**Selection of IS Audit Firm/Organization for Comprehensive IT Audit**

**ADDITIONAL TERMS AND CONDITION (ATC)**

All the clauses mentioned in this Additional Terms and Conditions (ATC) document will be integral part of the bid document. In case of any contradiction or conflict of interest the terms and conditions, eligibility criteria and technical compliance as mentioned in ATC document will prevail.

**ABBREVIATION**

The long form of some abbreviations commonly used in the bid is given below:

|  |  |
| --- | --- |
| **Abbreviations** | **Description** |
| BG | Bank Guarantee |
| BOM | Bill of Material |
| CBS | Core Banking Solutions |
| CVC | Central Vigilance Commission |
| DC | Data Center |
| DD | Demand Draft |
| DIT | Department of Information Technology |
| DR | Disaster Recovery |
| EMD | Earnest Money Deposit |
| GST | Goods and Service Tax |
| HO | Head Office |
| IT | Information Technology |
| LD | Liquidated Damage |
| MSE | Micro & Small Enterprise |
| MSME | Micro Small & Medium Enterprises |
| NDA | Non-Disclosure Agreement |
| NEFT | National Electronic Funds Transfer |
| OEM | Original Equipment Manufacturer |
| OSD | Original Solution Developer |
| PBG | Performance Bank Guarantee |
| PO | Purchase Order |
| RBI | Reserve Bank of India |
| SB | Successful Bidder |
| SIT | Systems Integration testing |
| SLA | Service Level Agreement |
| SP | Service Provider |
| TAT | Turn Around Time |
| TCO | Total Cost of Ownership |
| UTR | Unique Transaction Reference |
| VAPT | Vulnerability Assessment and Penetration Testing |
| VM | Virtual Machines |
| XML | Extensible Markup Language |

PART-I

1. INTRODUCTION

UCO Bank, a body Corporate, established under The Banking Companies (Acquisition and Transfer of Undertakings) Act 1970, having its Head Office at 10, B.T.M. Sarani, Kolkata- 700001, India, hereinafter called “The Bank”, is one of the leading public sector Banks in India having more than 3200+ Domestic Branches, two Overseas Branches one each at Singapore & Hong Kong Centres. All the branches of the Bank are CBS enabled through Finacle 10. x as a Core Banking Solution.

1. OVERVIEW AND OBJECTIVE

UCO Bank intend to on-board a Cert-in empaneled Auditor for Comprehensive IT Audit of the Bank. In this regard, Bank invites tenders comprising of eligibility, technical bid and Commercial bid from prospective bidders having proven capabilities of IS/IT Audit functionalities. Bank intends to select a bidder who has expertise in IT and Business understanding related to financial sector. The prospective bidders are required to adhere to the terms of this RFP document and any deviations to the same shall not to be acceptable to UCO Bank.

The bidder (also called the vendor or bidder through this document) appointed under the RFP document shall own the single point responsibility for fulfilling all obligations and providing all deliverables and services required for successful implementation of the project. Unless agreed to specifically by the Bank in writing for any changes in the document issued, the bidder responses should comply with the scope of work.

