



REQUEST FOR PROPOSAL

FOR

Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)

**State Bank Global IT Centre
Information Security Department
'A'- Wing, Ground Floor
Sector 11, CBD Belapur
Navi Mumbai 400614
INDIA**

<p>Document</p>	<p>Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II) for Security Analyst)</p>
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RFP No.	SBI/GITC/ISD/2024-25/ISO/16 (RFP-1281)
Date	21.08.2024
Contact	Manisha (Chief Manager)

Schedule of Events

Sl No	Particulars	Remarks
1	Contact details of issuing department (Name, Designation, Mobile No. Email address for sending any kind of correspondence regarding this RFP)	Manisha Chief Manager Email: manisha.raj@sbi.co.in Mobile No.: 8929903012 mail copy to be marked to gsagrawal@sbi.co.in admin.isd@sbi.co.in Manisha.raj@sbi.co.in
2	Last date for requesting clarification	Up to 02.00 PM on 26.08.2024 All communications regarding points / queries requiring clarifications shall be given in writing or by e-mail.
3	Pre - bid Meeting at (venue)	At 03.00 P.M. on 27.08.2024 at ISD, GITC, Belapur CBD, Navi Mumbai or over concall.
4	Last date and time for Bid submission	Up to 2.00 P.M. on 29.08.2024
5	Address for submission of Bids (Online submission)	https://etender.sbi/SBI
6	Date and Time of opening of Technical Bids	3.00 P.M. on 29.08.2024 Authorized representatives of Bidders may be present online during opening of the Technical Bids. However, Technical Bids would be opened even in the absence of any or all of Bidders representatives.
7	Opening of Indicative Price Bids	04.00 P.M. on 29.08.2024

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8	Reverse Auction	On a subsequent date which will be communicated to such Bidders who qualify in the Technical Bid.
9	Price Validity from the date of price discovery	180 days
10	Bank Guarantee	5 % of the Project Cost Performance Security in form of BG should be valid for One year from the effective date of the Contract.
11	Contact details of e-Procurement agency appointed for e-procurement	e-Procurement Technologies LTD – CMM15 E-mail ID: nandan.v@eptl.in Landline No. : 079 6813 6820, 6850, 6857, 6848 Official Mobile No. : 9081000427 Ravi Sheladiya ravi.s@auctiontiger.net 07968136856

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1. INVITATION TO BID:

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, Bids invited in Information Security Department (ISD) for Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)**

Address for submission of online Bids, contact details including email address for sending communications are given in Schedule of Events of this RFP.

- i. 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.
- ii. In order to meet the service requirements, the Bank proposes to invite online Bids from eligible Bidders as per details/scope of work mentioned in **Appendix-E** of this RFP.
- 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. This RFP document shall not be transferred, reproduced or otherwise used for purpose other than for which it is specifically issued.
- v. Interested Bidders are advised to go through the entire RFP before submission of online Bids to avoid any chance of elimination. The eligible Bidders desirous of taking up the project for 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.

2. DISCLAIMER:

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

acceptance thereof by the successful Bidder as defined in Award Criteria and Award of Contract in this RFP.

3.DEFINITIONS:

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

- i. **“The Bank”** ‘means the State Bank of India (including domestic branches and foreign offices), Subsidiaries and Joint Ventures, where the Bank has ownership of more than 50% of voting securities or the power to direct the management and policies of such Subsidiaries and Joint Ventures.
- ii. **“Bidder/Channel Partner”** means an eligible entity/firm submitting the Bid in response to this RFP.
- iii. **“Bid”** means the written reply or submission of response to this RFP.
- iv. **“The Contract”** means the agreement entered into between the Bank and Service Provider, as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein.
- v. **“Total Contract Price/Project Cost/TCO”** means the price payable to Service Provider over the entire period of Contract for the full and proper performance of its contractual obligations.
- vi. **“Vendor/Service Provider”** is the successful Bidder found eligible as per eligibility criteria set out in this RFP, whose technical Bid has been accepted and who has emerged as L1 (lowest in reverse auction) Bidder as per the selection criteria set out in the RFP and to whom notification of award has been given by the Bank.
- vii. **“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.

viii. **Annual Maintenance Contract (AMC)** - It would be the annual cost of maintenance/upkeep/update of product or specified hardware and software.

4.SCOPE OF WORK:

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

5. OTHER TERMS AND CONDITIONS:

- i. ISSPs must submit the name and profile of prospective minimum 20 resources, who are going to be deployed for project along with the Bid (**Annexure A**). Bank reserves the right to approve or decline any resource.
- ii. No Bid will be accepted from the ISSP who's bid does not include the profile of 20 resources who are going to be deployed for the project
- iii. The bid will contain all types of cost, whatsoever it may be, including the Cost of tools etc., and no separate cost on any account will be entertained by the Bank except outstation expenses, if required, subject to submission of the invoice accompanied by all documentary evidences and as per the limits as per the agreement between the Bank and ISSP.
- iv. Only those resources should be deployed on the project who have enough knowledge of the respective review component (example: VAPT, SCD compliance, Process review, AppSec, White/Grey Box testing etc.). Any inexperienced and/or insufficient knowledge resource will not be allowed to work on the project.
- v. If one or more resources is/are not available on any day, a suitable and equally competent resource will be deployed by the ISSP without fail in his/her place. There should not be a single occasion when sufficient number of capable resources are not on the job
- vi. Review activity needs to be performed on-site or any other site, wherever required.
- vii. The resources should be deployed onsite under this project. However, in exceptional cases, VPN will be provided as per the extant Bank's policy.
- viii. There may be cases when connectivity and setup between Bank and Bank's vendor partner or at Bank's vendor partner site will be required to be reviewed (local or outside Mumbai).
- ix. Resources are required to carry enough high configuration Desktops/Laptops, Mobile devices & Mobile Simulators for carrying out security review activities, whatever is required for the activity. VA, PT, Report Preparation, Automated Tools to be installed on ISSP/SBI Desktops/Laptops by vendor which may be uninstalled on completion of task.
- x. Any gadget carried by ISSP Resources needs to be formatted before & after completion of the task in presence of SBI officials (Application Owner) and should not be carried to other locations during the captioned security review. In case of any Device malfunctions which requires repair, prior permission needs to be taken from the Application Owner.



