/software being deployed as well as any subsequent versions/modifications done). Software deployed/ upgraded for providing Services as a part of this Agreement shall remain free from OWASP Top 10 vulnerabilities (latest) during the term of this Agreement.
- 5.2.7 Service Provider represents and warrants that its personnel shall be present at the Bank premises or any other place as the bank may direct, only for the Services and follow all the instructions provided by the Bank; act diligently, professionally and shall maintain the decorum and environment of the Bank; comply with all occupational, health or safety policies of the Bank.

- 5.2.8 Service Provider warrants that it shall be solely liable and responsible for compliance of applicable Labour Laws in respect of its employee, agents, representatives and sub-contractors (if allowed) and in particular laws relating to terminal benefits such as pension, gratuity, provided fund, bonus or other benefits to which they may be entitled and the laws relating to contract labour, minimum wages, etc., and the Bank shall have no liability in this regard.
- 5.2.9 Service Provider agrees that the Bank either itself or through its authorized representative shall have right to perform ethical hacking on public IPs and URLs of Service Provider, wherein the Bank has integrations.
- 5.2.10 Service Provider agrees that it shall communicate to the Bank well in advance along with detail plan of action, if any changes in Service Provider's environment/infrastructure is of the nature that may have direct or indirect impact on the Services provided under this Agreement or operations of its Services.
- 5.2.11 Service Provider at its own expenses, agrees to provide audit report of the process and infrastructure from CERT-In empanelled ISSP, periodically, at least once in a year or as requested by the Bank.
- 5.2.12 Service Provider shall ensure confidentiality, integrity and availability of the Bank's information at all times and shall comply with regard to the followings:
- a) Acceptable Usage Policy: Information assets of Service Provider should be provided to its authorized users only for the intended purpose and users shall adhere to safe and acceptable usage practices.
  - b) Email Usage: The employees of Service Provider shall use authorized media only for email communication.
  - c) Password Management: Service Provider shall have a password management system in place, which ensures secure passwords.



- d) Physical and Environmental Security: Service Provider shall provide sufficient guidance for its employees with respect to physical and environmental security.
- e) Logical Access Control and User Access Management: The access to information and information systems shall be according to the principles of "least privilege" and "need to know" basis to authorized users of Service Provider.
- f) Infrastructure Security: Service Provider shall ensure correct and secure operations of information processing facilities.
- g) Change Management: Service Provider shall provide a managed and orderly method in which changes to the information technology environment are requested, tested and approved prior to installation or implementation.
- h) Information Security Incident Management: Service provider shall ensure effective management of information security incidents, including the preservation of digital evidence.
- i) Communications Strategy: Service provider shall ensure prevention of unauthorized access to communications traffic, or to any written information that is transmitted or transferred.
- j) Service Provider Relationship: Service provider shall ensure that information security risks related to outsourcing of Services to any other party, if permitted by the Bank, shall be assessed and managed regularly, to the satisfaction of the Bank.
- k) Digital Risk: Service Provider shall ensure that electronic data is gathered and preserved in a systematic, standardized and legal manner to ensure the admissibility of the evidence for the purpose of any legal proceedings or investigations, whenever demanded by the Bank.
- l) Change Management: Service Provider shall provide a managed and orderly method in which changes to the information technology environment (including, database, operating system,

application, networking etc.) are requested, tested and approved prior to installation or implementation.

- m) Port Management: Service Provider shall ensure that the controls are implemented for secure port management so as to protect the network from unauthorized access.
- n) Patch Management: Service Provider shall ensure that the security patches to information assets and systems are correctly and completely updated in a timely manner for known vulnerabilities.
- o) Backup Management: Service Provider shall ensure that regular backup is taken so that when necessary, information may be restored from backup media to return the application, database, operating system etc. to production status.
- p) Access Management: Service Provider shall limit access to information and information processing facilities for authorized users only.
- q) Log Management: Logging shall be enabled on all systems of Service Provider to ensure audit trail is maintained every time.
- r) Service Provider shall have an anti-virus solution with regular updates to protect their system against malicious attacks in the form of virus, malware, trojans etc.

## **6. GENERAL INDEMNITY**

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

representatives or sub-contractors (if allowed) of Service Provider. Service Provider agrees to make good the loss suffered by the Bank.

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

## **7. CONTINGENCY PLANS**

- 7.1 Service Provider shall arrange and ensure proper data recovery mechanism, attrition plan and other contingency plans to meet any unexpected obstruction to the Service Provider or any employees or sub-contractors (if allowed) of Service Provider in rendering the Services or any part of the same under this Agreement to the Bank. Service Provider at Banks discretion shall co-operate with the Bank in case on any contingency.
- 7.2 Service Provider shall have defined business continuity management and disaster recovery procedures in place for effective handling of critical business processes in situation of any incident disrupting the Services under this Agreement. Service Provider shall carry out periodic drill activity to ensure the effectiveness of business continuity management and disaster recovery procedures and reports of such activities shall be shared with the Bank.

## **8. TRANSITION REQUIREMENT**

In the event of failure of Service Provider to render the Services or in the event of termination of Agreement or expiry of term or otherwise, without prejudice to any other right, the Bank at its sole discretion may make alternate arrangement for getting the Services contracted with another

vendor. In such case, the Bank shall give prior notice to the existing Service Provider. The existing Service Provider shall continue to provide services as per the terms of the Agreement until a 'New Service Provider' completely takes over the work. During the transition phase, the existing Service Provider shall render all reasonable assistances to the new Service Provider within such period prescribed by the Bank, at no extra cost to the Bank, for ensuring smooth switch over and continuity of Services, provided where transition services are required by the Bank or New Service Provider beyond the term of this Agreement, reasons for which are not attributable to Service Provider, payment shall be made to Service Provider for such additional period on the same rates and payment terms as specified in this Agreement. If existing Service Provider is found to be in breach of this obligation, they shall be liable for paying a penalty of Rs. Five Lakh on demand to the Bank, which may be settled from the payment of invoices or bank guarantee for the contracted period. Transition & Knowledge Transfer plan is mentioned in Annexure F.

## **9. LIQUIDATED DAMAGES**

If Service Provider fails to deliver and perform any or all the Services within the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, recover from the Service Provider as liquidated damages a sum equivalent to Rs.20,000/ for delay of each week or part thereof maximum up to Rs.100,000/-. Once the maximum deduction is reached, the Bank may consider termination of the Agreement

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

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

## **11. SUB-CONTRACTING**

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

## **12. INTELLECTUAL PROPERTY RIGHTS**

- 12.1 For any technology / software / product used by Service Provider for performing Services for the Bank as part of this Agreement, Service Provider shall have right to use as well as right to license such technology/ software / product. The Bank shall not be liable for any license or IPR violation on the part of Service Provider.
- 12.2 Without the Bank's prior written approval, Service provider will not, in performing the Services, use or incorporate link to or call or depend in any way upon, any software or other intellectual property that is subject to an Open Source or Copy left license or any other agreement that may give rise to any third-party claims or to limit the Bank's rights under this Agreement.
- 12.3 Subject to below mentioned sub-clause 12.4 and 12.5 of this Agreement, Service Provider shall, at its own expenses without any limitation, indemnify and keep fully and effectively indemnified the Bank against all costs, claims, damages, demands, expenses and liabilities whatsoever nature arising out of or in connection with all claims of infringement of Intellectual Property Right, including patent, trademark, copyright, trade secret or industrial design rights of any third party arising from the Services or use of the technology / software / products or any part thereof in India or abroad.
- 12.4 The Bank will give (a) notice to Service Provider of any such claim without delay/provide reasonable assistance to Service Provider in disposing of the claim; (b) sole authority to defend and settle such claim and; (c) will at no time admit to any liability for or express any intent to settle the claim provided that (i) Service Provider shall not partially settle any such claim without the written consent of the Bank, unless such settlement releases the Bank fully from such claim, (ii) Service Provider shall promptly provide the Bank with copies of all pleadings or similar documents relating to any such claim, (iii) Service Provider shall consult with the Bank with respect to the defense and settlement of any such

claim, and (iv) in any litigation to which the Bank is also a party, the Bank shall be entitled to be separately represented at its own expenses by counsel of its own selection.

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

### **13. INSPECTION AND AUDIT**

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

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

#### **14. CONFIDENTIALITY**

- 14.1 “Confidential Information” mean all information which is material to the business operations of either party or its affiliated companies, designated as being confidential or which, under the circumstances surrounding disclosure out to be treated as confidential, in any form including, but not limited to, proprietary information and trade secrets,



whether or not protected under any patent, copy right or other intellectual property laws, in any oral, photographic or electronic form, whether contained on computer hard disks or floppy diskettes or otherwise without any limitation whatsoever. Without prejudice to the generality of the foregoing, the Confidential Information shall include all information about the party and its customers, costing and technical data, studies, consultants reports, financial information, computer models and programs, software Code, contracts, drawings, blue prints, specifications, operating techniques, processes, models, diagrams, data sheets, reports and other information with respect to any of the foregoing matters. All and every information received by the parties and marked confidential hereto shall be assumed to be confidential information unless otherwise proved. It is further agreed that the information relating to the Bank and its customers is deemed confidential whether marked confidential or not.