1. ELIGIBILITY CRITERIA

|  |  |  |
| --- | --- | --- |
| **SL No** | **Criteria** | **Proof of documents to be submitted** |
|  | Bidder should be a company incorporated as a public/private limited company (as defined in the Companies Act, 2013)  or  Registered as a partnership firm (registered under section-59 of the Partnership Act, 1932)  or  A limited liability partnership (under the Limited Liability Partnership Act, 2008) in India | * 1. Copy of Certificate of Incorporation issued by Registrar of Companies, Shareholding pattern, Copies of MOA and AOA(For Companies).   2. Copy of LLP Incorporation certificate. In case of partnership firms, Deed of Partnership should be submitted.   3. Shareholding pattern (For Companies and LLPs)   4. PAN, TAN, GSTIN Certificate and any other tax related document if applicable is required to be submitted along with the eligibility bid. |
| **2.** | The bidder should have a minimum annual turnover of **Rs. 5 Crore** per year during the last three financial years i.e. 2021-22, 2022-23 & 2023-24. This must be the individual company turnover and not of any group of companies. | Copy of the audited balance sheet & certificate from the Chartered Accountant of the company showing profit, net worth and turnover of the company for the consecutive last three financial years i.e. 2021-22, 2022-23 & 2023-24 should be submitted. |
| **3.** | Bidder should have maintained a Positive **Net-Worth** during the last three financial years i.e. 2021-22, 2022-23 & 2023-24 | Copy of the audited balance sheet & certificate from the Chartered Accountant of the company showing profit, net worth and turnover of the company for the consecutive last three financial years i.e. 2021-22, 2022-23 & 2023-24 should be submitted. |
| **4.** | The bidder should have experience in the business of Information System auditing (IS Auditing) in India in last three years as on bid submission date | Documentary evidence with relevant copies of Purchase Order along with Satisfactory Service Certificates / Completion Certificates in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc. |
| **5.** | The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold Industry Standard Certifications CISA, DISA, CISSP, CEH & CISM (valid as on date) and requisite experience to handle the work as per the scope | The profile of the Core Audit team must be submitted as per format given in Annexure – XI format. Respective professional certificates to be submitted. |
| **6.** | Bidder should have industry-wide presence and expertise in conducting IS Audits, good track record and must have prior experience of conducting such IT related audit/ special audit, mentioned below, of any Bank in India (SCBs, SFBs, Payment Bank’s, etc.) in last 3 years.  The bidder must have completed at least one full cycle of IT Audit, of minimum number of modules mentioned below, in last two years as on bid submission date in Scheduled Commercial Banks in India.  The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas: -  1. Process Audit  2. VA/PT  3. Source Code Audit  4. Application & Software Audit  5. Network and Network Performance Analysis Audit  6.Audit of Security devices/Solutions/Parameters at SOC like DAM, PIM, WAF, SIEM, APT ,NBA, VAS, etc.  7. Database Management System & Data Security Audit  8. IT/Digital/Information Security Governance and Management  9. Data Centre, Disaster Recovery Centre, Business Continuity Audit  10. End Point Security Audit  11. Management & Monitoring of Logs  The experience in aforesaid areas may be from either one or multiple Public / Private Sector Banks in India. | Documentary proof must be provided along with copies of Work Order along with completion certificate.  Relevant copy of any one of the following:   1. Completion Certificates 2. Project Sign-Offs 3. Satisfactory client certificate |
| **7.** | Bidder should submit an Undertaking regarding compliance of all Laws, Rules, Regulations, bye-Laws, Guidelines, Notifications etc. | Documentary evidence to be submitted by the bidder as per Annexure – V. |
| **8.** | Bidder should not have conflict of interest in carrying out the Audit. i.e. The firm should not have been engaged with the Bank in any form either direct or indirect assignment except concurrent audits in the past. | Undertaking on company letterhead mentioning the same should be submitted. |
| **9.** | Bidder should have proven methodologies & tools for conduct of audit. Tools should be as Industry Standard and free from bugs and vulnerabilities. | Self-Declaration in format attached – mentioning tool that are free from bugs |
| **10.** | Bidder should not have been debarred / black-listed by any Bank or RBI or ICAI or any other regulatory authority or Financial Institutions in India as on date of RFP submission. | Annexure-IV should be submitted |
| **11.** | The Bidder should not appear in any “Caution” list of RBI / IBA or any other regulatory body for outsourcing activity as on the date of bid submission | Self-declaration to this effect on the company’s letterhead should be submitted |
| **12.** | The bidder should be an empanelled Security Auditing Firm with CERT-IN as on bid publication date and also during the course of Audit. | Copy of valid CERT-IN certificate |
| **13.** | The bidder should ensure that there are no legal proceedings / inquiries / investigations have been commenced / pending / threatened against service provider by any statutory or regulatory or investigative agencies for which performance under the contract will get adversely affected / may get affected. | Self-declaration to this effect on the company’s letterhead should be submitted. |
| **Note**  The service provider must comply with all above-mentioned criteria. Non-compliance of any of the criteria will entail rejection of the offer summarily. Documentary Evidence for compliance to each of the eligibility criteria must be enclosed along with the bid together with references. Undertaking for subsequent submission of any of the required document will not be entertained under any circumstances. However, UCO Bank reserves the right to seek clarifications on the already submitted documents. Non-compliance of any of the criteria will entail rejection of the offer summarily. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the service provider. | | |

**PART-II**

**Broad Scope of Work**

The Bank intends to select CERT-IN empanelled Information Systems Security Audit firm/organisation to conduct comprehensive Information Systems Security Audit at Bank’s DC and DR at Bangalore and Kolkata locations. The bidder has to complete the audit onsite using proven methodologies & tools for conduct of audit. The bidder has to supply all essential tools for audit and bank will only provide support for its utilization/use. The bidder has to suggest the tool to be utilised in the audit and get it approved by the Bank for its utilization.

The bidders selected by the RFP should have expertise in IT and Business understanding related to financial sector. Bidder shall be responsible to complete the allocated job and fulfilling all obligations and providing all deliverables and services required for successful completion of the project. Unless agreed to specifically by the Bank in writing for any changes in the document issued, the bidder responses should comply with the scope of work.

Unless expressly overridden by the specific agreement to be entered into between the Bank and the bidder, the bid document shall be the governing document for arrangement between the Bank and the prospective bidder in terms of this bid documents.

The bidders should take care of submitting the bids properly filled and uploaded on tendering website before closing date and time. Bidders are requested to participate in the tender process according to the time schedule mentioned above.

**Scope of Comprehensive IT Audit**

**1. IT/Digital/Information Security Governance and Management**

* IT/Digital/Information Security Policies and Procedures: Review existing IT/Digital/Information Security Policies, procedures, and standards for adequacy.
* IT/Digital/Information Security Organization Structure: Evaluate the structure, roles, and responsibilities within the IT department.
* Performance Metrics: Analyze the KPIs and metrics used to measure IT performance.
* Evaluating Bank’s IT/Digital/Information Security Governance structure - which includes powers of various committees viz. IT Strategy Committee of the Board, IT Steering Committee, Information Security Committee (ISC) etc. quality of meeting deliberations, IT expertise at board level, availability of required resources, IT resource management and IT performance management,
* IT Strategy Alignment: Assess alignment of IT strategy with business objectives.
* Review the bank's policies and procedures for managing third-party risk, including vendor selection, due diligence, ongoing monitoring, and exit strategies
* Review of load testing procedures: Check whether the bank conducts performance/ load testing of new applications based on the observed trends in their previously released products.
* Assess the effectiveness of training and awareness programs for IT/Digital governance, information security, and risk management.

**2. IT Risk Management**

* Risk Assessment: Evaluate the currently identified IT related risks including those related to outsourced systems.
* Risk Mitigation: Evaluate the effectiveness of risk mitigation strategies & provide necessary guidance.