- xi. **Resource profile:** The team needs to be headed by an Expert with practical industry experience in conducting similar activity for organizations. The team leader will submit the daily tracker report after evaluation thereof. The review activity needs to be completed within fixed time periods hence dedicated resources will be needed for the current activity. We expect resources to be experienced enough in reviewing applications built on latest technologies and with full understanding of the latest threats (including those found globally during the review) and global trends.
- xii. The resource deployed under this project should have educational/professional qualifications and skill sets as stipulated by the Bank in the RFP No. SBI/GITC/IT-Partner Relationship/2023/2024/1042, dated 22.09.2023 under Combination II (Security Analyst) and RFP No.SBI/GITC/ISD/2024-25/ISO/16 dated 21.08.2024 and agreement/SLA executed between the Bank and ISSP in pursuant to said RFP. In case the selected ISSP fails to deploy the resources with requisite qualifications and skill set, the entire contract/PO will be cancelled.
- xiii. Review of the different components under one application and/or other applications will be required to be carried out in parallel as per requirement of the Bank.
- xiv. Any incomplete/ partially complete financial proposals could be rejected by SBI.
- xv. Proposals received after the due date and time will not be considered.
- xvi. Notwithstanding anything contained hereinabove, the Bank is not bound to accept the lowest or any Bid that the Bank may receive. The Bank may reject all or any Bid without assigning any reason or giving any explanation whatsoever.
- xvii. Bid should not include any presumptions, disclaimer, or exclusion. Proposals are expected to contain only Scope of the work, Resource Profiles and Commercial.
- xviii. In addition to all above the final selected ISSP will also be bound by the existing Service Level Agreement (SLA) and NDA already signed with the Bank.
- xix. The receipt of this mail may be sent to admin.isd@sbi.co.in,agm2.isd@sbi.co.in and Manisha.raj@sbi.co.in. In case of non-participation in reverse auction process, a confirmation mail in this regard is required to be sent on the same e-mail IDs by **12.00 PM latest by 28.08.2024.**
- xx. In addition to all above, the final selected ISSP will also be bound by all the terms and conditions stipulated by the Bank in the RFP No. SBI/GITC/IT-PartnerRelationship/2023/2024/1042, dated 22.09.2023 under Combination II (Security Analyst) and RFP No.SBI/GITC/ISD/2024-25/ISO/16 dated 21.08.2024 and agreement/SLA executed between the Bank and ISSP in pursuant to said RFP. The resources deployed also must sign the NDA as per Bank’s IS Policy.

7.SKILL SET AND EXPERIENCE REQUIREMENTS OF RESOURCES:

SL No	Educational Qualification	Professional Qualification	Years of experience

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L-2	B.Sc(IT/CS)/B.Tech	CISSP/CISA/OSCP/ CEH/CISM/SANS	5-10 years
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Subcontracting/hiring of external resources is not permitted.

6.ELIGIBILITY AND TECHNICAL CRITERIA:

Bid is open to all Bidders who meet the eligibility and technical criteria as given in **Appendix-B** The Bidder has to submit the documents substantiating eligibility criteria/technical evaluation as mentioned in this RFP document.

7. SELECTION PROCESS:

Evaluation of Technical bids, Price Bids and Finalization:

- i. Bidders who are willing to participate in the bidding process must have a valid digital signature certificate for participation in online reverse auction. Such Bidders will be trained by Bank's authorized service provider for the purpose. Bidders shall also be willing to abide by the e-business rules for reverse auction framed by the Bank / Authorized service provider. The details of e-business rules, processes and procedures will be provided to the short-listed Bidders.
- ii. All the bidders who submitted bids and found eligible by the Bank must participate in online reverse auction to be conducted by Bank's authorized service provider on behalf of the Bank, details of which are given below;

M/s E-Procurement Technologies Limited
B-705, Wall Street-II, Opp. Orient Club, Ellis Bridge, Near Gujarat College,
Ahmedabad-380006 Gujarat
E-mail ID: nandan.v@eptl.in
Landline No. : 079 6813 6820, 6850, 6857, 6848
Official Mobile No. : 9081000427

- SBI Reverse auction/E-tender domain <https://etender.sbi/SBI>
- iii. If no bidder bids in the online reverse auction and if the L-1 indicative bid price is acceptable to the Bank, the Bank may accept the L-1 indicative bid price and select such bidder as L-1 bidder for the project. The bidder is bound by the price quoted by them. In case the L-1 indicative price is not acceptable to the Bank, the Bank reserves right to negotiate with the L-1 bidder. However, the discretion of the Bank is final.

- iv. Bidder participating in the Reverse Auction should ensure that the terms and conditions of this document and the SLA between SBI and them has been read and understood correctly.
- v. **In case, the bidder does not provide resources and services after becoming L-1 bidder, which results into non-execution of the project, the vendor may be debarred from participation in future bids called by the Bank, as per the sole discretion of the Bank. In such cases, the Bank reserves the right to cancel the bid without any intimation to any of the participating bidders.**
- vi. The L-1 Bidder will be selected based on price quoted in the Online Reverse Auction.
- vii. The successful bidder after receipt of Purchase Order needs to execute SLA with required stamp duty.

8.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.

9.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-D** at the address/by e-mail within the date/time mentioned in the Schedule of Events.
- ii. A pre-Bid meeting will be held in person or online on the date and time specified in the Schedule of Events which may be attended by the authorized representatives of the Bidders interested to respond to this RFP.
- iii. The queries received (without identifying source of query) and response of the Bank thereof will be posted on the Bank's website or conveyed to the Bidders.
- iv. The Bank reserves the right to amend, rescind or reissue the RFP, at any time prior to the deadline for submission of Bids. The Bank, for any reason, whether, on its own initiative or in response to a clarification requested by a prospective Bidder, may modify the RFP, by amendment which will be made available to the Bidders by way of corrigendum/addendum. The interested parties/Bidders are advised to check the Bank's website regularly till the date of submission of Bid document specified in the Schedule of Events/email and ensure that clarifications / amendments issued by the Bank, if any, have been taken into consideration before

submitting the Bid. Such amendments/clarifications, if any, issued by the Bank will be binding on the participating Bidders. Bank will not take any responsibility for any such omissions by the Bidder. The Bank, at its own discretion, may extend the deadline for submission of Bids in order to allow prospective Bidders a reasonable time to prepare the Bid, for taking the amendment into account. Nothing in this RFP or any addenda/corrigenda or clarifications issued in connection thereto is intended to relieve Bidders from forming their own opinions and conclusions in respect of the matters addresses in this RFP or any addenda/corrigenda or clarifications issued in connection thereto.

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

10.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.

11.BID PREPARATION AND SUBMISSION:

- i. The Bid is to be submitted separately for technical and Price on portal of e-Procurement agency for Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for

New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II) –Security Analyst in response to the SBI/GITC/ISD/2024-25/ISO/16 (RFP-1281) dated 21.08.2024. Documents mentioned below are to be uploaded on portal of e-Procurement agency with digital signature of authorised signatory:

- ii. Technical Bid covering letter/Bid form on the lines of **Appendix-A** on Bidder's letter head.
- iii. Detailed Audit Plan and Resource profile should be submitted along with the Technical Bid covering letter/Bid form.
- iv. Indicative Price Bid for Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II) in response to the **RFP No. SBI/GITC/ISD/2024-25/ISO/12 (RFP-1281) dated 21.08.2024.** should contain only indicative Price Bid strictly on the lines of **Appendix-E**. The Indicative Price must include all the price components mentioned. Prices are to be quoted in Indian Rupees only.
- v. **Bidders may please note:**
 - (a) The Bidder should quote for the entire package on a single responsibility basis for Services it proposes to supply.
 - (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, submitted by the authorized representative of the Bidder.
 - (e) It is mandatory for all the Bidders to have class-II/III Digital Signature Certificate (DSC) (in the name of person who will sign the Bid) from any of the licensed certifying agency to participate in this RFP. DSC should be in the name of the authorized signatory. It should be in corporate capacity (that is in Bidder capacity).
 - (f) Bids are liable to be rejected if only one Bid (i.e. Technical Bid or Indicative Price Bid) is received.