- 14.2 All information relating to the accounts of the Bank's customers shall be confidential information, whether labeled as such or otherwise.
- 14.3 All information relating to the infrastructure and Applications (including designs and processes) shall be deemed to be Confidential Information whether labeled as such or not. Service Provider personnel/resources responsible for the project are expected to take care that their representatives, where necessary, have executed a Non-Disclosure Agreement similar to comply with the confidential obligations under this Agreement.
- 14.4 Each party agrees that it will not disclose any Confidential Information received from the other to any third parties under any circumstances without the prior written consent of the other party unless such disclosure of Confidential Information is required by law, legal process or any order of any government authority. Service Provider in this connection, agrees to abide by the laws especially applicable to confidentiality of information relating to customers of Banks and the banks per-se, even when the disclosure is required under the law. In

such event, the Party must notify the other Party that such disclosure has been made in accordance with law; legal process or order of a government authority.

- 14.5 Each party, including its personnel, shall use the Confidential Information only for the purposes of achieving objectives set out in this Agreement. Use of the Confidential Information for any other purpose shall constitute breach of trust of the same.
- 14.6 Each party may disclose the Confidential Information to its personnel solely for the purpose of undertaking work directly related to the Agreement. The extent of Confidential Information disclosed shall be strictly limited to what is necessary for those particular personnel to perform his/her duties in connection with the Agreement. Further each Party shall ensure that each personnel representing the respective party agree to be bound by obligations of confidentiality no less restrictive than the terms of this Agreement.
- 14.7 The non-disclosure obligations herein contained shall not be applicable only under the following circumstances:
- (i) Where Confidential Information comes into the public domain during or after the date of this Agreement otherwise than by disclosure by a receiving party in breach of the terms hereof.
  - (ii) Where any Confidential Information was disclosed after receiving the written consent of the disclosing party.
  - (iii) Where receiving party is requested or required by law or by any Court or governmental agency or authority to disclose any of the Confidential Information, then receiving party will provide the other Party with prompt notice of such request or requirement prior to such disclosure.
  - (iv) Where any Confidential Information was received by the receiving party from a third party which does not have any obligations of confidentiality to the other Party.

(v) Where Confidential Information is independently developed by receiving party without any reference to or use of disclosing party's Confidential Information.

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

14.9 Service Provider shall ensure to filter all phishing / spamming / overflow attacks in order to ensure availability and integrity on continuous basis.

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

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

14.12 The Bank reserves its right to recall all the Bank's materials including Confidential Information, if stored in Service Provider system or environment, at any time during the term of this Agreement or immediately upon expiry or termination of Agreement. Service Provider shall ensure complete removal of such material or data from its system or environment (including backup media) to the satisfaction of the Bank.

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

## 15. OWNERSHIP

- 15.1 Service Provider agrees that the Bank owns the entire right, title and interest to any inventions, designs, discoveries, writings and works of authorship, including all intellectual property rights, copyrights. Any work made under this Agreement shall be deemed to be 'work made for hire' under any Indian/U.S. or any other applicable copyright laws.
- 15.2 The Intellectual Property Rights on the software code, copyright and source code for various applications/ interfaces developed under this Agreement, and any other component/ framework/ middleware used/ developed as pre-built software assets to deliver the solution, shall belong to the Bank and the Bank shall have complete and unrestricted rights on such property. However, Service Provider shall hold All Intellectual Property rights in any pre-built software *per se*, except for those which have been assigned under this Agreement.
- 15.3 All information processed by Service Provider during Services belongs to the Bank. Service Provider shall not acquire any other right in respect of the information for the license to the rights owned by the Bank. Service Provider will implement mutually agreed controls to protect the information. Service Provider also agrees that it will protect the information appropriately.

## 16. TERMINATION

- 16.1 The Bank may, without prejudice to any other remedy for breach of Agreement, by written notice of not less than 30 (thirty) days, terminate the Agreement in whole or in part:
- (e) If Service Provider fails to deliver any or all the obligations within the time period specified in the Agreement, or any extension thereof granted by the Bank;
  - (f) If Service Provider fails to perform any other obligation(s) under the Agreement;

- (g) Violations of any terms and conditions stipulated in the RFP;
- (h) On happening of any termination event mentioned herein above in this Agreement.

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

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

16.3 In the event the Bank terminates the Agreement in whole or in part for the breaches attributable to Service Provider, the bank may procure, upon such terms and in such manner, as it deems appropriate, Services similar to those undelivered and subject to clause 20 Service Provider shall be liable to the Bank for any increase in costs for such similar Services. However, Service Provider, in case of part termination, shall continue the performance of the Agreement to the extent not terminated.

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

- (i) If any Receiver/Liquidator is appointed in connection with the business of the Service Provider or Service Provider transfers substantial assets in favour of its creditors or any orders / directions are issued by any Authority / Regulator which has the effect of suspension of the business of Service Provider.
- (ii) If Service Provider applies to the Court or passes a resolution for

voluntary winding up of or any other creditor / person files a petition for winding up or dissolution of Service Provider.

- (iii) If any acts of commission or omission on the part of Service Provider or its agents, employees, sub-contractors or representatives, in the reasonable opinion of the Bank tantamount to fraud or prejudicial to the interest of the Bank or its employees.
- (iv) Any document, information, data or statement submitted by Service Provider in response to RFP, based on which Service Provider was considered eligible or successful, is found to be false, incorrect or misleading.

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

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

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

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

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

- 17.2 If however, the parties are not able to solve them amicably within 30 (Thirty) days after the dispute occurs, as evidenced through the first written communication from any Party notifying the other regarding the disputes, the same shall be referred to and be subject to the jurisdiction of competent Civil Courts of Mumbai only. The Civil Courts in Mumbai, Maharashtra shall have exclusive jurisdiction in this regard.
- 17.3 In the absence of consensus about the single arbitrator, the dispute may be referred to an arbitration panel; one to be nominated by each party and the said arbitrators shall nominate a presiding arbitrator, before commencing the arbitration proceedings. The arbitration shall be settled in accordance with the applicable Indian Laws and the arbitration shall be conducted in accordance with the Arbitration and Conciliation Act, 1996.
- 17.4 Service Provider shall continue work under the Contract during the dispute resolution proceedings unless otherwise directed by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the competent court is obtained.
- 17.5 In case of any change in applicable laws that has an effect on the terms of this Agreement, the Parties agree that the Agreement may be reviewed, and if deemed necessary by the Parties, make necessary amendments to the Agreement by mutual agreement in good faith, in case of disagreement obligations mentioned in this clause shall be observed.

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

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

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

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

## **19. WAIVER OF RIGHTS**

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



single or partial exercise of any right, power or remedy by either Party hereunder on one occasion will not be construed as a bar to a waiver of any successive or other right, power or remedy on any other occasion.

## **20. LIMITATION OF LIABILITY**

- 20.1 The maximum aggregate liability of Service Provider, subject to below mentioned sub-clause 20.3, in respect of any claims, losses, costs or damages arising out of or in connection with this Agreement shall not exceed Rs. 500,0001- or total amount paid to Service Provider in respective year under which such claims rise, whichever is greater.
- 20.2 Under no circumstances shall either Party be liable for any indirect, consequential or incidental losses, damages or claims including loss of profit, loss of business or revenue.
- 20.3 The limitations set forth in abovementioned sub-Clause 20.1 shall not apply with respect to:
- (i) claims that are the subject of indemnification pursuant to Clause 12<sup>7</sup> (infringement of third party Intellectual Property Right);
  - (ii) damage(s) occasioned by the Gross Negligence or Willful Misconduct of Service Provider;
  - (iii) damage(s) occasioned by Service Provider for breach of Confidentiality Obligations;
  - (iv) Regulatory or statutory fines imposed by a Government or Regulatory agency for non-compliance of statutory or regulatory guidelines applicable to the Bank, provided such guidelines were brought to the notice of Service Provider.

For the purpose of above mentioned sub-clause (ii) “Gross Negligence” means any act or failure to act by a party which was in reckless disregard of or gross indifference to the obligation of the party under this Agreement and which causes injury, damage to life, personal safety, real property, harmful consequences to the other

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<sup>7</sup> Please see Clause 12 ‘IPR Indemnification’

party, which such party knew, or would have known if it was acting as a reasonable person, would result from such act or failure to act for which such Party is legally liable. Notwithstanding the forgoing, Gross Negligence shall not include any action taken in good faith.

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

## **21. FORCE MAJEURE**

- 21.1 Notwithstanding anything else contained in the Agreement, neither Party shall be liable for any delay in performing its obligations herein if and to the extent that such delay is the result of an event of Force Majeure.
- 21.2 For the purposes of this clause, 'Force Majeure' means and includes wars, insurrections, revolution, civil disturbance, riots, terrorist acts, public strikes, hartal, bundh, fires, floods, epidemic, quarantine restrictions, freight embargoes, declared general strikes in relevant industries, Vis Major, acts of Government in their sovereign capacity, impeding reasonable performance of Service Provider and / or sub-contractor but does not include any foreseeable events, commercial considerations or those involving fault or negligence on the part of the party claiming Force Majeure.
- 21.3 If Force Majeure situation arises, the non-performing Party shall promptly notify to the other Party in writing of such conditions and the cause(s) thereof. Unless otherwise agreed in writing, the non-performing Party shall continue to perform its obligations under the Agreement as far as is reasonably practical, and shall seek all

reasonable alternative means for performance not prevented by the Force Majeure event.

21.4 If the Force Majeure situation continues beyond 30 (thirty) days, either Party shall have the right to terminate the Agreement by giving a notice to the other Party. Neither Party shall have any penal liability to the other in respect of the termination of this Agreement as a result of an event of Force Majeure. However, Service Provider shall be entitled to receive payments for all services actually rendered up to the date of the termination of this Agreement.