**3. Security Management**

* Access Controls: Assess the controls for physical and logical access to systems including Implementation of PIM
* Cybersecurity: Evaluate the measures in place to protect against cyber threats.
* Data Encryption: Review data encryption practices for data at rest and in transit.
* Security Monitoring: Check the effectiveness of security monitoring
* Incident Management: Review processes for handling IT incidents, incident reporting, incident response
* Security Operations Centre

1. Audit of SOC infrastructure/implementation of Security Tools (SIEM, DAM, PIM, NBA, WAF, APT, VAS, etc.)
2. Audit of SOC Policy/SOP Document, SOC KPI and Metrics.
3. Cyber SOC (CSOC) has to take in to account proactive monitoring and management, capabilities with sophisticated tools for detection, quick response and backed by data and tools for sound analytic.
4. Audit of Security Manpower, Training and Knowledge Management.
5. People Management- Audit of Change Requests submitted for giving access in IT infrastructure including devices, applications
6. Custom rule review and custom application integration.
7. Incident reporting and Management.
8. Security Analysis
9. Audit of work authorization system between outsource service provider and Bank’s team
10. Access Control, Customer Data Privacy & Confidentiality
11. Application security testing

**4. Compliance**

* Regulatory Compliance: Ensure compliance with relevant laws, regulations and Frameworks (e.g., PCI-DSS, ISO 27001, ISO9001, RBI regulation / directions including RBI’s Master Direction on Information Technology Governance, Risk, Controls and Assurance Practices dated November 7, 2023, Cert-In, Data Protection Act, IT Act etc.)
* Audit Trails: Review audit trails and logging mechanisms

**5. IT Infrastructure**

* Audit of IT Assets and its management.
* Network Infrastructure: Audit the design, configuration, and security of the network infrastructure.
* Data Centers: Audit data center operations, including environmental controls and physical security.

Audit to ensure IT Infrastructure compliance with IT / Information Security Policy of Bank and as per Data Centre Standard practices.

An indicative but not exhaustive list of activities is listed below:

1. Data Centre/Disaster Recovery Centre civil and interiors as per submitted layout
2. Adequacy of server space in view of future requirement
3. Access control facility
4. Fire detection and prevention
5. Fire protection system for server rooms
6. Very Early smoke detection /Fire alarm systems for server rooms
7. Water leak detection systems for server rooms
8. Electrical subsystem (main panel, cables, Power Distribution Unit (PDU) and earthing)
9. Review of Electrical Power requirement and availability.
10. UPS systems
11. DG sets and Control of fuel
12. Precision (computer room standard) Air-conditioning systems for server room
13. Air-conditioning system for other relevant areas of DC
14. Building management system software/hardware (should cover Access controls for Passkeys, Compartmentalization, Creation and Review of Logs, Identification and Escort Requirements, Use of Cages / Rooms & others)
15. Closed circuit television system (CCTV) area for monitoring entry/exit points and strategic locations within the server room
16. Structured cabling system for functional areas as per layout
17. Environmental threat protection (Air Purifier, Humidity Control etc.)
18. Review/Audit of operator awareness of physical security breaches
19. Review of safeguards to mitigate risks associated with earthquake and water related threats
20. Verification of Physical Security policy and review of authorization documentation on file for each individual who has card access to the data center.
21. Audit of License verification of all hardware, Software etc. on entry and exit in DC/DR
22. Review of adequacy of physical Security (Guards, arms etc.)

**6. Audit of Data Centre, Disaster Recovery Centre (DRC) & Near Site**

* Physical security of Data Centre, Disaster Recovery Centre and Near Site
* Access control system
* Fire / flooding / water leakage / gas leakage etc.
* Handling of movement of man /material in /out of DC / DRC
* Air-conditioning of DC / DRC
* Electrical supply to DC/ DRC, Raw power / UPS / Genset
* Surveillance system of DC / DRC
* Redundancy of power level, UPS capacity at DC, DRC
* Physical & environmental controls at DC & DRC
* Assets safeguarding
* Incident handling procedures
* Cyber Incident Response Plan

**7. Audit of Database Management System and Data Security**

1. Database configuration Audit/review.
2. Adequate Authorization & authentication mechanism
3. Segregation of duties & environment
4. Database integrity control mechanism
5. Data Protection & Privacy mechanism
6. Adequate Logical access controls
7. Use of Data Definition Language (DDL), Data Manipulation Language (DML).
8. Monitoring of log of changes to the Data Definitions.
9. Rotation of duties.
10. Review of controls procedures for sensitive DB passwords.
11. Review of changes to control /parameter files of database
12. Replication between DC, DR, Near DR sites
13. Review of Backup, Recovery & Restoration testing procedures
14. Review of DB links

**8. Audit of Network Performance Analysis (NPA):**

* Network Performance Audit analysis
* capacity planning analysis,
* LAN/WAN link utilization and quality analysis,
* Existing load pattern for network device and Uplink,
* Congestion area at various topology layer and traffic pattern analysis.
* DMZ demarcation and IP addresses present in DMZ must be identifiable.
* Review of Firewall rules as per security policy utilizing advanced security tools.
* Identification of threat path and issuance of advisories.
* Identification & suggestion of Micro segmentation of networks and analysis of such traffic.

**Capacity Planning of Network**

Audit shall consist of network device audit for existing capacity requirement and scalable factor, existing load and capacity of physical layer topology and logical layer architecture, audit on type of equipment required for specific task (Core Network device, Perimeter device and Aggregating devices). Following minimum should be collected during the audit.