- (g) If deemed necessary, the Bank may seek clarifications on any aspect from the Bidder. However, that would not entitle the Bidder to change or cause any change in the substances of the Bid already submitted or the price quoted.
- (h) The Bidder may also be asked to give presentation for the purpose of clarification of the Bid.
- (i) The Bidder must provide specific and factual replies to the points raised in the RFP.
- (j) The Bid shall be typed or written in indelible ink and shall be submitted 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. The person or persons signing the Bids shall initial all pages of the Bids.
- (l) Any inter-lineation, erasures or overwriting shall be valid only if they are initialed by the person signing the Bids.
- (m) The Bank reserves the right to reject Bids not conforming to above.

12.DEADLINE FOR SUBMISSION OF BIDS:

- i. Bids must be submitted online on portal of e-Procurement agency by the date and time mentioned in the “Schedule of Events”.
- ii. Wherever applicable, the Bidder shall submit the original EMD Bank Guarantee and Pre- Contract Integrity Pact together with their respective enclosures and seal it in an envelope and mark the envelope as “Technical Bid”. The said envelope shall clearly bear the name of the project and name and address of the Bidder. In addition, the last date for bid submission should be indicated on the right and corner of the envelope. The original documents should be submitted within the bid submission date and time for the RFP at the address mentioned in Sl No 1 of Schedule of Events.
- 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.

13.MODIFICATION AND WITHDRAWAL OF BIDS:

- i. The Bidder may modify or withdraw its Bid after the Bid’s submission, provided

that written notice of the modification, including substitution or withdrawal of the Bids, is received by the Bank, prior to the deadline prescribed for submission of Bids.

- ii. A withdrawal notice may also be sent by the authorised representatives of the company through email, but followed by a signed confirmation copy, not later than the deadline for submission of Bids.
- iii. No modification in the Bid shall be allowed, after the deadline for submission of Bids.
- iv. 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.
- v. Withdrawn Bids, if any, will be returned unopened to the Bidders.

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

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

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 on portal of e-Procurement agency. However, Bids may be opened even in the absence of representatives of one or more of the Bidders.
- ii. In the first stage, only technical Bid will be opened and evaluated. Bids of such Bidders satisfying eligibility criteria and agree to comply with all the terms and conditions specified in the RFP will be evaluated for technical criteria/specifications/eligibility. Only those Bids complied with technical criteria shall become eligible for indicative price Bid opening and further RFP evaluation process.
- iii. The Bank will examine the Bids to determine whether they are complete, required formats have been furnished, the documents have been properly signed 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.

18.EVALUATION OF INDICATIVE PRICE BIDS AND FINALIZATION:

- i. The document containing the indicative price Bid(s) of only those Bidders, who are short-listed after technical evaluation, would be opened.
- ii. All the Bidders who qualify in the evaluation process shall have to participate in the online reverse auction to be conducted by Bank's authorized service provider on behalf of the Bank.
- iii. Shortlisted Bidders shall be willing to participate in the reverse auction process and must have a valid digital signature certificate. Such Bidders will be trained by Bank's authorized e-Procurement agency for this purpose. Bidders shall also be willing to abide by the e-business rules for reverse auction framed by the Bank / Authorised e-Procurement agency. The details of e-business rules, processes and procedures will be provided to the short-listed Bidders.
- iv. The Bidder will be selected as L1 on the basis of net total of the price evaluation as quoted in the Reverse Auction.
- v. Errors, if any, in the price breakup format will be rectified as under:
 - (a) If there is a discrepancy between the unit price and total price which is obtained by multiplying the unit price with quantity, the unit price shall prevail, and the total price shall be corrected unless it is a lower figure. If the Bidder does not accept the correction of errors, the Bid will be rejected.

- (b) If there is a discrepancy in the unit price quoted in figures and words, the unit price in figures or in words, as the case may be, which corresponds to the total Bid price for the Bid shall be taken as correct.
- (c) If the Bidder has not worked out the total Bid price or the total Bid price does not correspond to the unit price quoted either in words or figures, the unit price quoted in words shall be taken as correct.
- (d) The Bidder should quote for all the items/services desired in this RFP. In case, prices are not quoted by any Bidder for any specific product and / or service, for the purpose of evaluation, the highest of the prices quoted by other Bidders participating in the bidding process will be reckoned as the notional price for that service, for that Bidder. However, if selected, at the time of award of Contract, the lowest of the price(s) quoted by other Bidders (whose Price Bids are also opened) for that service will be reckoned. This shall be binding on all the Bidders. However, the Bank reserves the right to reject all such incomplete Bids.

19.CONTACTING THE BANK:

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

1.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 revision thereto will be applicable for this RFP and allotment will be done in terms of said Order as under:

<Department to choose any one of below which is most appropriate>

<Applicable where services can be divided>

(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.

Or

<Applicable where services cannot be divided>

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

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

(c) In case such lowest eligible 'Class-I local supplier' fails to match the L1 price, the 'Class-I local supplier' with the next higher bid within the margin of purchase preference shall be invited to match the L1 price and so on and contract shall be awarded accordingly. In case none of the 'Class-I local supplier' within the margin of purchase preference matches the L1 price, then the contract will be awarded to the L1 bidder.

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

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

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

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

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

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

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

- ii. **Verification of local content** *<Department to choose any one of the below depending on estimated cost>*

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. *<Applicable where estimated cost of procurement is up to Rs. 10 crores >*

Or

The ‘Class-I local supplier’/ ‘Class-II local supplier’ at the time of submission of bid shall be required to provide a certificate as per **Appendix-G** from the statutory auditor or cost auditor of the company (in the case of companies) or from a practicing cost accountant or practicing chartered accountant (in respect of suppliers other than companies) giving the percentage of local content requirement for ‘Class-I local supplier’/ ‘Class-II local supplier’ as the case may be. *<Applicable where estimated cost of procurement is more than Rs. 10 crores >*

- iii. Total cost of Services along with cost of all items specified in **Appendix-F** would

be the Total Cost of Ownership (TCO)/Total Project Cost and should be quoted by the Bidder(s) in indicative price bid and reverse auction.