## **22. NOTICES**

22.1 Any notice or any other communication required to be given under this Agreement shall be in writing and may be given by delivering the same by hand or sending the same by prepaid registered mail, postage prepaid, telegram or facsimile to the relevant address set forth below or such other address as each Party may notify in writing to the other Party from time to time. Any such notice given as aforesaid shall be deemed to be served or received at the time upon delivery (if delivered by hand) or upon actual receipt (if given by postage prepaid, telegram or facsimile).

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

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

(a) In the case of the Bank

State Bank Of India  
IT-PR Department  
State Bank Global IT Centre  
Belapur Railway Station Building  
4<sup>th</sup> Floor, Tower No. 7  
CBD Belapur, Navi Mumbai-400614

(b) In case of Service Provider



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

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

**23. GENERAL TERMS & CONDITIONS**

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

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

23.3 NON-HIRE AND NON-SOLICITATION: During the term of this Agreement and for a period of one year thereafter, neither party shall (either directly or indirectly through a third party) employ, solicit to employ, cause to be solicited for the purpose of employment or offer employment to any employee(s) of the other party, or aid any third person to do so, without the specific written consent of the other party. However nothing in this clause shall affect the Bank's regular recruitments as per its recruitment policy and not targeted to the employees of Service provider.

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



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

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

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

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

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

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

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

**State Bank of India  
Provider**

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

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

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

WITNESS:

1.

1.

2.

2.

## SCOPE OF WORK

### **i.Scope of work includes the following service but not limited to:**

The empanelled E-Tendering Vendors here-in-after referred to as “Service Providers” will provide the following services to the Bank and in line with Appendix-C:

- d. Online e-tendering, receipt of Online Technical Bids and Bid evaluation (As specified in Sl. No. 1 to 17 of Clause 3.3 of **Appendix-C**) to be used for procurements of the Bank.
- e. Reverse e-Auction to be used for procurements of the Bank.
- f. Forward e-Auction to be used for disposal of assets by the Bank including those under DRT and SARFAESI.

It is clarified that:

7. Service provider does not have any role in the settlement of commercial transactions after the event. The payment, shipment and necessary installation and commissioning activities are between the Bank / DRT and the Seller/Buyer.
8. Service provider will, however, remain responsible for maintaining adequate security and control at the hosting site as also at the network level so as to ensure confidentiality of the transactions, restriction of access only to the authorized users, maintenance of auditable / verifiable logs of all bids etc. and their acceptance/rejection in a transparent and orderly manner.
9. The Service provider should also comply with the security and control standards at the hosting site as per the provisions of the IT Act 2000.
10. The Service provider should also comply with the STQC Quality requirements for e- procurement Systems or e-auction systems as on date and also ensure future compliance applicable from time to time.
11. The empaneled Service provider shortlisted by the Bank would be used by all offices of the State Bank Group across the country for E-Tendering services etc through various IT initiatives of the Bank.
12. The Bank may time to time, based on its actual requirements avail Services from any of the empaneled Service Provider and there is no minimum or prior commitment for such orders under this RFP.

## ii. Time Schedule

The Service provider must ensure that dates chosen for conducting online e-Auction and timing as communicated by the Bank from time to time are to be strictly adhered.

Service provider has to conduct one e-Tendering, one Forward Auction and one Reverse Auction Event online as Proof of Concept without any cost to the Bank as per their respective category. Only after successful completion of Proof of Concept the Application Service Platform will be deemed to be accepted by the Bank.

### Security:

i. The Application Service Platform should deploy the highest level of security that is available today in the market to prevent unauthorized access, modifications to the system, denial of service attack, hacking etc. and should be having perfect forward secrecy i.e. the Application Service Platform information should not be able to compromise even in the future.

ii. The Information Security Audit of the system should have been conducted from CERT-IN empaneled Auditor annually and submit the auditor's report, failing which any payment due to Service provider shall be withheld till such time report is made available to SBI. The said report should also include successful implementations of vulnerabilities and recommendations by auditors.

iii. The Application Service Platform should support high order encryption level and all the commercial information is encrypted during the transmission/network and at the database level.

iv. The entire Application Service Platform should have security mechanism for encryption to ensure data integrity, authentication etc as per the Indian IT Act 2000 and subsequent amendments. Should be having security mechanism for encryption and to ensure data integrity, authentication etc.

v. The Application Service Platform should be certified by Standardization Testing and Quality Certification (STQC) Directorate under Department of Information Technology (DIT), Ministry of Communication & Information Technology and compliant with all the applicable requirements relating to functionality, security and transparency of the following guidelines

'Guidelines for compliance to Quality requirement of e-Procurement Systems' dated 31st August, 2011 of Department of Information Technology (DIT)/ Standardization Testing and Quality Certification (STQC), Ministry of Communication & Information Technology of the Government of India (DIT-Guidelines) which includes:

CVC Guidelines for e-Procurement application software as covered by the relevant provisions of Annexure-II of DIT-Guidelines

- GFR-2005 as covered by Annexure-III of DIT-Guidelines
- IT Act 2000 (and its subsequent amendment 2008) as covered by Annexure-IV of DIT Guidelines.
- The STQC certificate should remain valid during the entire agreement period with SBI.

v. **On-Line availability:**

The Service Provider shall guarantee a Quarterly uptime of minimum 99% for the Backend Infrastructure (hardware/software) **and application** from the date of commencement of the proposed Application Service Platform. (Any planned shutdown will not be considered for calculation.)”.

The Application Service Platform should be available online on a 24\*7\*365 basis and accessible from anywhere.

v. **Confidentiality:**

The Application Service Platform should ensure complete confidentiality and security of data. It should incorporate digital signatures to ensure that only authorized personnel have access to the tender application and the data. The Application Service Platform should generate a log of all the activities and make the same available to the Bank as and when required, thereby leaving a robust audit trail.

Also the Service provider must maintain absolute confidentiality of the documents/maps/tools collected in any form including electronic media and any other data/information provided to him for the execution of the work.

The Service provider should not use the data for any purpose other than the scope of work specified in the document and added/amended before signing the Contract.

If at any stage it is found that the Service provider is using the data provided by the client during the Contract execution or after completion of the Contract for any other purposes, stringent legal action will be initiated as per applicable law of land and the Contract will be terminated without assigning any reasons.

vi. **Data Ownership:**

The ownership of all tender related data, RFP documents/forms lies with the Bank only. The Service provider will only be custodian of this data during the Contract period.

vii. **Audit trail:**

The Application Service Platform should provide for adequate audit trail including log reports for all the activities, transactions and any changes in configuration, information/ data changes, updations etc. The service provider shall provide the same to the Bank by the end of every month till the duration of the contract.



**viii. MIS/Reports:**

i. MIS reports in the form of total number of Bids with the value for a tender as well as for a particular Bidder, lowest Bid with the details, the details of the Bidder etc., the progression of the tendering process etc. shall be provided in addition to configurable reports with available data based on actual requirements for a given option/e-auction processing a password protected file.

ii. The Application Service Platform should be capable of generating reports regarding down time. Service provider shall provide mechanism for logging and recording of server or system down time, which should be acceptable to the Bank.

iii. Monthly MIS of all the events conducted during the month shall be submitted by the service provider to the IT-Partner Relationships Department at GITC.

IV. In the following format (alongwith other reports) , a report to be submitted to IT-PR quarterly (June, September, December and March) by 15<sup>th</sup> of subsequent month of the quarter ended.

| Sr No. | Circles+     | Nos of E-tendering | Nos of Reverse Auction | Nos. of Forward Auction | Total |
|--------|--------------|--------------------|------------------------|-------------------------|-------|
| 1      | Ahmedabad    |                    |                        |                         |       |
| 2      | Amaravati    |                    |                        |                         |       |
| 3      | Bengaluru    |                    |                        |                         |       |
| 4      | Bhopal       |                    |                        |                         |       |
| 5      | Bhubaneshwar |                    |                        |                         |       |
| 6      | Chandigarh   |                    |                        |                         |       |
| 7      | Chennai      |                    |                        |                         |       |
| 8      | Guwahati     |                    |                        |                         |       |
| 9      | Hyderabad    |                    |                        |                         |       |
| 10     | Jaipur       |                    |                        |                         |       |
| 11     | Kolkata      |                    |                        |                         |       |
| 12     | Lucknow      |                    |                        |                         |       |
| 13     | Maharashtra  |                    |                        |                         |       |
| 14     | Mumbai Metro |                    |                        |                         |       |
| 15     | New Delhi    |                    |                        |                         |       |
| 16     | Patna        |                    |                        |                         |       |

|    |                    |  |  |  |
|----|--------------------|--|--|--|
| 17 | Thiruvananthapuram |  |  |  |
| 18 | Corporate Centre   |  |  |  |
| 19 | GITC               |  |  |  |

**ix. Data Protection and Retention**

The Service provider will take all measures to keep data pertaining to the Bank secure at Data Center (DC) as well as at Disaster Recovery (DR) site in India only during the Contract period. A copy of this data should be kept in fireproof vault at DC and DR. At the end of Contract period, the Service provider will hand over this data to the Bank, in readable soft format.

Service provider acknowledges and agrees that all tangible and intangible information obtained, developed or disclosed including all documents of the Bank in part or complete shall be considered to be confidential and proprietary information (“Confidential Information”) and shall not be disclosed to any third party/published without the written approval of the Bank.