* Bandwidth utilization at links
* Availability of bandwidth
* Current utilization levels (normal and non-peak hours)
* Scalability of bandwidth & utilization
* Network device performance related to CPU and memory utilization of devices During peak traffic Memory
* Performance (Ping response time)
* Queue/buffer drops
* Broadcast volumes, Collisions, Giants, Runts, traffic-shaping parameters
* NetFlow statistic
* Remote Network Monitoring (RMON)
* End of Life/End of Support network devices

**Capacity planning of Infrastructure**

* Capacity planning of servers
* EOS/EOL servers and replacement plan
* Past trends/analysis may also be included along with current utilization and future projection under Capacity planning.

**Performance Audit**

* **Link Level**

A detailed analysis of link usage patterns is to be prepared. This should include, for each link, average and peak utilization over the time period. Latency (round-trip response time) of each link at various load conditions should also be obtained. Throughput also to be measured (using dummy applications- such as ftp for example) for as many critical segments as possible.

* **Application level**

A break down by each category of traffic (i.e., which application is generating how much data) should be obtained for as many links as possible. This should be analyzed for any anomaly and suggestions given for reducing/controlling any unnecessary traffic.

Review the deployment architecture of the Applications in scope,

Review of testing process conducted for all digital applications before Go-Live and for major changes.

review on the adequacy of test environment.

Review of potential impact of interface related capacity & performance issues on the application

Sufficiency and coverage of UAT test cases, review of defects & tracking mechanism, re- testing & acceptance, before Go-Live of the deployment of in-house developed/outsourced applications.

**Real-Time Monitoring/Analysis/Control Mechanisms**

An exhaustive list of reports to be generated regularly (every few minutes, hourly, daily, weekly) such as the following:

* Degradation in performance of any link below a threshold.
* Health of services and generate alarms on failures.
* Usage patterns (number of transactions) per application should be prepared.
* Suggestions for suitable state-of-the art tools for pro-active real time monitoring, analysis and control of the network traffic should also be given.
* Process Management Audit Review of key processes related to the Network
* Configuration Management Process
* Change Management Process
* Backup
* SLA Management

**9. Business Continuity and Disaster Recovery**

To audit BCP/DRP in terms of its adequacy, effectiveness, efficiency, activation ability and reliability taking into consideration.

1. Review of BCP & DRP Processes
2. Business Flows
3. Review of recovery time objectives
4. Review of Recovery Point Objective
5. Review of Business Continuity Strategy
6. Review of submission of DR test result to IT Steering Committee or higher authority.
7. Identify Individual Point of failures
8. Doing assessment and providing observations on DR Drill (Frequency of DR Drill, Scope of DR Drill, Method of DR Drill, addressing the findings of DR Drill, Reporting the findings of drills, Reviewing the DR Drill conducted and its effectiveness. The audit may also comment on lapses and corrective action taken) conducted for all four quarters.
9. Identification of downtime, reporting of the downtime and Root Cause Analysis of the downtime process to identify the root cause, lessons learnt and corrective actions/ measures initiated/ implemented – its appropriateness and sufficiency, escalation to Board/ Board level committee, stakeholders etc. Among other things comment on planning, coordination, timely escalation, coordination and communication, roles and responsibilities of various teams, media engagement and mitigation measures.
10. If DR strategy is dependent upon vendors: -
11. Review of arrangements available with vendors to enable the DR exercise function successfully and necessary infrastructure thereof.
12. Where the continuity of critical business operations is dependent on vendor, review, whether the bank has taken/ checked the assurance from service providers for continuance of critical operations by having BCP in place at service providers’ end.

**10. Audit of System Development and Change Management**

* System Development Life Cycle (SDLC): Review the SDLC processes for developing and deploying IT systems.
* Change Management: Assess the processes for managing changes to IT systems and infrastructure.
* Configuration Management: Evaluate the configuration management practices.
* Evaluate the version management practices to ensure proper controls are in place in the area of System development, programming management, data management, security management, operations management and quality assurance management. Industry Best Practices are observed wherever possible.
* Review of principles adopted by the bank to adhere to secure by design.
* Review of Security Assessment Mechanisms before development of any

new/regular change or for new product.

* Review API design, Review on API secure SDLC, Review on how API usage and performance metrics, Review on API security.

**11. Audit of Data Management**

* Data Quality: Assess the quality, integrity, and accuracy of data.
* Data Governance: Review data governance policies and procedures.
* Data Privacy: Ensure measures are in place to protect customer and sensitive data.
* Data Management Control: Users must be able to share data, data must be available to users when it is needed, in the location where it is needed and, in the form, in which it is needed, it must be possible to modify data fairly easily in the light of changing user requirements, integrity of data must be preserved.
* Data Localization: Data is stored in India only.

**12. IT Operations**

* Operational Procedures: Evaluate daily IT operational procedures and practices including EOD process
* Incident and Problem Management: Review the processes for incident and problem management.
* Service Level Management: Assess the management of service levels and third-party vendor performance.
* Review of Privileged Identity Management
* Review of adequacy of staff
* Review of reporting responsibility and periodicity of report
* Review of information sharing by bank’s DC/DR team with outsourced service provider team.
* Review of work authorization system between outsourced service provider and Bank’s team
* Review of Access Control, Customer Data Privacy & Confidentiality.
* Review of Media disposal

**13. Audit of Applications and Software**

* Application Security: Assess the security controls of critical banking applications.
* Mechanism for Source code review for critical applications. Applications security
* testing and vulnerabilities addressed may be checked
* Software Licensing: Review compliance with software licensing agreements.
* Application Performance: Evaluate the performance and reliability of applications.