- iv. Bank will notify successful Bidder in writing by way of issuance of purchase order through letter or fax/email that its Bid has been accepted. The selected Bidder has to return the duplicate copy of the same to the Bank within **7 working days**, duly Accepted, Stamped and Signed by Authorized Signatory in token of acceptance.
- v. The successful Bidder will have to submit Non-disclosure Agreement, Bank Guarantee for the amount and validity as desired in this RFP and strictly on the lines of format given in appendix of this RFP together with acceptance of all terms and conditions of RFP.
- vi. Copy of board resolution and power of attorney (POA wherever applicable) showing that the signatory has been duly authorized to sign the acceptance letter, contract and NDA should be submitted.
- vii. The successful Bidder shall be required to enter into a Contract with the Bank and submit the Bank Guarantee, within 30 days from issuance of Purchase Order or within such extended period as may be decided by the Bank.
- viii. Till execution of a formal contract, the RFP, along with the Bank's notification of award by way of issuance of purchase order and Service Provider's acceptance thereof, would be binding contractual obligation between the Bank and the successful Bidder.
- ix. The Bank reserves the right to stipulate, at the time of finalization of the Contract, any other document(s) to be enclosed as a part of the final Contract.
- x. Failure of the successful Bidder to comply with the requirements/terms and conditions of this RFP shall constitute sufficient grounds for the annulment of the award and forfeiture of the EMD and/or BG.
- xi. Upon notification of award to the successful Bidder, the Bank will promptly notify the award of contract to the successful Bidder on the Bank's website. The EMD of each unsuccessful Bidder will be discharged and returned.

20.POWERS TO VARY OR OMIT WORK:

- i. No alterations, amendments, omissions, additions, suspensions or variations of the work (hereinafter referred to as variation) under the contract shall be made by the successful Bidder except as directed in writing by Bank. The Bank shall have full powers, subject to the provision herein after contained, from time to time during the execution of the contract, by notice in writing to instruct the successful Bidder to make any variation without prejudice to the contract. The finally selected Bidder shall carry out such variation and be bound by the same conditions as far as applicable as though the said variations occurred in the contract documents. If any, suggested variations would, in the opinion of the finally selected Bidder, if carried out, prevent him from fulfilling any of his obligations under the contract, he shall notify Bank thereof in writing with reasons for holding such opinion and Bank shall instruct the successful Bidder to make such other modified variation without prejudice to the contract. The finally selected Bidder shall carry out such variation and be bound by the same conditions as far as applicable as though the said variations occurred in the contract documents. If the Bank confirms its instructions, the successful Bidder's obligations shall be modified to such an extent as may be mutually agreed, if such variation involves extra cost. Any agreed difference in cost occasioned by such variation shall be added to or deducted from the contract price.
- ii. In any case in which the successful Bidder has received instructions from the Bank as to the requirements for carrying out the altered or additional substituted work which either then or later on, will in the opinion of the finally selected Bidders, involve a claim for additional payments, such additional payments shall be mutually agreed in line with the terms and conditions of the order.
- iii. If any change in the work is likely to result in reduction in cost, the parties shall agree in writing so as to the extent of change in contract price, before the finally selected Bidder(s) proceeds with the change.

21.WAIVER OF RIGHTS:

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

22.CONTRACT AMENDMENT:

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

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

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

24 .BANK GUARANTEE : 5% of the Project cost

- 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.

25.PENALTY:The entire Bank guarantee will be forfeited if the vendor is unable to provide the resources as per the desired skill set and experience within the stipulated timelines for the deployment of the resources within One week of the communication to start the activity at our mail/telephonic confirmation that they have been selected to take-up the job pending formal purchase order.

26.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.

27.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.).

28.SUBCONTRACTING:

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

29.VALIDITY OF AGREEMENT:

The Agreement will be valid as per terms and conditions stipulated by the bank in the RFP No. SBI/GITC/IT-PartnerRelationship/2023/2024/1042, dated 22.09.2023 under Combination II (Security Analyst) and RFP No. SBI/GITC/ISD/2024-25/ISO/16 (RFP-1281) dated 21.08.2024. The Bank reserves the right to terminate the Agreement as per the terms of RFP/ Agreement.

30.LIMITATION OF LIABILITY:

- i. The maximum aggregate liability of Service Provider, subject to clause 27 (iii), in respect of any claims, losses, costs or damages arising out of or in connection with this RFP/Agreement shall not exceed the total Project Cost.
- ii. Under no circumstances shall either Party be liable for any indirect, consequential or incidental losses, damages or claims including loss of profit, loss of business or revenue.
- iii. The limitations set forth herein shall not apply with respect to:
 - (a) claims that are the subject of indemnification pursuant to infringement of Second-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 clause 27(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.

31.CONFIDENTIALITY:

Confidentiality obligation shall be as per Non-disclosure agreement Service Level Agreement with Bank.

32.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, it’s 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 and/or termination of Contract (as laid down elsewhere in this RFP document).

33.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' with Bank.

34.INTELLECTUAL PROPERTY RIGHTS AND OWNERSHIP:

- i. For any technology / software / product used/supplied 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 Second-party claims or to limit the Bank's rights under this RFP.
- iii. Subject to clause 31 (iv) and 31 (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 Second 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 defence 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.
- vi. 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 RFP shall be deemed to be 'work made for hire' under any Indian/U.S. or any other applicable copyright laws.
- vii. The Intellectual Property Rights on the software code, copyright and source code for various applications/ interfaces developed under this RFP, 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 RFP.
- viii. All information processed by Service provider during software maintenance belongs to the Bank. Service provider shall not acquire any other right in respect of the information for the license to the rights owned by the Bank. Service provider will implement mutually agreed controls to protect the information. Service provider also agrees that it will protect the information appropriately.

35.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, deduct from the Project Cost, as liquidated damages a sum equivalent to 3% of total Project Cost for delay of each week or part thereof maximum up to

15% of total Project Cost. Once the maximum deduction is reached, the Bank may consider termination of the Agreement.

36.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 Second 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.

37.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 empanelled 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 34(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 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.

38.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 clause 35 (i) (a) to 35 (i) (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 10% of the total Project Cost on demand to the Bank, which may be settled from the payment of invoices for the contracted period.

39.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.

40.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.

41.TERMINATION FOR CONVENIENCE:

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

42.DISPUTES / ARBITRATION (APPLICABLE IN CASE OF SUCCESSFUL BIDDER ONLY):

- 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 dispute occurs as evidenced through the first written communication from any Party notifying the other regarding the disputes, either party (SBI or Service Provider), give written notice to other party clearly setting out there in specific dispute(s) and/or difference(s) and shall be referred to a sole arbitrator mutually agreed upon, and the award made in pursuance thereof shall be binding on the parties. 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 arbitration proceeding shall be conducted in accordance with Arbitration and Conciliation Act 1996 and any amendment thereto. Any appeal will

be subject to the exclusive jurisdiction of courts at Mumbai.

- ii. Service Provider shall continue work under the Contract during the arbitration proceedings unless otherwise directed by the Bank or unless the matter is such that the work cannot possibly be continued until the decision of the arbitrator is obtained.
- iii. Arbitration proceeding shall be held at Mumbai, India, and the language of the arbitration proceedings and that of all documents and communications between the parties shall be in English.

43.GOVERNING LANGUAGE:

The governing language shall be English.

44.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.