Any document, shall remain the property of the Bank and shall be returned (in all copies) to the Bank on completion of the Vendor’s performance under the Contract, if so required by the Bank.

If the Contract is terminated under any termination clause, the Service provider shall handover all documents/ executable/ Bank’s data or any other relevant information to the Bank in timely manner and in proper format as per scope of this RFP.

The Service provider should keep all the data pertaining to the Bank duly encrypted and store in a secured format. The Service provider shall submit the stored data to Bank within 10 days after completion of every year in a separate CD. Further, Service provider has to provide data pertaining to all the events conducted on the website during Contract period to the bank within 7 days prior to end of the Contract period. Service provider should ensure Data Security and protection of facilities/application managed by them.

**x. Change Management, Upgrades & Updates:**

The Service provider shall be responsible to carry out changes in Application Service Platform for any changes required for functions, processes, rules, improvements or any configuration changes etc. as per requirements of the CVC/Bank from time to time. Any statutory changes would be required to be done within stipulated time line. The upgrades and updates in the Application Service Platform shall be carried wherever due, with prior intimation to the Bank.

**xi. Process Operations Response Times:**

Sizing and capability of the Application Service Platform and Hardware deployed would be such that the Application Service Platform is able to deliver the web page or screen output at the user end within 5 seconds of query or request submission under ideal condition. The Application Service Platform should support minimum 300 concurrent users.

**xii. Support response and resolution time:**

Conduct event- If the service provider fails to conduct event then 5% of the cost of the Event per day if the Event is postponed by the Service Provider (even if conducted on the same date), subject to a maximum of 20% of the cost of that Event.

If Service Provider fails to deliver and perform any or all the Services within the stipulated time, schedule as specified in this Agreement, the Bank may, without prejudice to its other remedies under the Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, deduct from the Performance Bank Guarantee, as liquidated damages a sum equivalent to Rs Twenty Thousand for delay of each week or part thereof maximum up to Rs One Lakh. Once the maximum deduction is reached, the Bank may consider termination of the Agreement

**ANNEXURE-B**

**INFRASTRUCTURE MANAGEMENT METRICS** <strike off which ever in not applicable>

(a) Service metric for Recovery Time objective (RTO) <strike off if not applicable>

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

(b) SLA for Recovery Point Objective <strike off if not applicable>

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

(c) INFRASTRUCTURE SUPPORT METRICS <strike off if not applicable>

| Activities                                        |         | Severity | Response Time (mins) | Resolution Time (mins) | Measurement Criteria |
|---------------------------------------------------|---------|----------|----------------------|------------------------|----------------------|
| Operational Task                                  | Details |          |                      |                        |                      |
| <to be filled in by the concerned dept. depending | .....   | Level 1  | .....                | .....                  | <.....>              |
|                                                   | .....   | Level 2  | .....                | .....                  | <to be filled in     |



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



**ANNEXURE-C**

**SERVICE DESK SUPPORT METRIC** <strike off if not applicable>

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

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

**SERVICE LEVEL REPORTING/ FREQUENCY**<sup>8</sup> <strike off if not applicable>

<Describe the service level reporting frequency and methodology>

**SERVICE REVIEW MEETING**<sup>9</sup> <strike off if not applicable>

\_\_\_\_\_



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

- President,
- Members.....

**ANNEXURE-D**

ESCALATION MATRICS<sup>10</sup> <strike off if not applicable>

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



**Penalties**

No charge will be paid for an event that is cancelled due to any technical fault/failure on the part of the Service Provider concerned (including connectivity to the Service Provider's portal/data center /servers etc.). Additionally, a flat penalty of 20% of the 'per Event cost' will be levied for each of the cancelled events. If the event is cancelled by the Bank, no penalty will be levied. The Bank will be solely entitled to declare 'cancellation' of an event and to categorize it as a failure due to technical fault/failure on part of the Service Provider concerned.

| Sr No | Particulars                                                                                                                                                                                    | Delivery Schedule                               | Penalty                                                                                                                                                                           |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1     | Conduct Event                                                                                                                                                                                  | As per the agreed date                          | 5% of the cost of the Event per day if the Event is postponed by the Service Provider (even if conducted on the same date), subject to a maximum of 20% of the cost of that Event |
| 2     | Provision of error file, log file and other MIS as needed by the Bank after each tender event                                                                                                  | 1 day from end of each tender event.            | 5% of the cost of the Event per day beyond the delivery schedule subject to maximum of 20% of the cost of that Event                                                              |
| 3     | Submission of RCA (Root Cause Analysis) report for failed events due to technical issues at Bidder's end.                                                                                      | 3 days from end of each tender event.           | 5% of the cost of the Event per day beyond the delivery schedule subject to maximum of 20% of the cost of that Event                                                              |
| 4     | Quarterly certificate from CERT-In empaneled ISSP, periodically, i.e. at Quarterly interval by 15th day of completion of respective quarter or as requested by the Bank for the control points | By 15th day of completion of respective quarter | Rs 10,000/- per incident                                                                                                                                                          |

|   |                                                                  |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|---|------------------------------------------------------------------|--|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|   | mentioned in Appendix B 1."                                      |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 5 | Support response and resolution times, in the event of incident. |  | <p>If Service Provider fails to deliver and perform any or all the Services within the stipulated time, schedule as specified in this RFP/Agreement, the Bank may, without prejudice to its other remedies under the RFP/Agreement, and unless otherwise extension of time is agreed upon without the application of liquidated damages, recover from the Service Provider as liquidated damages a sum equivalent to Rs.20,000/ for delay of each week or part thereof maximum up to Rs.100,000/-.</p> <p>Once the maximum deduction is reached, the</p> |

RFP for procurement of Empanelment of Service Providers and Rate Discovery for e-Tendering, forward Auction and Reverse Auction Services



|  |  |  |                                                |
|--|--|--|------------------------------------------------|
|  |  |  | Bank may consider termination of the Agreement |
|--|--|--|------------------------------------------------|

## ANNEXURE-F

### Transition & Knowledge Transfer Plan

#### 1. Introduction

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

#### 2. Objectives

- 2.1 The objectives of this annexure are to:

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

#### 3. General

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

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

- 3.2.1 during any procurement process initiated by the Bank and in anticipation of the expiry or termination of the Agreement and irrespective of the identity of any potential or actual Replacement SERVICE PROVIDER, Service Provider shall comply with all reasonable requests by the Bank to

provide information relating to the operation of the Services, including but not limited to, hardware and software used, inter-working, coordinating with other application owners, access to and provision of all performance reports, agreed procedures, and any other relevant information (including the configurations set up for the Bank and procedures used by Service Provider for handling Data) reasonably necessary to achieve an effective transition, provided that:

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

in place as part of the proper provision of the Services the Bank shall pay Service Provider for staff time agreed in advance at the rates agreed between the parties and for materials and other costs at a reasonable price which shall be agreed with the Bank.

- 3.4 If so required by the Bank, on the provision of no less than 15 (fifteen) days' notice in writing, Service Provider shall continue to provide the Services or an agreed part of the Services for a period not exceeding **6 (Six)** months beyond the date of termination or expiry of the Agreement. In such event the Bank shall reimburse Service Provider for such elements of the Services as are provided beyond the date of termination or expiry date of the Agreement on the basis that:
- (1) Services for which rates already specified in the Agreement shall be provided on such rates;
  - (2) materials and other costs, if any, will be charged at a reasonable price which shall be mutually agreed between the Parties.
- 3.5 Service Provider shall provide to the Bank an analysis of the Services to the extent reasonably necessary to enable the Bank to plan migration of such workload to a Replacement SERVICE PROVIDER provided always that this analysis involves providing performance data already delivered to the Bank as part of the performance monitoring regime.
- 3.6 Service Provider shall provide such information as the Bank reasonably considers to be necessary for the actual Replacement SERVICE PROVIDER, or any potential Replacement SERVICE PROVIDER during any procurement process, to define the tasks which would need to be undertaken in order to ensure the smooth transition of all or any part of the Services.
- 3.7 Service Provider shall make available such Key Personnel who have been involved in the provision of the Services as the Parties may agree to assist the Bank or a Replacement SERVICE PROVIDER (as appropriate) in the continued support of the Services beyond the expiry or termination of the Agreement, in which event the Bank shall pay for the services of such Key

Personnel on a time and materials basis at the rates agreed between the parties.

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

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

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

#### **5. Subcontractors**

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

#### **6. Transfer of Configuration Management Database**

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

#### **7. Transfer of Assets**

- 7.1 6 (six) months prior to expiry or within 2 (two) week of notice of termination of the Agreement Service Provider shall deliver to the Bank the Asset Register comprising:
- (1) a list of all Assets eligible for transfer to the Bank; and
  - (2) a list identifying all other Assets, (including human resources, skillset requirement and know-how), that are ineligible for transfer but which are essential to the delivery of the Services. The purpose of each component and the reason for ineligibility for transfer shall be included in the list.
- 7.2 Within 1 (one) month of receiving the Asset Register as described above, the Bank shall notify Service Provider of the Assets it requires to be transferred, (the “Required Assets”), and the Bank and Service Provider shall provide for the approval of the Bank a draft plan for the Asset transfer.
- 7.3 In the event that the Required Assets are not located on Bank premises:
- (1) Service Provider shall be responsible for the dismantling and packing of the Required Assets and to ensure their availability for collection by the Bank or its authorised representative by the date agreed for this;
  - (2) any charges levied by Service Provider for the Required Assets not owned by the Bank shall be fair and reasonable in relation to the condition of the Assets and the then fair market value; and
  - (3) for the avoidance of doubt, the Bank will not be responsible for the Assets.
- 7.4 Service Provider warrants that the Required Assets and any components thereof transferred to the Bank or Replacement SERVICE PROVIDER benefit from any remaining manufacturer’s warranty relating to the Required Assets at that time, always provided such warranties are transferable to a third party.
- 8. Transfer of Documentation**
- 8.1 6 (six) months prior to expiry or within 2 (two) weeks of notice of termination of this Agreement Service Provider shall deliver to Bank a full, accurate and up-to date set of Documentation that relates to any element of the Services as defined in Annexure A.