The scope to further include Application Audit (covering functionality of defined rules / parameters and controls within the application) of the Applications used by the Bank. Some applications are named here below:

* Core Banking Solution (Domestic & Overseas Branches)
* Internet Banking (Domestic & Overseas)
* Loan Processing System/Loan Originating System (LOS)
* ATM Switch
* Treasury
* SWIFT
* Email System (Office and Office 365)
* Mobile Banking & UPI (Retail & Corporate) Domestic and Overseas
* Immediate Payment System (IMPS)
* Financial Inclusion (FI)
* Document Management System (DMS)
* Cheque Truncation System (CTS)
* Demit Account
* Enterprise Fraud Risk Management System (EFRMS)
* Biometric Authentication System (BAS)
* PIM solution
* Trade Finance Solution
* MIS
* HRMS
* C KYC
* Centralized FI gateway Application, including E-KYC, AEPS, etc.
* GSTN (Other applications also can be added as per Bank requirement)
* Work from Home (WFH)
* BBPS
* UCO Sarthi
* BHIM Aadhaar Pay
* Shishu Mudra
* UCO Online
* API
* Chatbot
* Prepaid Cards
* Smart Pay
* UCO Secure
* UCO Pay Plus
* NETC Fast Tag
* WhatsApp Banking
* Digilocker
* EVC Income Tax
* GeM
* SPGRS
* Meetings Management
* Public Financial Management System (PFMS)
* CBKONNECT
* Active Directory
* Enterprise Management System (EMS)
* GBM
* Patch Management Solution
* SFMS/NEFT/RTGS
* IRAAC business logic and deployment (Compliance with RBI guidelines on automation of IRACP)

**14. Audit of Project Management**

* Project Planning: Review the planning and management of IT projects.
* Resource Allocation: Assess the allocation of resources to IT projects.
* Project Monitoring: Evaluate the monitoring and control of ongoing IT projects.
* **Information System Acquisition, Development and Maintenance**
* Sponsorship of senior management for development projects
* New system or changes to current systems should be adequately specified, programmed, tested, documented prior to transfer in the live environment
* Scrambling of sensitive data prior to use for testing purpose
* **Release Management**
* Access to computer environment and data based on job roles and responsibilities
* Proper segregation of duties to be maintained while granting access in the following environment

– Live

– Test

– Development

* Segregation of development, test and operating (production) environments for software
* Project Management tool being used
* **Preventing Execution of Unauthorized Software:** Assess controls for preventing the execution of the unauthorized software and applications on critical end points, including the presence of mechanism to restrict and monitor remote access tools and messaging applications.

**15. Audit of User Access and Authentication**

* User Access Management: User Access Management: Assess the processes for granting, modifying, and revoking user access at application/Database/Operating system levels.
* Authentication Mechanisms: Review the effectiveness of authentication mechanisms (e.g., passwords, multi-factor authentication).
* Adequacy of User Access controls at OS / DB / Application for IT systems
* Policy for usernames / passwords, shared documents.
* Guest users, adding new staff, removing old staff access.
* User access to outsourced staff and other outside consultants appointed by the Bank.
* Review of documentation for formal naming standards, design process of job roles, activity, groups, profiles, assignment, approval & periodic review of users,

assignment & use of Super user access.

**16. Reconciliation: Reconciliation mechanism of all payment channels.**

**17. Risk Based Transaction Monitoring:** Review the effectiveness of the Bank’s EFRM (Enterprise Fraud Risk Management) solution in addressing significant increases in digital transactions and ATM cash withdrawals during specific periods, such as observed during extended weekends and holidays.

**18. Redundancy Configuration:**

1. Check whether redundancy is configured for all critical applications/ assets including all components of data center set up and work in times of contingency. Comment on the bank’s capability of conducting DR testing by completely shifting from the primary site to alternate site for all its applications running on the primary site(s).
2. Review the resiliency by evaluating the bank’s preparedness to shift to alternate

site at a very short notice for its critical applications from a given primary site for one/more critical application(s).

1. Comment upon quality and robustness of data migration from Finacle 7 to

Finacle 10.

1. Review back-end correction process in the new system and also on the control mechanism in place in the bank to carry out such requests emanating from business units.

**19. System Integration, Architecture Review: -**

1. STP between CBS and other IT system with accounting software, data warehouse solutions and MIS system.
2. Logical consistency with various field in the various tables of database and its logical control, if any. Evaluation of controls available in case the data in the data warehouse are modified/deleted and corresponding changes in the base systems, if any.

**20. Exception Management:** Complete Flow, Exception related to any change in the application or configuration to be covered. Reporting and monitoring of the exceptions. Check how the exceptions are granted and monitored by information security committee/ CISO and handled from IT/ information security angle – including the framework, competent authority, and adequacy of compensating controls in such exceptions.

**21. Emerging Technologies/ implementation of new Product and Process:** To evaluate the bank’s strategy for adopting emerging technologies (e.g., AI, Blockchain, IoT), New Products and Processes and the associated risk management practices (If applicable).

**22.** Review the bank’s crisis management plan, strategy, execution, and its response mechanism while handing complaints received especially through social media related to service disruption.