45.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 all Central / State Government taxes/duties and levies but inclusive of all corporate taxes and Custom duty as also cost of incidental services such as transportation, road permits, insurance etc. The quoted prices and taxes/duties and statutory levies such as GST etc. should be specified in the separate sheet (**Appendix- C**).
- 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-C** will be payable by the Bank on actuals upon production of original receipt wherever required. If any specified taxes/ levies and duties in **Appendix-C** 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-C**

- 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. 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.

46.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.

47.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.

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Part-II

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix –A

BID FORM

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

Date: _____

To:
Deputy General Manager (ISO)
State Bank of India
Information Security Department,
State Bank Global IT Centre,
Ground Floor, A Wing, Sector 11,
CBD Belapur, Navi Mumbai-400614

Dear Sir,

RFP FOR Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)

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 through online auction to be conducted by the Bank's authorized service provider, on the date advised to us.

- i. While submitting this Bid, we certify that:
- The undersigned is authorized to sign on behalf of the Bidder and the necessary support document delegating this authority is enclosed to this letter.
 - We declare that we are not in contravention of conflict-of-interest obligation mentioned in this RFP.
 - Indicative prices submitted by us have been arrived at without agreement with any other Bidder of this RFP for the purpose of restricting competition.
 - The indicative prices submitted by us have not been disclosed and will not be disclosed to any other Bidder responding to this RFP.
 - We have not induced or attempted to induce any other Bidder to submit or not to submit a Bid for restricting competition.

- We have quoted for all the services/items mentioned in this RFP in our indicative price Bid.
 - The rate quoted in the indicative price Bids are as per the RFP and subsequent pre-Bid clarifications/ modifications/ revisions furnished by the Bank, without any exception.
- ii. We undertake that, in competing for (and, if the award is made to us, in executing) the above contract, we will strictly observe the laws against fraud and corruption in force in India namely “Prevention of Corruption Act 1988”.
 - iii. We undertake that we will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the Bank, connected directly or indirectly with the bidding process, or to any person, organisation or Second 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 with Bank and the rates quoted therein for the orders awarded by the Bank up to the period prescribed in the RFP, which shall remain binding upon us.
 - viii. On acceptance of our technical bid, we undertake to participate in Reverse auction by way of login in Reverse auction tool. In case of declaration as successful Bidder on completion of Reverse auction process, we undertake to complete the formalities as specified in this RFP.



- ix. The commercial bidding process will be through the reverse auction process to be conducted by the Bank or a company authorized by the Bank. We understand that our authorized representative who would participate in the reverse auction process would be possessing a valid digital certificate for the purpose.
- x. Till execution of a formal contract, the RFP, along with the Bank's notification of award by way of issuance of purchase order and our acceptance thereof, would be binding contractual obligation on the Bank and us.
- xi. We understand that you are not bound to accept the lowest or any Bid you may receive, and you may reject all or any Bid without assigning any reason or giving any explanation whatsoever.
- xii. We hereby certify that our name does not appear in any "Caution" list of RBI / IBA or any other regulatory body for outsourcing activity.
- xiii. We hereby certify that on the date of submission of Bid for this RFP, we 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.
- xiv. 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.
- xv. 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 regarding restrictions on procurement from a bidder of a country which shares a land border with India. We further certify that we are not from such a country or if from a country, have been registered with competent authority. We certify that we fulfill all the requirements in this regard and are eligible to participate in this RFP.
- xvi. 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.
- xvii. We understand that, the resources to be deployed under this project will be onsite at SBI locations.
- xviii. We furnish hereunder the details of the authorized person who would participate in the reverse auction process:

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Name of the authorized person:

Phone/Mobile No.

E-mail ID:

- xix. We hereby undertake and agree to abide by all the terms and conditions stipulated by the bank in the RFP No. SBI/GITC/IT-Partner Relationship/2023/2024/1042, dated 22.09.2023 under Combination II (Security Analyst) and RFP No. SBI/GITC/ISD/2024-25/ISO/16 (RFP-1281) dated 21.08.2024 and agreement executed between the Bank and our company/firm in pursuant to said RFP”.
- xx. We shall use licensed tools for security review.
- xxi. The licensed tool used will be duly updated with its latest patches.
- xxii. There will not be any vulnerability in these tools.
- xxiii. 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 2024

(Signature) (Name)
(In the capacity of)

Duly authorized to sign Bid for and on behalf of

Seal of the company.

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-B

Scope of Work and Payment Schedule

Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)

Salient features of this engagement:

- i. No. of resources required – On an average 15 resources at a time. (This could vary between 10 to 15 resources at a time, based on the requirement). The resources will be used by different ISO teams across the IT Departments. Resources already engaged with other projects may not be preferred to be engaged with the task under this project. **The bidders to note that, those bidders (ISSPs) who are already having existing man days in hand for execution, needs to deploy additional L-2 resources for this RFP.**
- ii. **Total number of man days – 1500 Man days**
- iii. **Period of engagement & Leaves** – The period of engagement might not be for a continuous period and there might be breaks in between depending upon the requirement. However, if there is a break from resource side, ISSP must provide for suitable alternate resource and proper knowledge transfer to be ensured between the two (outgoing & incoming) resources before allowing the existing resource to leave the site. *No un-planned leave or sick leave will be considered without availability of alternate resource and no man-days will be counted for any of the resources in case of failure to allot alternate resource.* In case of break from the Bank side, the ISSP would be advised for the requirement of the resource at least 3 days in advance. Utilization of man-days could vary between 8 months to 10 months.
- iv. **The Educational, professional qualifications and number years of experience of resources should be as per the RFP no. SBI/GITC/ISD/2024-25/ISO/16(RFP-1281) dated 21.08.2024.**

Details shared underneath

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



SL No	Educational Qualification	Professional Qualification(Certification)	Years of experience
L-2	B.Sc(IT/CS)/B.Tech	CISSP/CISA/OSCP/CEH/CISM/SANS	5-10 years

- v. **If the selected ISSP fails to deploy resources as above, the contract/PO will be cancelled.**
- vi. **The selected ISSP must submit the Profile, KYC, Police verification, educational qualification and experience of the resources going to be deputed for the assignment to the concerned ISO team. The concerned ISO team’s discretion is final in accepting the resources for the project.**
- vii. The resources deployed for the purpose must sign the non-disclosure agreement as per the IS Policy of the Bank, wherever required.
- viii. The resources are expected to report to ISD with at least 15 resources reporting during the first week of engagement and any additional resources may report at any point as per Bank’s requirement. Bank will intimate requirement of resource at least 2 days in advance.
- ix. Selected ISSP shall deploy the resources to start the activity at our mail/telephonic confirmation that they have been selected to take-up the job pending formal purchase order on 2 days’ notice.
- x. The resource should be capable of reviewing Bank’s various applications, plugins, interfaces etc., from Process, Application Security perspective, source code review, Network review, VAPT including suggesting methods/process for improvement also.
- xi. The Security review will be carried out from Bank’s GITC, Belapur office and for outstation Application review (outside Mumbai), the out-of-pocket expenses and economy air fare will be reimbursed as per the Service Level Agreement already signed with the ISSPs.
- xii. The activities to be carried out under the said engagement are inclusive but not limited to following:
 - a) **Secure Network Architecture Review**