**9. Transfer of Service Management Process**

- 9.1 6 (six) months prior to expiry or within 2 (two) weeks of notice of termination of this Agreement Service Provider shall deliver to the Bank:
- (a) a plan for the handover and continuous delivery of the Service Desk function and allocate the required resources;
  - (b) full and up to date, both historical and outstanding Service Desk ticket data including, but not limited to:
    - (1) Incidents;
    - (2) Problems;
    - (3) Service Requests;
    - (4) Changes;
    - (5) Service Level reporting data;
  - (c) a list and topology of all tools and products associated with the provision of the Software and the Services;
  - (d) full content of software builds and server configuration details for software deployment and management; and
  - (e) monitoring software tools and configuration.

**10. Transfer of Knowledge Base**

- 10.1 6 (six) months prior to expiry or within 2 (two) week of notice of termination of this Agreement Service Provider shall deliver to the Bank a full, accurate and up to date cut of content from the knowledge base (or equivalent) used to troubleshoot issues arising with the Services but shall not be required to provide information or material which Service Provider may not disclose as a matter of law.

**11. Transfer of Data**

- 11.1 In the event of expiry or termination of this Agreement Service Provider shall cease to use the Bank's Data and, at the request of the Bank, shall destroy all such copies of the Bank's Data then in its possession to the extent specified by the Bank.
- 11.2 Except where, pursuant to paragraph 11.1 above, the Bank has instructed Service Provider to destroy such Bank's Data as is held and controlled by

Service Provider, 1 (one) month prior to expiry or within 1 (one) month of termination of this Agreement, Service Provider shall deliver to the Bank:

- (1) An inventory of the Bank's Data held and controlled by Service Provider, plus any other data required to support the Services; and/or
- (2) a draft plan for the transfer of the Bank's Data held and controlled by Service Provider and any other available data to be transferred.

## **12. Training Services on Transfer**

12.1 Service Provider shall comply with the Bank's reasonable request to assist in the identification and specification of any training requirements following expiry or termination. The purpose of such training shall be to enable the Bank or a Replacement SERVICE PROVIDER to adopt, integrate and utilize the Data and Assets transferred and to deliver an equivalent service to that previously provided by Service Provider.

12.2 The provision of any training services and/or deliverables and the charges for such services and/or deliverables shall be agreed between the parties.

12.3 Subject to paragraph 12.2 above, Service Provider shall produce for the Bank's consideration and approval 6 (six) months prior to expiry or within 10 (ten) working days of issue of notice of termination:

- (1) A training strategy, which details the required courses and their objectives;
- (2) Training materials (including assessment criteria); and
- (3) a training plan of the required training events.

12.4 Subject to paragraph 12.2 above, Service Provider shall schedule all necessary resources to fulfil the training plan, and deliver the training as agreed with the Bank.

## **13. Transfer Support Activities**

13.1 6 (six) months prior to expiry or within 10 (ten) Working Days of issue of notice of termination, Service Provider shall assist the Bank or Replacement SERVICE PROVIDER to develop a viable exit transition plan which shall contain details of the tasks and responsibilities required

to enable the transition from the Services provided under this Agreement to the Replacement SERVICE PROVIDER or the Bank, as the case may be.

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

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

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

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

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

13.5 On the date of expiry Service Provider shall provide to the Bank refreshed versions of the materials required under paragraph 13.3 above which shall reflect the position as at the date of expiry.

13.6 Service Provider shall provide to the Bank or to any Replacement SERVICE PROVIDER within 14 (fourteen) Working Days of expiry or termination a full and complete copy of the Incident log book and all associated documentation recorded by Service Provider till the date of expiry or termination.

13.7 Service Provider shall provide for the approval of the Bank a draft plan to transfer or complete work-in-progress at the date of expiry or termination.

**14. Use of STATE BANK OF INDIA Premises**

14.1 Prior to expiry or on notice of termination of this Agreement, Service Provider shall provide for the approval of the Bank a draft plan specifying the necessary steps to be taken by both Service Provider and the Bank to ensure that the Bank's Premises are vacated by Service Provider.

14.2 Unless otherwise agreed, Service Provider shall be responsible for all costs associated with Service Provider's vacation of the Bank's Premises, removal of equipment and furnishings, redeployment of Service Provider Personnel, termination of arrangements with Subcontractors and service contractors and restoration of the Bank Premises to their original condition (subject to a reasonable allowance for wear and tear).

**Data Processing Agreement**

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

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

**And**

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

WHEREAS:

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

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

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

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

IT IS AGREED AS FOLLOWS:

**1. Definitions and Interpretation:**

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

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

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

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

1.1.4 "Data Protection Legislation" means as applicable, the UK Data Protection Act 1998, Directive 95/46/EC of the European Parliament and any laws or regulations implementing it, the Regulation (EU) 2016/679 of the European

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

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

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

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

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

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

1.1.10 "EEA" means the European Economic Area.

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

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

1.1.13 "Data Transfer" means:

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

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

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

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

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

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

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

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

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

2.2 Processor shall:

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

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

## **3. PROCESSOR OBLIGATIONS:**

### **3.1 Processor Personnel:**

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

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

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

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

with any instruction received from State Bank of India, it shall promptly notify State Bank of India accordingly.

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

### **3.2 Security:**

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

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

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

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

3.3.1 The Processor shall not appoint (or disclose any Personal Data to) any Sub-Processors without prior written authorisation from State Bank of India. The Processor shall provide State Bank of India with no less than 90 days prior written (including email) notice before engaging a new Sub processor thereby giving State Bank of India an opportunity to object to such changes. If State Bank of India wishes to object to such new Sub processor, then State Bank of India may terminate the relevant Services without penalty by providing written notice of termination which includes an explanation of the reasons for such objection.

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

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



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

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

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

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

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

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

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

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

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

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

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

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

**3.7.1** Subject to this section 3.7 Processor shall, promptly and in any event within 10 business days of the date of cessation of any Services involving the Processing of Personal Data (the "Cessation Date"), delete all copies of those Personal Data.

**3.7.2** Processor shall provide written certification to SBI that it has fully complied with this section 3.7 within 10 business days of the Cessation Date.

### **3.8 Audit Rights:**

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

### **3.9 Data Transfer:**

The Processor may not transfer or authorize the transfer of Data to countries outside the EU/ India and/or the European Economic Area (EEA) without the prior written consent of SBI. If personal data processed under this Agreement is transferred from a country within the European Economic Area to a country outside the European Economic Area, the Parties shall ensure that the personal data are adequately protected. To achieve this, the Parties shall, unless agreed otherwise, rely on EU approved standard contractual clauses / EU-US Privacy Shield for the transfer of personal data.

### **3.10 Records:**

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

### **3.11 Notify:**

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

### **3.12 Agreement Termination:**

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

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

State Bank of India shall:

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

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

## **5. General Terms:**

### **5.1 Confidentiality:**

Each Party must keep this Agreement and information it receives about the other Party and its business in connection with this Agreement ("Confidential Information") confidential and must not use or disclose that Confidential Information without the prior written consent of the other Party except to the extent that:

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

### **5.2 Notices:**

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

### **5.3 Governing Law and Jurisdiction:**

5.3.1 This Agreement is governed by the laws of INDIA.



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

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

For State Bank of India

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date Signed \_\_\_\_\_

For Processor M/s

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date Signed \_\_\_\_\_



## **SCHEDULE 1**

### **1.1 Services**

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



## SCHEDULE 2

### Personal Data

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

### **SCHEDULE 3**

#### **Technical and Organisational Data Protection Measures**

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

1.1. the nature of the Personal Data; and

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

2. In particular, the Processor shall:

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

2.1.1. defines security needs based on a risk assessment.

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

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

2.1.4. prevent unauthorised access to the Personal Data.

2.1.5. protect the Personal Data using pseudonymisation and encryption.

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

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

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

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

2.1.10. have secure methods in place for the transfer of Personal Data whether in

physical form (for example, by using couriers rather than post) or electronic form (for example, by using encryption).