**23. Microservices Architecture:** Evaluate the adoption and security of microservices architecture (If applicable).

**24. Review of Endpoint Security: -** Review of all endpoint security postures and its effectiveness as below

1. Active Directory
2. Network Access Control (NAC)
3. Anti-Virus
4. End point DLP
5. Web DLP
6. E-mail DLP
7. Application Whitelisting
8. Patch Management

**25. Management and monitoring of Logs: -** Review of management and monitoring of logs like trace logs, CDCI Logs, Fatal Logs, Archive Logs, SU Logs, Syslogs, Alert Logs, Last Logs, application Logs, Security Logs, System Logs, File retention Logs, File Replication service log, DNS Log, IDS Log, AIPS Logs, Event Logs, Access Log, ISS logs, AV Logs.

Note: No deletion or omission or modification in the scope will be entertained either during the bidding period or after selection of auditor.

PART-III

# **EARNEST MONEY DEPOSIT**

The Bidder(s) must submit Earnest Money Deposit in the form of **Bank Guarantee** only, valid for a period of 90 days together with a claim period of 45 days in favour of UCO Bank payable at Kolkata for an amount mentioned hereunder:

|  |  |
| --- | --- |
| **Particulars of Job to be undertaken** | **Earnest Money Deposit** |
| Selection of lS Audit Firm/Organization for Comprehensive IT Audit | 2,50,000.00 |

**Bank details are as below:**

|  |
| --- |
| **Bank details for SFMS** |
| Account Name- M/s H O DIT  Branch- DD Block, Salt Lake branch  IFSC- UCBA0001870  MICR-700028138 |

Non-submission of Earnest Money Deposit will lead to outright rejection of the offer. Sending EMD other than BG form will not be entertained. The EMD of unsuccessful bidders will be returned to them on completion of the procurement process without any interest thereon. The EMD of successful bidder(s) will be returned to them on submission of Performance Bank Guarantee (s) either at the time of or before the execution of Service Level Agreement (SLA).

Following categories of Bidder(s) however, be exempted from furnishing bid security:

* Micro and Small Enterprises (MSEs) who are holding valid Udyam Registration and are manufacturer of the offered Product or Service (Primary Product / Service - in case of bunch bid with total value wise evaluation) and give specific confirmation to this effect at the time of bid submission and claim EMD exemption.
* Start-ups as recognized by Department for Promotion of Industry and Internal Trade (DPIIT), holding valid Startup Recognition Certificate which is to be uploaded while bidding and claiming EMD exemption.
* Sellers / Service Provider having annual turnover of INR 500 Crore or more, at least in one of the past three completed financial year(s).
* Central / State PSUs.

The Earnest Money Deposit may be forfeited under the following circumstances:

1. If the bidder withdraws its bid during the period of bid validity (90 days from the date of opening of bid).
2. If the bidder makes any statement or encloses any form which turns out to be false, incorrect and / or misleading at any time prior to signing of contract and/or conceals or suppresses material information; and / or
3. The selected bidder withdraws his tender before furnishing on unconditional and irrevocable Performance Bank Guarantee.
4. The bidder violates any of the provisions of the terms and conditions of this tender specification.
5. In case of the successful bidder, if the bidder fails:
   * To sign the contract in the form and manner to the satisfaction of UCO BANK.

* + To furnish Performance Bank Guarantee in the form and manner to the satisfaction of UCO BANK either at the time of or before the execution of Service Level Agreement (SLA).
  + If the Vendor, having been notified of the acceptance of its proposal by the Bank during the period of the validity of the proposal, fails or refuses to enter into the contract in accordance with the Terms and Conditions of the RFP.

# **Delivery and Installation**

The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next three months. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank.

# **Contract Period:**

The tenure of the Contract will be for a period of **12 months** from the date of PO, unless terminated earlier by the Bank by serving 90 days’ prior notice in writing to the selected bidder at its own convenience without assigning any reason and without any cost or compensation therefor.

The selected bidder is required to enter into a Service Level Agreement (SLA), the format whereof is to be supplied by the Bank

However, after the completion of the contract period of **12 months,** the contract may be extended/renewed for further period on mutually agreed terms and conditions. An SSLA will be executed to amend the contract period.

# **Payment Terms**

Payment Terms per Audit Round is given below:

i. No advance payment will be made.

ii. 50% of the charges/fees of a particular Type of Audit will be payable after submission of the following: -

* Audit Plan
* Risk Rating of different Audit Units as per Scope of Work
* Check-List for different Audit Units as per Scope of Work
* Audit report as per Scope of Work

iii. 25% of the charges/fees will be payable after Bank receiving Compliance Review Report complete in all respect.

iv. Balance 25% will be payable after one month of submission of Review Report complete in all respect, provided bank is satisfied that Review has been conducted complete in all respect as per Scope.

v. TDS would be deducted for any payment made by the BANK as per the prevailing Rules of Government of India.

vi. GST will be paid as per the prevailing rate.

# **Penalty & Service level agreement (SLA)**

The selected bidder will be required to sign the Service Level Agreement with the Bank within 15 days of the acceptance of the LOI.

The draft format of SLAs will be provided after acceptance of the Letter of Intent (LOI) by the successful bidder.

This section includes the SLAs which Bank requires the Successful Bidder to manage as key performance indicators for the scope of work. The objective of the SLA is to clearly define the levels of services to be delivered by the Successful Bidder to Bank for the duration of the contract.

**Service Level Agreement and Targets**

This section includes the SLAs which Bank requires the Successful Bidder to manage as key performance indicators for the scope of work. The objective of the SLA is to clearly define the levels of services to be delivered by the Successful Bidder to Bank for the duration of the contract.