- a.1 Placement & Security of servers & network devices in SBI Network
- a.2 Firewall Rule Base Review
- a.3 Analysis of traffic monitoring (inward and outward traffic)
- b) Application security review**
 - b.1 Appsec of application
 - b.2 Role based Application review
- c) VA/PT**
 - c.1 VA of all the Applications in scope - All ports Internal Credential Based
 - c.2 Both Internal and external PT
- d) Configuration Audit**
 - d.1 Configurations of All components such as OS, Database, Application server, web server etc. need to be reviewed against Bank's Benchmark Document.
- e) Process Review: Process flow including.**
 - e.1 User management, privilege access etc., change control management, generation and checking of logs, incident management, flow of both to & fro traffic (its contents and the format in which it is travelling), storage of data at any point, password management, security environment, Compliance with RBI guidelines and Bank's IT Policy and IS Security Policy.
 - e.2 Assessment of security risk involved in data being processed/handled at Second party vendor's site/location covering end to end data flow to ensure CIA of information.
 - e.3 Review of each Database-on-database security perspective.
 - e.4 Review of Vendor/ Second Party Access management

- e.5 Data Flow Diagram for all the Applications to be obtained and ‘end to end’ process review, specifically on Second party locations, if any need to be carried out.
- f) **Source code review** – Source code review wherever applicable as per the Appendix A
- g) **API Review:** API review
- h) **Assessment of Forensic readiness** and threat intelligence for individual Applications.
- i) **Compliance Review** – as per Bank’s IT & IS Policy, Cyber Security Policy, RBI Guidelines and Best Global Security practices.
- j) **Comprehensive Security review of the assigned departments has to be done by the respective ISSPs on Man-days basis.**
- k) **Any other job assigned from time to time has also to be executed on man-days basis.**
- xiii. The work of said resource will be assessed by ISSP’s internal team, senior to onsite team, before releasing it to the Bank’s team and the charges, if any, in this regard may be included while sending us the effort estimate
- xiv. Draft report needs to be submitted within one working day from the completion of each review and final report after ISSP internal review need to be submitted within 2 working days of the draft report
- xv. A daily status of the work in progress/ completed and constraints faced if any must be submitted to the Bank by the ISSP in the form of a tracker (format provided by bank).
- xvi. Along with the soft copy of the final report, its printout with all pages signed by the authorized signatory under your company’s seal must be submitted for each review item. The complete report should contain the following information also: -
- Date of report.
 - Exact period of conduct of the review and/or confirmatory review (as the case may be)
 - Running page number for all pages
 - Name and designation of the officials from Application Owner department with whom the findings had been discussed and finalized.
 - The format of report will be provided by bank.
- xvii. Resources need to work on all working Saturday if Bank has working day.

- xviii. In case of emergency resource may have to work on Sundays and holidays
- xix. ISSP must arrange the required tools/mobiles/laptop at their cost for review purposes. These mobiles/laptops will be formatted/ factory reset once the engagement is over.
- xx. Invoice of 60% can be raised after completion of 900 man-days and remaining amount can be claimed after completion of 1500 man-days
- xxi. Final payment will be released only after receipt of the final complete report on 100% utilization of man-days.
- xxii. The profile of all such L-2 resources submitted in two days from the date declaration of L-1 ISSP.
- xxiii. The ISSPs desirous of submitting their quotes, must accept all the terms and conditions as above. No exceptions are accepted in the bid. In case of bids submitted with any exceptions, the bid will be rejected.
- xxiv. **Deliverable for the Engagement:**
 - a) Hash Value and version number of every application (as advised by the Application Owner and for which it was reviewed) will be required to be incorporated in the final report for both initial and confirmatory review.
 - b) Detailed Report highlighting vulnerabilities in the system. Technical vulnerability identified should provide: Risk impact (High, Medium, Low), possibility of occurrence (High/Medium/Low), ease of exploitation (Easy/Difficult/Very Difficult), specific mitigation measures keeping in view the criticality of the application, placement of the systems, type of the information passing over the channel, compensatory controls etc. If the service is vulnerable, screen shot/logs depicting vulnerability and change required in Secured Configuration Document may also be suggested.
 - c) If any observation has been made which is as per the global best practices and not included in the Bank's latest policies, RBI guidelines and IT Act, the relevant reference will have to be provided in the report by the ISSP.
 - d) Both initial and final reports (after completion of the confirmatory review) will have to be presented application wise.
 - e) A summary report (component wise) for all the applications/review areas (combined) will also be a part of both the reports.
 - f) Both safe as well as unsafe findings are required to be listed along with the Mitigation tracker, listing the unsafe findings.
 - g) An application and activity wise daily tracker to be provided to the Application Owner and Information Security Department.
 - h) Recommendations for risk containment based on global best practices, Compliance to the latest SBI IT Policy, Information Security Policy, RBI guidelines, and IT Act 2008 etc. requirements would be required to be evaluated and reported.

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



- i) If the ISSP resource is required to visit Bank's vendor partner's premises and/or for conducting White Box testing of the Source Code, the NDA will be signed between the ISSP resource and the Bank's vendor partner invariably.
- j) E-Mail response from the Application Owner team may suffice in most of the cases of any reference in respect of the observations made. However, if required, the ISSP resource will be required to visit SBI for a one-on-one interaction on one or more instances with the Application Owner and/or Information Security Department.
- k) ISSP to suggest risk containment / risk mitigation controls in case some of the remediation suggested in the report cannot be implemented because of technical or business-related reasons-application dependency.
- l) All the payments shall be made by the Bank to the Selected Bidder except as otherwise provided in the bid after deducting all taxes including TDS, as per laid down provisions from time to time. All the payment shall be in Indian Rupees. The detailed payment terms are given below: -

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix C

Technical Bid

Technical – Evaluation

Technical – Evaluation Parameter

SL No.	Activities related to Information Security	Yes / No	Details required in Annexure as per C1 to C6
1.	<p>Indian/Global BFSI 5 distinct clients’ assignments handled in Information /Cyber security (In Public Sector Bank(/ Private Sector Bank / Global Bank during the last five years(FY-2019-2024).Among these 5 distinct clients minimum 2 clients should be from Indian Public sector/Private Bank.</p> <p>Public Sector Bank / Private Sector Bank / Global Bank -The Banks should have more than 250 branches. Please Note: Supporting Documents-Purchase order/Work Order/Client Reference to be furnished</p>	Yes / No	C1
2.	<p>Skilled 20 Information Security resources currently available in India as per the defined requirement in the scope of work. Certifications:CISSP/CISA/OSCP/ CEH/CISM/SANS</p>	Yes / No	C2
3.	<p>Minimum 3 engagements of the organization in the BFSI sector in context of scope of work –</p>	Yes / No	C3

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



	Security review during last three FYs (FY-2021-2024). (Supporting Documents-Purchase order/Work Order/Client Reference to be furnished)		
--	---	--	--

Technical Evaluation detailed sheet has also been shared along with this RFP for the information of the bidders. Bidders should fill in their credentials in the Technical evaluation sheet and share with the Bank as a part of technical bid. Bidders to note that, eligibility will be based on the credentials filled in by the bidders shall not be final and binding on the Bank. The Bank's decision on shortlisting of bidders as a part of technical evaluation thereof shall be final. Bidders will be shortlisted on the basis of fulfilment of all the criteria as desired by the Bank based on technical evaluation

Post engagement, the allocation / distribution of activities / assignments will be solely at the discretion of the Bank. The Bank will assign the services to the authorised person of the successful bidders who will manage the whole. The Bank reserves the right to accept the bids or opt for negotiation and offer the rates or cancel the entire RFP process.