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

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

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

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

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

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

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

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

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

| S. No | Controls to be implemented                                                            | Compliance (Yes / No)                                                    | If under implementation, give date by which implementation will be done |
|-------|---------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1     | Whether the Processor has Information security policy in place with periodic reviews? |                                                                          |                                                                         |
| 2     | Whether the Processor have operational processes with periodic review,                | a. Business Continuity Management                                        |                                                                         |
|       |                                                                                       | b. Backup management                                                     |                                                                         |
|       |                                                                                       | c. Desktop/system/server/network device hardening with baseline controls |                                                                         |
|       |                                                                                       | d. Patch Management                                                      |                                                                         |



| S. No | Controls to be implemented                                                                                      | Compliance (Yes / No)                     | If under implementation, give date by which implementation will be done |  |
|-------|-----------------------------------------------------------------------------------------------------------------|-------------------------------------------|-------------------------------------------------------------------------|--|
|       | including but not limited to:                                                                                   | e. Port Management Media Movement         |                                                                         |  |
|       |                                                                                                                 | f. Log Management                         |                                                                         |  |
|       |                                                                                                                 | g. Personnel Security                     |                                                                         |  |
|       |                                                                                                                 | h. Physical Security                      |                                                                         |  |
|       |                                                                                                                 | i. Internal security assessment processes |                                                                         |  |
| 3     | Whether a proper documented Change Management process has been instituted by the Processor?                     |                                           |                                                                         |  |
| 4     | Whether the Processor has a documented policy and process of Incident management /response?                     |                                           |                                                                         |  |
| 5     | Whether the Processor's environment is suitably protected from external threats by way of:                      | a. Firewall                               |                                                                         |  |
|       |                                                                                                                 | b. WAF                                    |                                                                         |  |
|       |                                                                                                                 | c. IDS/IPS                                |                                                                         |  |
|       |                                                                                                                 | d. AD                                     |                                                                         |  |
|       |                                                                                                                 | e. AV                                     |                                                                         |  |
|       |                                                                                                                 | f. NAC                                    |                                                                         |  |
|       |                                                                                                                 | g. DLP                                    |                                                                         |  |
|       |                                                                                                                 | h. Any other technology                   |                                                                         |  |
| 6     | Whether rules are implemented on Firewalls of the Processor environment as per an approved process?             |                                           |                                                                         |  |
| 7     | Whether firewall rule position is regularly monitored for presence of any vulnerable open port or any-any rule? |                                           |                                                                         |  |
| 8     | Whether proper log generation, storage, management and analysis happens for the Processor application?          |                                           |                                                                         |  |
| 9     | Is the Processor maintaining all logs for forensic readiness related to:                                        | a. Web                                    |                                                                         |  |
|       |                                                                                                                 | b. Application                            |                                                                         |  |
|       |                                                                                                                 | c. DB                                     |                                                                         |  |
|       |                                                                                                                 | d. Configuration                          |                                                                         |  |
|       |                                                                                                                 | e. User access                            |                                                                         |  |

| S. No | Controls to be implemented                                                                                                                                                                             | Compliance (Yes / No)        | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-------------------------------------------------------------------------|
| 10    | Whether the Processor maintains logs for privileged access to their critical systems?                                                                                                                  |                              |                                                                         |
| 11    | Whether privilege access to the Processor environment is permitted from internet?                                                                                                                      |                              |                                                                         |
| 12    | Whether the Processor has captive SOC or Managed Service SOC for monitoring their systems and operations?                                                                                              |                              |                                                                         |
| 13    | Whether the Processor environment is segregated into militarized zone (MZ) and demilitarized zone (DMZ) separated by Firewall, where any access from an external entity is permitted through DMZ only? |                              |                                                                         |
| 14    | Whether Processor has deployed secure environments for their applications for:                                                                                                                         | a. Production                |                                                                         |
|       |                                                                                                                                                                                                        | b. Disaster recovery         |                                                                         |
|       |                                                                                                                                                                                                        | c. Testing environments      |                                                                         |
| 15    | Whether the Processor follows the best practices of creation of separate network zones (VLAN Segments) for:                                                                                            | a. Web                       |                                                                         |
|       |                                                                                                                                                                                                        | b. App                       |                                                                         |
|       |                                                                                                                                                                                                        | c. DB                        |                                                                         |
|       |                                                                                                                                                                                                        | d. Critical applications     |                                                                         |
|       |                                                                                                                                                                                                        | e. Non-Critical applications |                                                                         |
|       |                                                                                                                                                                                                        | f. UAT                       |                                                                         |
| 16    | Whether the Processor configures access to officials based on a documented and approved Role Conflict Matrix?                                                                                          |                              |                                                                         |
| 17    | Whether Internet access is permitted on:                                                                                                                                                               | a. Internal servers          |                                                                         |
|       |                                                                                                                                                                                                        | b. Database servers          |                                                                         |
|       |                                                                                                                                                                                                        | c. Any other servers         |                                                                         |
| 18    | Whether the Processor has deployed a dedicated information security team independent of IT, reporting directly to MD/CIO for conducting security related functions & operations?                       |                              |                                                                         |
| 19    | Whether CERT-IN Empaneled ISSPs are engaged by the third party for ensuring security posture of their application?                                                                                     |                              |                                                                         |

| S. No | Controls to be implemented                                                                                                                                    | Compliance (Yes / No) | If under implementation, give date by which implementation will be done |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|
| 20    | Whether quarterly vulnerability assessment and penetration testing is being done by the Processor for their infrastructure?                                   |                       |                                                                         |
| 21    | Whether suitable Security Certifications (ISO, PCI-DSS etc.) of the security posture at vendor environment are in place?                                      |                       |                                                                         |
| 22    | Whether the Processor has deployed any open source or free software in their environment?<br>If yes, whether security review has been done for such software? |                       |                                                                         |
| 23    | Whether the data shared with the Processor is owned by SBI (SBI = Information Owner)?                                                                         |                       |                                                                         |
| 24    | Whether the data shared with the Processor is of sensitive nature?                                                                                            |                       |                                                                         |
| 25    | Whether the requirement and the data fields to be stored by the Processor is approved by Information Owner?                                                   |                       |                                                                         |
| 26    | Where shared, whether the bare minimum data only is being shared? (Please document the NEED for sharing every data field)                                     |                       |                                                                         |
| 27    | Whether the data to be shared with Processor will be encrypted as per industry best standards with robust key management?                                     |                       |                                                                         |
| 28    | Whether the Processor is required to store the data owned by State Bank?                                                                                      |                       |                                                                         |
| 29    | Whether any data which is permitted to be stored by the Processor will be completely erased after processing by the Processor at their end?                   |                       |                                                                         |
| 30    | Whether the data shared with the Processor is stored with encryption (Data at rest encryption)?                                                               |                       |                                                                         |
| 31    | Whether the data storage technology (Servers /Public Cloud/ Tapes etc.) has been appropriately reviewed by IT AO?                                             |                       |                                                                         |
| 32    | Whether the Processor is required to share SBI specific data to any other party for any purpose?                                                              |                       |                                                                         |
| 33    | Whether a system of obtaining approval by the Processor from the IT Application Owner is put in place before carrying out any changes?                        |                       |                                                                         |
| 34    | Whether Processor is permitted to take any crucial decisions on behalf of SBI without written approval from IT Application Owner?                             |                       |                                                                         |

| S. No | Controls to be implemented                                                                                                                                                                       | Compliance (Yes / No)                                                                                                                                                                                          | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
|       | If not, are such instances being monitored? IT Application Owner to describe the system of monitoring such instances.                                                                            |                                                                                                                                                                                                                |                                                                         |
| 35    | Whether Application Owner has verified that the Processor has implemented efficient and sufficient preventive controls to protect SBI's interests against any damage under section 43 of IT Act? |                                                                                                                                                                                                                |                                                                         |
| 36    | Whether the selection criteria for awarding the work to Processor vendor is based on the quality of service?                                                                                     |                                                                                                                                                                                                                |                                                                         |
| 37    | Whether the SLA/agreement between SBI and the Processor contains these clauses:                                                                                                                  | a. Right to Audit to SBI with scope defined                                                                                                                                                                    |                                                                         |
|       |                                                                                                                                                                                                  | b. Adherence by the vendor to SBI Information Security requirements including regular reviews, change management, port management, patch management, backup management, access management, log management etc. |                                                                         |
|       |                                                                                                                                                                                                  | c. Right to recall data by SBI.                                                                                                                                                                                |                                                                         |
|       |                                                                                                                                                                                                  | d. Regulatory and Statutory compliance at vendor site. Special emphasis on section 43A of IT Act 2000 apart from others.                                                                                       |                                                                         |
|       |                                                                                                                                                                                                  | e. Availability of Compensation clause in case of any data breach or incident resulting into any type of loss to SBI, due to vendor negligence.                                                                |                                                                         |



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

APPENDIX-K : NON-DISCLOSURE AGREEMENT

**NON-DISCLOSURE AGREEMENT**

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

State Bank of India constituted under the State Bank of India Act, 1955 having its Corporate Centre and Central Office at State Bank Bhavan, Madame Cama Road, Nariman Point, Mumbai-21 and its Global IT Centre at Sector-11, CBD Belapur, Navi Mumbai- 400614 through its \_\_\_\_\_ Department (hereinafter referred to as "Bank" which expression includes its successors and assigns) of the ONE PART;

And

\_\_\_\_\_ a private/public limited company/LLP/Firm ~~<strike off whichever is not applicable>~~ incorporated under the provisions of the Companies Act, 1956/ Limited Liability Partnership Act 2008/ Indian Partnership Act 1932 ~~<strike off whichever is not applicable>~~, having its registered office at \_\_\_\_\_ (hereinafter referred to as "\_\_\_\_\_") which expression shall unless repugnant to the subject or context thereof, shall mean and include its successors and permitted assigns) of the OTHER PART;

And Whereas

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

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

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

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

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

2. **Restrictions**

- (a) Each party shall treat as confidential the Contract and any and all information (“confidential information”) obtained from the other pursuant to the Contract and shall not divulge such information to any person (except to such party’s “Covered Person” which term shall mean employees, contingent workers and professional advisers of a party who need to know the same) without the other party’s written consent provided that this clause shall not extend to information which was rightfully in the possession of such party prior to the commencement of the negotiations leading to the Contract, which is already public knowledge or becomes so at a future date (otherwise than as a result of a breach of this clause). Receiving Party will have executed or shall

execute appropriate written agreements with Covered Person, sufficient to enable it to comply with all the provisions of this Agreement. If Service Provider appoints any Sub-Contractor (if allowed) then Service Provider may disclose confidential information to such Sub-Contractor subject to such Sub Contractor giving the Bank an undertaking in similar terms to the provisions of this clause. Any breach of this Agreement by Receiving Party's Covered Person or Sub-Contractor shall also be constructed a breach of this Agreement by Receiving Party.