The following section reflects the measurements to be used to track and report performance on a regular basis. The targets shown in the following sections are for the period of contractor its revision whichever is earlier

**Penalty**

If the selected bidder fails to deliver or perform the services within the time period(s) specified in the agreement, Bank shall, without prejudice to its other remedies under the agreement, deduct from the order value, as penalty, a sum equivalent to 0.5% of the services for each week or part thereof of delay until actual delivery or performance up to a maximum deduction of 5% of the order value. Once the maximum is reached Bank may consider cancellation of the order and the Performance Security submitted may be invoked.

Any delay reason attributed to the Bank will not be considered for penalty. But it will be bidders responsibility to prove the same.

# **Paying Authority**

The payments as per the Payment Schedule covered hereinabove shall be paid by Audit & inspection Department, Head Office. However, Payment of the Bills would be released, on receipt of advice / confirmation for satisfactory delivery and commissioning, live running and service report etc. Also, the bidder has to submit the certificate of insurance covering all the risks during transit, storage, installation, commissioning, testing and handling including third party liabilities

Following Documents are to be submitted for Payment:

• Invoice in Triplicate

* Audit Compliance Certificate

# **Performance Bank Guarantee**

The selected Bidder shall, within a period of fifteen (15) days from the date of Letter of Intent (LOI)/**Purchase Order** (PO) have to furnish a Performance Bank Guarantee, format as per Annexure – III issued by any scheduled commercial bank (other than UCO Bank) equivalent to 5% of the project cost/**Total Cost of Ownership (TCO)** valid for a period of **15 months ( 12 months + claim period of three (3)** months) from the date of **SLA**/**Purchase Order** (PO) for indemnifying any loss to the Bank.

However, the selected Bidder may have to extend the validity of the Performance Bank Guarantee for a period as required by the Bank.

The Performance Bank Guarantee shall act as a security deposit either in case the selected Bidder is unable to commence the project within the stipulated time or the commencement of the project is delayed inordinately beyond the acceptable levels, the Bank reserves the right to forfeit the same.

Further, the Bank reserves the right to invoke the Performance Bank Guarantee in case the selected Bidder is not able to fulfill any and/or all conditions specified in the document or is unable to complete the project within the stipulated time and such breach remains uncured within such period as mentioned in the Clauses of Termination/Order Cancellation. This is independent of the Liquidated Damages (LD) on delivery and installation.

The selected Bidder shall be responsible for extending the validity date and claim period of the Performance Bank Guarantee as and when it is due on the account of non-completion of the project and warranty period.

In case the Service Level Agreement/Contract is extended, the selected Bidder shall have to submit the Bank Guarantee equivalent to 5**%** of the project cost/Total Cost of Ownership (TOC) for the extended period along with a claim period of three (3) months**.**

# **PRICE VALIDITY**

The selected bidder will be required to keep the price valid for **Six (06) months** from the date of bid submission**.** There shall be no increase in price for any reason whatsoever during the price validity period and Bank may place the additional Purchase Orders to the selected bidder for any or all of the services at the agreed unit rate for line items as mentioned in the commercial format i.e. Annexure – XIII during the price validity period. Bank may procure additional hardware/software/ licenses as mentioned in the RFP document, after the price validity period, on mutually agreed terms during the contract period

# **STAGES OF EVALUATION**

There would be Three (3) stages for evaluation process.

The Stages are:

* Eligibility Criteria Evaluation
* Technical Evaluation
* Commercial Evaluation

1. **Eligibility and Technical Evaluation**

The Eligibility would be evaluated first for the participating bidders. The bidders, who would qualify all Eligibility Criteria as mentioned in ATC, will be shortlisted for the technical bid evaluation.

Bidders, who fulfil the eligibility criteria conditions, their bids only will be taken up for further evaluation/selection process rejecting the remaining bids.

The evaluation/selection process will be done with combination of, technical competence and commercial aspects as detailed here below. A maximum of 100 marks will be allocated for the technical bid. The evaluation of functional and technical capabilities of the bidders of this RFP will be completed first as per the following guidelines. The technical proposals only will be subjected for evaluation at this stage. The bidders scoring less than 75 marks (cut-off score) out of 100 marks in the technical evaluation shall not be considered for selection process. Once the evaluation of technical proposals is completed, the bidders who score more than the prescribed cut-off score will only be short listed.

In case, minimum two participating bidders does not qualify on technical criteria and/or is unable to reach or exceed the cut-off score of 75, then the Bank, at its sole discretion, may relax the cut-off score to a lower value, which, in any case, should not fall below 60. In case at least 2 participants are not found with score 60 or above but below 75, the instant process may be cancelled and Bank reserve the right to go in for retendering process.

**Technical Scoring Criteria (Technical Evaluation Matrix)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Group No** | **Evaluation Parameters** | **Max Marks** | **Scoring Methodology** |
| 1 | The bidder company is | 20 | **20 marks** - Public/Private Limited Company  **15 Marks** - Partnership firm  **10 Marks** - A Limited Liability partnership |
| 2 | Turnover of bidder company | 20 | **20 marks** – More than 25 crore  **15 marks** – more than 15 Crore  **10 Marks** – more than 10 Crore  **5 Marks** – More than 5 crore |
| 3 | The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Schedule commercial Bank in India. | 20 | **5 marks** for every Public Sector Bank  **3 marks** for every SCB other than PSB |
| 4 | The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold Industry Standard Certifications like CISA, DISA, CISSP, CEH & CISM with requisite experience to handle the work as per the scope (valid as on date). | 20 | **3 marks** for every professional holding valid certification |
| 5 | The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas: -  1. Process Audit  2. VA/PT  3. Source Code Audit  4. Application & Software Audit  5. Network and Network Performance Analysis Audit  6.Audit of Security devices/Solutions/Parameters at SOC like DAM, PIM, WAF, SIEM, APT ,NBA, VAS, etc.  7. Database Management System & Data Security Audit  8. IT/Digital/Information Security Governance and Management  9. Data Centre, Disaster Recovery Centre, Business Continuity Audit  10. End Point Security Audit  11. Management & Monitoring of Logs | 20 | **20 marks** – for 11 areas.  **15 marks** – for 10 areas  **10 marks** - for 8 areas |

UCO Bank may, at its discretion, waive off any minor non-conformity or any minor irregularity in an offer/bid. This shall be final, conclusive and binding on all bidders and UCO Bank reserves the right for such waivers.