Bidders will be shortlisted on the basis of fulfilment of all the criteria desired by the Bank based on technical evaluation and presentation (if required) at the discretion of the Bank

Bidders found unqualified will not be considered for further evaluation/reverse auction.

However, Bank reserves right to evaluate periodically i.e. Monthly/quarterly/Yearly.

Bidders to provide required details as per Annexure C1 to C3 for Sl.No.1 to 3 above.

*****The bidders to furnish each document in chronological order. Name and section duly mentioned at the top of each document.**

Signature and Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix C1

Assignments handled by the organization

(Assignments handled of minimum 5 distinct clients under Information / Cyber security domain (In Public Sector Bank / Private Sector Bank / Global Bank) during the last five years(FY-2019-2024).) Among these 5 distinct clients minimum 2 clients should be from Indian Public sector/Private Bank.

A1. Assignments:

<u>Sl No.</u>	<u>Assignments handled (Last 5 years)- FY 2019-2020,2020-21,2021-22, 2022-23 and 2023-24</u>	<u>Name of the Client</u>	<u>Nature of work/Job allocated</u>	<u>Date of the Purchase order/work order</u>
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Please Note:

- Supporting documents for above should be Purchase / Work Orders, letters from clients on their letter head, contacts of clients etc.

Public Sector Bank / Private Sector Bank / Global Bank -The Banks should have more than 250 branches.

Signature

Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix C2

Skilled Information security resources currently available (Full time)

SI No.	Name of resource	Academic Qualification of the resource	Professional Qualification of the resource	Categorisation as (L-1/L-2/L-3) as defined in the RFP

Signature

Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix C3

Engagement of the organisation in the BFSI sector in context with the scope of work –Security Review

For the period April 2021 to March 2024

Sl.No.	Name of the organisation where engaged	Nature of work(Detailed Description)	Date of Purchase order (2021-24)	Supporting documents (Enclosed /Not Enclosed)
1				
2				
3				

Please Note:

- Supporting documents for above should be Purchase / Work Orders, letters from clients on their letter head, contacts of clients etc.

Signature

Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-D

Indicative Commercial Bid Format

(Indicative commercial bid should be placed as separate document super scribing
“Indicative commercial bid for Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)

Sr. no.	Resource Level	Count of man-days	Total Cost
1	Level – 2	1500	
	Total		**Please mention total cost of the project.

- * Work carried out by L-2 resources needs to be validated by the respective company..
- *The bid should be submitted as the total cost of the project i.e.1500 man-days
- ***Reverse auction will be conducted on the Overall cost of the project.**

(Amount quoted in INR exclusive of GST/CGST)

Dated this day of 2024

 (Signature) (Name)
 (In the capacity of)

Duly authorized to sign Bid for and on behalf of

Seal of the company.

Note: The successful bidder of Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-Second (Closed RFP among the empanelled vendors of GITC under Combination-II)-Security Analyst, RFP NO- SBI/GITC/ISD/2024-25/ISO/17(RFP-1283) published on the same lines is not allowed to participate in this bid.

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-E

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

Vendor Name	Sl. No	RFP Page No	RFP Clause No.	Existing Clause	Query/Suggestions

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-F

Details of the Bidder

1. Name of the bidder –
2. Date of Incorporation and / or commencement of business in India
3. Certificate of incorporation in India
4. GSTN details
5. Brief description of the Bidder including details of its main line of business
6. Company website URL
7. Last Three year Financials of the company
8. Last three year Profit of the company
9. Details of the Authorized Signatory of the Bidder
 - a. Name
 - b. Designation
 - c. Address
 - d. Phone Number (Landline)
 - e. Mobile Number
 - f. Fax Number
 - g. Email Address

Signature

Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix G - Non-Disclosure Agreement

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

_____ constituted under the _____ Act, _____ having its Corporate Centre at _____ (hereinafter referred to as "Bank" which expression includes its successors and assigns) of the ONE PART;

And

_____ (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. 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 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 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; or (iv) is independently developed by Receiving Party.

(c) "Confidential Materials" shall mean all tangible materials containing Confidential Information, including without limitation, email, 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 own employees and other persons and then only to those employees and persons 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 its employees and consultants specifically assigned and/or otherwise, sufficient to enable it to comply with all the provisions of this Agreement. If the Contractor shall appoint any Sub-Contractor then the Contractor may disclose confidential information to such Sub-Contractor subject to such Sub Contractor giving the Customer an undertaking in similar terms to the provisions of this clause.

(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 prior to such disclosure and shall comply with any applicable protective order or equivalent. The intended recipients for this purpose are:

(1) the statutory auditors of the Customer and

(2) regulatory authorities regulating the affairs of the Customer and inspectors and supervisory bodies thereof

(c) The foregoing obligations as to confidentiality shall survive any termination of this Agreement as also dissolution of the company/bidder where the partners/directors would continue to be responsible for the said confidentiality.

(d) 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 to prevent mixing.

(e) Receiving Party may not reverse engineer, decompile or disassemble any software disclosed to Receiving Party.

3. Rights and Remedies

(a) Receiving Party shall notify Disclosing Party immediately upon discovery of any unauthorized use 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 (as listed below), to injunctive or equitable relief as may be deemed proper by a Court of competent jurisdiction.

- a. Suspension of access privileges
- b. Change of personnel assigned to the job
- c. Financial liability for actual, consequential or incidental damages
- d. 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 property 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 patents, copyrights, trademarks, or trade secret information.

(b) Any software and documentation provided under this Agreement is provided with RESTRICTED RIGHTS.

(c) Neither party grants to the other party any license, by implication or otherwise, to use the Confidential Information, other than for the limited purpose of evaluating

or advancing a business relationship between the parties, or any license rights whatsoever in any patent, copyright or other intellectual property rights pertaining to the Confidential Information.

(d) The terms of Confidentiality under this Agreement shall not be construed to limit either party's right to independently develop or acquire product without use of the other party's Confidential Information. Further, either party shall be free to use for any purpose the residuals resulting from access to or work with such Confidential Information, provided that such party shall maintain the confidentiality of the Confidential Information as provided herein. The term "residuals" means information in non-tangible form, which may be retained by person who has had access to the Confidential Information, including ideas, concepts, know-how or techniques contained therein. Neither party shall have any obligation to limit or restrict the assignment of such persons or to pay royalties for any work resulting from the use of residuals. However, the foregoing shall not be deemed to grant to either party a license under the other party's copyrights or patents.