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

### 3. **Rights and Remedies**

- (a) Receiving Party shall notify Disclosing Party immediately upon discovery of any unauthorized used or disclosure of Confidential Information and/ or Confidential Materials, or any other breach of this Agreement by Receiving Party, and will cooperate with Disclosing Party in every reasonable way to help Disclosing Party regain possession of the Confidential Information and/ or Confidential Materials and prevent its further unauthorized use.
- (b) Receiving Party shall return all originals, copies, reproductions and summaries of Confidential Information or Confidential Materials at Disclosing Party's request, or at Disclosing Party's option, certify destruction of the same.
- (c) Receiving Party acknowledges that monetary damages may not be the only and / or a sufficient remedy for unauthorized disclosure of Confidential Information and that disclosing party shall be entitled, without waiving any



other rights or remedies (including but not limited to as listed below), to injunctive or equitable relief as may be deemed proper by a Court of competent jurisdiction.

- i. Suspension of access privileges
  - ii. Change of personnel assigned to the job
  - iii. Termination of contract
- (d) Disclosing Party may visit Receiving Party's premises, with reasonable prior notice and during normal business hours, to review Receiving Party's compliance with the term of this Agreement.

4. **Miscellaneous**

- (a) All Confidential Information and Confidential Materials are and shall remain the sole and of Disclosing Party. By disclosing information to Receiving Party, Disclosing Party does not grant any expressed or implied right to Receiving Party to disclose information under the Disclosing Party's patents, copyrights, trademarks, or trade secret information.
- (b) Confidential Information made available is provided "As Is," and disclosing party disclaims all representations, conditions and warranties, express or implied, including, without limitation, representations, conditions or warranties of accuracy, completeness, performance, fitness for a particular purpose, satisfactory quality and merchantability provided same shall not be construed to include fraud or wilful default of disclosing party.
- (c) Neither party grants to the other party any license, by implication or otherwise, to use the Confidential Information, other than for the limited purpose of evaluating or advancing a business relationship between the parties, or any license rights whatsoever in any patent, copyright or other intellectual property rights pertaining to the Confidential Information.
- (d) The terms of Confidentiality under this Agreement shall not be construed to limit either party's right to independently develop or acquire product without use of the other party's Confidential Information. Further, either party shall be free to use for any purpose the residuals resulting from access to or work with such Confidential Information, provided that such party shall maintain the confidentiality of the Confidential Information as provided herein. The term "residuals" means information in non-tangible form, which may be retained by person who has had access to the Confidential Information, including ideas, concepts, know-how or techniques contained therein.

Neither party shall have any obligation to limit or restrict the assignment of such persons or to pay royalties for any work resulting from the use of residuals. However, the foregoing shall not be deemed to grant to either party a license under the other party's copyrights or patents.

- (e) This Agreement constitutes the entire agreement between the parties with respect to the subject matter hereof. It shall not be modified except by a written agreement dated subsequently to the date of this Agreement and signed by both parties. None of the provisions of this Agreement shall be deemed to have been waived by any act or acquiescence on the part of Disclosing Party, its agents, or employees, except by an instrument in writing signed by an authorized officer of Disclosing Party. No waiver of any provision of this Agreement shall constitute a waiver of any other provision(s) or of the same provision on another occasion.
- ii. All disputes or differences whatsoever arising between the parties out of or in connection with this Agreement, if any, or in discharge of any obligation arising out of this Agreement and the Contract (whether during the progress of work or after completion of such work and whether before or after the termination of the contract, abandonment or breach of the contract), shall be settled amicably. If however, the parties are not able to solve them amicably within 30 (Thirty) days after the dispute occurs, as evidenced through the first written communication from any Party notifying the other regarding the disputes, the same shall be referred to and be subject to the jurisdiction of competent Civil Courts of Mumbai only. The Civil Courts in Mumbai, Maharashtra shall have exclusive jurisdiction in this regard.
- iii. Service Provider shall continue work under the Contract during the dispute resolution proceedings unless otherwise directed by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the competent court is obtained.
- iv. In case of any change in applicable laws that has an effect on the terms of this Agreement, the Parties agree that the Agreement may be reviewed, and if deemed necessary by the Parties, make necessary amendments to the Agreement by mutual agreement in good faith, in case of disagreement obligations mentioned in this clause shall be observed.
- (a)
- (b) Subject to the limitations set forth in this Agreement, this Agreement will inure to the benefit of and be binding upon the parties, their successors and assigns.



(c) If any provision of this Agreement shall be held by a court of competent jurisdiction to be illegal, invalid or unenforceable, the remaining provisions shall remain in full force and effect.

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

**5. Suggestions and Feedback**

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

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

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

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

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

RFP for procurement of Empanelment of Service Providers and Rate Discovery for e-Tendering, forward Auction and Reverse Auction Services



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

RFP for procurement of Empanelment of Service Providers and Rate Discovery for e-Tendering, forward Auction and Reverse Auction Services



**APPENDIX-L PRE-BID QUERY FORMAT**

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

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

**APPENDIX–M: FORMAT FOR SUBMISSION OF CLIENT REFERENCES**

**Format for Submission of Client References**

**To whosoever it may concern**

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

**signatory**

**Name & Signature of authorised**

**Seal of Company**

## APPENDIX-P : DATA PROCESSING AGREEMENT

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

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

**And**

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

WHEREAS:

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

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

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

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

IT IS AGREED AS FOLLOWS:

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

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

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

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

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

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

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

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

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

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

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

1.1.10 "EEA" means the European Economic Area.

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

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

1.1.13 "Data Transfer" means:

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

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

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

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



Legislation.

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

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

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

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

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

2.2 Processor shall:

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

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

## **3. PROCESSOR OBLIGATIONS:**

### **3.1 Processor Personnel:**

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

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

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

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

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

### **3.2 Security:**

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

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

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

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

3.3.1 The Processor shall not appoint (or disclose any Personal Data to) any Sub-Processors without prior written authorisation from State Bank of India. The Processor shall provide State Bank of India with [no less than [90 days] prior written (including email) notice before engaging a new Sub processor thereby giving State Bank of India an opportunity to object to such changes. If State Bank of India wishes to object to such new Sub processor, then State Bank of India may terminate the relevant Services without penalty by providing written notice of termination which includes an explanation of the reasons for such objection.

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

the Processor would be liable if performing the services of each Sub processor directly under the terms of this Agreement.

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

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

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

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

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

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

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

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

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

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

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

Processor shall provide reasonable assistance to SBI with any data protection impact assessments, and prior consultations with Supervising Authorities or other competent data privacy authorities, which SBI reasonably considers to be required

by article 35 or 36 of the GDPR or equivalent provisions of any other Data Protection Law, in each case solely in relation to Processing of Personal Data by and taking into account the nature of the Processing and information available to, the Processors.

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

**3.7.1** Subject to this section 3.7 Processor shall, promptly and in any event within 10 business days of the date of cessation of any Services involving the Processing of Personal Data (the "Cessation Date"), delete all copies of those Personal Data.

**3.7.2** Processor shall provide written certification to SBI that it has fully complied with this section 3.7 within 10 business days of the Cessation Date.

### **3.8 Audit Rights:**

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

### **3.9 Data Transfer:**

The Processor may not transfer or authorize the transfer of Data to countries outside the EU/ India and/or the European Economic Area (EEA) without the prior written consent of SBI. If personal data processed under this Agreement is transferred from a country within the European Economic Area to a country outside the European Economic Area, the Parties shall ensure that the personal data are adequately protected. To achieve this, the Parties shall, unless agreed otherwise, rely on EU approved standard contractual clauses / EU-US Privacy Shield for the transfer of personal data.

### **3.10 Records:**

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

### **3.11 Notify:**

The Processor shall immediately and fully notify State Bank of India in writing of any communications the Processor (or any of its Sub processors) receives from third parties in connection with the processing of the Personal Data, including (without limitation) subject access requests or other requests, notices or other

communications from individuals, or their representatives, or from the European Data Protection Board, the UK's Information Commissioner's Office (in the case of the United Kingdom) and/or any other supervisory authority or data protection authority or any other regulator (including a financial regulator) or court.

### **3.12 Agreement Termination:**

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

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

State Bank of India shall:

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

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

## **5. General Terms:**

### **5.1 Confidentiality:**

Each Party must keep this Agreement and information it receives about the other Party and its business in connection with this Agreement ("Confidential Information") confidential and must not use or disclose that Confidential Information without the prior written consent of the other Party except to the extent that:

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

### **5.2 Notices:**

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

### **5.3 Governing Law and Jurisdiction:**



5.3.1 This Agreement is governed by the laws of INDIA.

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

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

For State Bank of India

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date Signed \_\_\_\_\_

For Processor M/s

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date Signed \_\_\_\_\_

## **SCHEDULE 1**

### **1.1 Services**

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



## SCHEDULE 2

### Personal Data

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



### **SCHEDULE 3**

#### **Technical and Organisational Data Protection Measures**

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

1.1. the nature of the Personal Data; and

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

2. In particular, the Processor shall:

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

2.1.1. defines security needs based on a risk assessment.

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

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

2.1.4. prevent unauthorised access to the Personal Data.

2.1.5. protect the Personal Data using pseudonymisation and encryption.

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

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

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

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

2.1.10. have secure methods in place for the transfer of Personal Data whether in

physical form (for example, by using couriers rather than post) or electronic form (for example, by using encryption).

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

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

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

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

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

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

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

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

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

| S. No | Controls to be implemented                                                            | Compliance (Yes / No)                                                    | If under implementation, give date by which implementation will be done |
|-------|---------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1     | Whether the Processor has Information security policy in place with periodic reviews? |                                                                          |                                                                         |
| 2     | Whether the Processor have operational processes with periodic review,                | j. Business Continuity Management                                        |                                                                         |
|       |                                                                                       | k. Backup management                                                     |                                                                         |
|       |                                                                                       | l. Desktop/system/server/network device hardening with baseline controls |                                                                         |
|       |                                                                                       | m. Patch Management                                                      |                                                                         |

| S. No | Controls to be implemented                                                                                      | Compliance (Yes / No)                     | If under implementation, give date by which implementation will be done |  |
|-------|-----------------------------------------------------------------------------------------------------------------|-------------------------------------------|-------------------------------------------------------------------------|--|
|       | including but not limited to:                                                                                   | n. Port Management Media Movement         |                                                                         |  |
|       |                                                                                                                 | o. Log Management                         |                                                                         |  |
|       |                                                                                                                 | p. Personnel Security                     |                                                                         |  |
|       |                                                                                                                 | q. Physical Security                      |                                                                         |  |
|       |                                                                                                                 | r. Internal security assessment processes |                                                                         |  |
| 3     | Whether a proper documented Change Management process has been instituted by the Processor?                     |                                           |                                                                         |  |
| 4     | Whether the Processor has a documented policy and process of Incident management /response?                     |                                           |                                                                         |  |
| 5     | Whether the Processor's environment is suitably protected from external threats by way of:                      | i. Firewall                               |                                                                         |  |
|       |                                                                                                                 | j. WAF                                    |                                                                         |  |
|       |                                                                                                                 | k. IDS/IPS                                |                                                                         |  |
|       |                                                                                                                 | l. AD                                     |                                                                         |  |
|       |                                                                                                                 | m. AV                                     |                                                                         |  |
|       |                                                                                                                 | n. NAC                                    |                                                                         |  |
|       |                                                                                                                 | o. DLP                                    |                                                                         |  |
|       |                                                                                                                 | p. Any other technology                   |                                                                         |  |
| 6     | Whether rules are implemented on Firewalls of the Processor environment as per an approved process?             |                                           |                                                                         |  |
| 7     | Whether firewall rule position is regularly monitored for presence of any vulnerable open port or any-any rule? |                                           |                                                                         |  |
| 8     | Whether proper log generation, storage, management and analysis happens for the Processor application?          |                                           |                                                                         |  |
| 9     | Is the Processor maintaining all logs for forensic readiness related to:                                        | f. Web                                    |                                                                         |  |
|       |                                                                                                                 | g. Application                            |                                                                         |  |
|       |                                                                                                                 | h. DB                                     |                                                                         |  |
|       |                                                                                                                 | i. Configuration                          |                                                                         |  |
|       |                                                                                                                 | j. User access                            |                                                                         |  |

| S. No  | Controls to be implemented                                                                                                                                                                             | Compliance (Yes / No)        | If under implementation, give date by which implementation will be done |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-------------------------------------------------------------------------|
| 10     | Whether the Processor maintains logs for privileged access to their critical systems?                                                                                                                  |                              |                                                                         |
| 11     | Whether privilege access to the Processor environment is permitted from internet?                                                                                                                      |                              |                                                                         |
| 12     | Whether the Processor has captive SOC or Managed Service SOC for monitoring their systems and operations?                                                                                              |                              |                                                                         |
| 13     | Whether the Processor environment is segregated into militarized zone (MZ) and demilitarized zone (DMZ) separated by Firewall, where any access from an external entity is permitted through DMZ only? |                              |                                                                         |
| 14     | Whether Processor has deployed secure environments for their applications for:                                                                                                                         | d. Production                |                                                                         |
|        |                                                                                                                                                                                                        | e. Disaster recovery         |                                                                         |
|        |                                                                                                                                                                                                        | f. Testing environments      |                                                                         |
| 15     | Whether the Processor follows the best practices of creation of separate network zones (VLAN Segments) for:                                                                                            | g. Web                       |                                                                         |
|        |                                                                                                                                                                                                        | h. App                       |                                                                         |
|        |                                                                                                                                                                                                        | i. DB                        |                                                                         |
|        |                                                                                                                                                                                                        | j. Critical applications     |                                                                         |
|        |                                                                                                                                                                                                        | k. Non-Critical applications |                                                                         |
| l. UAT |                                                                                                                                                                                                        |                              |                                                                         |
| 16     | Whether the Processor configures access to officials based on a documented and approved Role Conflict Matrix?                                                                                          |                              |                                                                         |
| 17     | Whether Internet access is permitted on:                                                                                                                                                               | d. Internal servers          |                                                                         |
|        |                                                                                                                                                                                                        | e. Database servers          |                                                                         |
|        |                                                                                                                                                                                                        | f. Any other servers         |                                                                         |
| 18     | Whether the Processor has deployed a dedicated information security team independent of IT, reporting directly to MD/CIO for conducting security related functions & operations?                       |                              |                                                                         |
| 19     | Whether CERT-IN Empaneled ISSPs are engaged by the third party for ensuring security posture of their application?                                                                                     |                              |                                                                         |

| S. No | Controls to be implemented                                                                                                                                    | Compliance (Yes / No) | If under implementation, give date by which implementation will be done |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|
| 20    | Whether quarterly vulnerability assessment and penetration testing is being done by the Processor for their infrastructure?                                   |                       |                                                                         |
| 21    | Whether suitable Security Certifications (ISO, PCI-DSS etc.) of the security posture at vendor environment are in place?                                      |                       |                                                                         |
| 22    | Whether the Processor has deployed any open source or free software in their environment?<br>If yes, whether security review has been done for such software? |                       |                                                                         |
| 23    | Whether the data shared with the Processor is owned by SBI (SBI = Information Owner)?                                                                         |                       |                                                                         |
| 24    | Whether the data shared with the Processor is of sensitive nature?                                                                                            |                       |                                                                         |
| 25    | Whether the requirement and the data fields to be stored by the Processor is approved by Information Owner?                                                   |                       |                                                                         |
| 26    | Where shared, whether the bare minimum data only is being shared? (Please document the NEED for sharing every data field)                                     |                       |                                                                         |
| 27    | Whether the data to be shared with Processor will be encrypted as per industry best standards with robust key management?                                     |                       |                                                                         |
| 28    | Whether the Processor is required to store the data owned by State Bank?                                                                                      |                       |                                                                         |
| 29    | Whether any data which is permitted to be stored by the Processor will be completely erased after processing by the Processor at their end?                   |                       |                                                                         |
| 30    | Whether the data shared with the Processor is stored with encryption (Data at rest encryption)?                                                               |                       |                                                                         |
| 31    | Whether the data storage technology (Servers /Public Cloud/ Tapes etc.) has been appropriately reviewed by IT AO?                                             |                       |                                                                         |
| 32    | Whether the Processor is required to share SBI specific data to any other party for any purpose?                                                              |                       |                                                                         |
| 33    | Whether a system of obtaining approval by the Processor from the IT Application Owner is put in place before carrying out any changes?                        |                       |                                                                         |
| 34    | Whether Processor is permitted to take any crucial decisions on behalf of SBI without written approval from IT Application Owner?                             |                       |                                                                         |

| S. No | Controls to be implemented                                                                                                                                                                       | Compliance (Yes / No)                                                                                                                                                                                          | If under implementation, give date by which implementation will be done |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
|       | If not, are such instances being monitored? IT Application Owner to describe the system of monitoring such instances.                                                                            |                                                                                                                                                                                                                |                                                                         |
| 35    | Whether Application Owner has verified that the Processor has implemented efficient and sufficient preventive controls to protect SBI's interests against any damage under section 43 of IT Act? |                                                                                                                                                                                                                |                                                                         |
| 36    | Whether the selection criteria for awarding the work to Processor vendor is based on the quality of service?                                                                                     |                                                                                                                                                                                                                |                                                                         |
| 37    | Whether the SLA/agreement between SBI and the Processor contains these clauses:                                                                                                                  | g. Right to Audit to SBI with scope defined                                                                                                                                                                    |                                                                         |
|       |                                                                                                                                                                                                  | h. Adherence by the vendor to SBI Information Security requirements including regular reviews, change management, port management, patch management, backup management, access management, log management etc. |                                                                         |
|       |                                                                                                                                                                                                  | i. Right to recall data by SBI.                                                                                                                                                                                |                                                                         |
|       |                                                                                                                                                                                                  | j. Regulatory and Statutory compliance at vendor site. Special emphasis on section 43A of IT Act 2000 apart from others.                                                                                       |                                                                         |
|       |                                                                                                                                                                                                  | k. Availability of Compensation clause in case of any data breach or incident resulting into any type of loss to SBI, due to vendor negligence.                                                                |                                                                         |



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