(e) This Agreement constitutes the entire agreement between the parties with respect to the subject matter hereof. It shall not be modified except by a written agreement dated subsequently to the date of this Agreement and signed by both parties. None of the provisions of this Agreement shall be deemed to have been waived by any act or acquiescence on the part of Disclosing Party, its agents, or employees, except by an instrument in writing signed by an authorized officer of Disclosing Party. No waiver of any provision of this Agreement shall constitute a waiver of any other provision(s) or of the same provision on another occasion.

(f) In case of any dispute, both the parties agree for neutral third-party arbitration. Such arbitrator will be jointly selected by the two parties and he/she may be an auditor, lawyer, consultant or any other person of trust. The said proceedings shall be conducted in English language at Mumbai and in accordance with the provisions of Indian Arbitration and Conciliation Act 1996 or any Amendments or Re-enactments thereto.

(g) Subject to the limitations set forth in this Agreement, this Agreement will inure to the benefit of and be binding upon the parties, their successors and assigns.

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

(i) All obligations created by this Agreement shall survive change or termination of the parties' business relationship.

5. Suggestions and Feedback

(a) Either party from time to time may provide suggestions, comments or other feedback to the other party with respect to Confidential Information provided

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



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 _____ 2024 at _____
(month) (place)

For and on behalf of _____

Name		
Designation		
Place		
Signature		

For and on behalf of _____

Name		
Designation		
Place		
Signature		



Appendix H - Compliance Statement

Declaration

Terms & Conditions

We hereby undertake and agree to abide by all the terms and conditions stipulated by the bank in the RFP document.

We certify that the services offered by us in response to the bid conform to the technical specifications stipulated in the bid with the following deviations:

- 1)
- 2)
-

(If left blank it will be construed that there is no deviation from the specification given above)

Signature:

Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-I

Certificate of Local Content

<Certificate from the statutory auditor or cost auditor of the company (in case of companies) or from a practicing cost accountant or practicing chartered accountant (in respect of suppliers other than companies) giving the percentage of local content, on their letter head with Registration Number with seal.>

Date:

To,

Dear Sir,

Ref.: RFP No. : _____ **Dated:** _____

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

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

Signature of Statutory Auditor/Cost Auditor

Registration Number:

Seal

Counter-signed:

Bidder

OEM

< Certified copy of board resolution for appointment of statutory/cost auditor should also be enclosed with the certificate of local content.>

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



OR

Format for Self-Certification of Local Content

Date:

To,

Dear Sir,

Ref.: RFP No. : _____ **Dated:** _____

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

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

Sl 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:

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-J

Format for Submission of Client References

To whosoever it may concern

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

Name & Signature of authorised signatory

Seal of Company

1.Engaging CAT-I & CAT-II Competent 1500 Man-Days of L-2 resources for onsite Security Review and Related Activities for New/Change in existing applications of the Bank along with Comprehensive security review of any department including any job assigned related to security review. | August 2024-First (Closed RFP among the empanelled vendors of GITC under Combination-II)



Appendix-K

Data Processing Agreement

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

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

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

And

(ii) M/s. _____ ("Data Processor")

WHEREAS:

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

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

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

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

IT IS AGREED AS FOLLOWS:

1. Definitions and Interpretation:

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

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

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

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

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

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

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

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

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

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

1.1.10 "EEA" means the European Economic Area.

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

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

1.1.13 "Data Transfer" means:

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

1.1.13.2 an onward transfer of Personal Data from a Processor to a Subcontracted Processor, or between two establishments of a Processor, in each case, where such

transfer would be prohibited by Data Protection Laws (or by the terms of data transfer agreements put in place to address the data transfer restrictions of Data Protection Laws).

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

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

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

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

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

2. Processing of Personal Data:

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

2.2 Processor shall:

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

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

3. PROCESSOR OBLIGATIONS:

3.1 Processor Personnel:

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

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

processing of Personal Data in writing and Processor shall promptly comply with such instructions.

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

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

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

3.2 Security:

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

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

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

3.3 Sub-Processing:

3.3.1 The Processor shall not appoint (or disclose any Personal Data to) any Sub-Processors without prior written authorisation from State Bank of India. The Processor shall provide State Bank of India with **[no less than [xx days]** prior written (including email)

notice before engaging a new Sub processor thereby giving State Bank of India an opportunity to object to such changes. If State Bank of India wishes to object to such new Sub processor, then State Bank of India may terminate the relevant Services without penalty by providing written notice of termination which includes an explanation of the reasons for such objection.

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

3.4 Data Subject Rights:

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

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

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

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

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

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

3.5 Personal Data Breach:

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

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

3.6 Data Protection Impact Assessment and Prior Consultation:

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

3.7 Deletion or return of Personal Data:

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

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

3.8 Audit Rights:

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

3.9 Data Transfer:

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

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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:

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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 _____

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SCHEDULE 1

1.1 Services

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

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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)

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S. No	Controls to be implemented	Compliance (Yes / No)	If under implementation, give date by which implementation will be done
1	Whether the Processor has Information security policy in place with periodic reviews?		
2	Whether the Processor have operational processes with periodic review, including but not limited to:	<ul style="list-style-type: none"> a. Business Continuity Management b. Backup management c. Desktop/system/server/network device hardening with baseline controls d. Patch Management e. Port Management Media Movement f. Log Management g. Personnel Security h. Physical Security i. Internal security assessment processes 	
3	Whether a proper documented Change Management process has been instituted by the Processor?		
4	Whether the Processor has a documented policy and process of Incident management /response?		
5	Whether the Processor's environment is suitably protected from external threats by way of:	<ul style="list-style-type: none"> 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?		

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S. No	Controls to be implemented	Compliance (Yes / No)	If under implementation, give date by which implementation will be done
8	Whether proper log generation, storage, management and analysis happens for the Processor application?		
9	Is the Processor maintaining all logs for forensic readiness related to:	a. Web	
		b. Application	
		c. DB	
		d. Configuration	
		e. User access	
10	Whether the Processor maintains logs for privileged access to their critical systems?		
11	Whether privilege access to the Processor environment is permitted from internet?		
12	Whether the Processor has captive SOC or Managed Service SOC for monitoring their systems and operations?		
13	Whether the Processor environment is segregated into militarized zone (MZ) and demilitarized zone (DMZ) separated by Firewall, where any access from an external entity is permitted through DMZ only?		
14	Whether Processor has deployed secure environments for their applications for:	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?		

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S. No	Controls to be implemented	Compliance (Yes / No)	If under implementation, give date by which implementation will be done
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?		
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?		
	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)?		

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S. No	Controls to be implemented	Compliance (Yes / No)	If under implementation, give date by which implementation will be done
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?		
	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	

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S. No	Controls to be implemented	Compliance (Yes / No)	If under implementation, give date by which implementation will be done
		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.	
		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.	

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Appendix-L

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:xx:xx** dated **dd/mm/yyyy**.
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

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