1. **COMMERCIAL EVALUATION**

The commercial bids of only technically qualified bidders will be opened and evaluated by the Bank and the evaluation will take into account the following factors:

1. Technical bid without masked Bill of Materials will be liable for rejection. The masked commercial bid format will be identical Commercial Bid, except that the masked commercial bid should not contain any price information (with Prices masked). Any deviations from the Bill of Material / non-submission of prices as per the format shall make the bid liable for rejection.
2. The L1 bidder will be selected on the basis of the amount quoted for the proposed solution quoted by them as per commercial bid.
3. The optimized TCO (Total Cost of Ownership) identified in the commercial bid would be the basis of the maximum outflow of the Bank for undertaking the scope of work.
4. In case there is a variation between figure and words, the value mentioned in words will be considered.
5. In the event the vendor has **not quoted / not mentioned / left blank** item(s) in the commercial bid, it would be considered as free of cost. However, for the purposes of payment and finalization of the contract, **the value of zero cost** in the not quoted / not mentioned / left blank item(s) would be used.
6. Bank may waive off any minor infirmity or non-conformity or irregularity in a bid, which does not constitute a material deviation.
7. If there is discrepancy between the unit price and total price (which is obtained by multiplying the unit price by the quantity), the unit price shall prevail and the total price shall be corrected accordingly. In any case unit price cannot be increased & offered quantity cannot be decreased to correct the TCO.
8. If there is discrepancy between percentage and amount, the amount calculated on percentage basis will prevail.
9. If the bidder does not accept the correction of errors, the bid will be summarily rejected.
10. In all the above cases the TCO quoted as a ‘Total Cost’ in GeM would be the final price for evaluation purpose. However, TCO may be reduced to be in-line with unit rice for order placement.
11. Discrepancies if any, would be corrected as per the TCO without increasing any of the unit price and payment would be made on unit price only.

# **AWARD OF CONTRACT**

The bidder who qualifies in the technical evaluation will qualify for commercial evaluation. The bidder whose bid has been determined to be responsive and who quotes the **lowest price** will be treated as **L1 Bidder**. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the bidder(s).

# **PART-IV**

# **Due Diligence**

The Bidder is expected to examine all instructions, forms, terms and specifications in this ATC and study the ATC document carefully. Bid shall be deemed to have been submitted after careful study and examination of this ATC with full understanding of its implications. The Bid should be precise, complete and in the prescribed format as per the requirement of this bid. Failure to furnish all information required by this ATC or submission of a Bid not responsive to this ATC in each and every respect will be at the Bidder’s own risk and may result in rejection of the Bid and for which UCO Bank shall not be held responsible.

# **Rejection of the Bid**

The Bid is liable to be rejectedif:

1. The document doesn’t bear signature of authorized person on each page signed and duly stamp.
2. It is received through E-mail.
3. It is received after expiry of the due date and time stipulated for bid submission.
4. Incomplete Bids, including non-submission or non-furnishing of requisite documents / Conditional Bids/ deviation of terms & conditions or scope of work/ incorrect information in bid / Bids not conforming to the terms and conditions stipulated in this Request for proposal (RFP) are liable for rejection by the Bank.
5. Bidder should comply with all the points mentioned in the RFP. Non-compliance of any point will lead to rejection of the bid.
6. Any form of canvassing/lobbying/influence/query regarding short listing, status etc. will be a disqualification.
7. The bidder submits Incomplete Bids, including non-submission or non-furnishing of requisite documents / Conditional Bids / Bids not conforming to the terms and conditions stipulated in this Request for proposal (RFP).
8. Non-submission of Pre-Contract Integrity Pact as per format given in Annexure – IX.
9. If the masked commercial bid submitted without masking the prices OR commercial bid submitted in open condition along with the technical bid

# **PRE-BID MEETING**

# The queries for the Pre-bid Meeting should reach us in writing by email to [hodit.proc@ucobank.co.in](mailto:hodit.proc@ucobank.co.in) as per ‘Annexure-VIII’ OR raised through GeM portal on or before the date mentioned in the GeM bid. It may be noted that no query from any bidder shall be entertained if received after the above-mentioned date. Queries raised by the prospective bidder and the Bank’s response will be hosted at Bank’s website, GeM Portal & CPP Portal. No individual correspondence will be accepted in this regard.

# **Modification and Withdrawal of Bids**

No bid can be modified by the bidder subsequent to the closing date and time for submission of bids. In the event of withdrawal of the bid by successful bidders, the EMD will be forfeited by the bidder.

# **Information provided**

The RFP document contains statements derived from information that is believed to be reliable at the date obtained but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with Bank in relation to the provision of services. Neither Bank nor any of its employees, agents, contractors, or advisers gives any representation or warranty, express or implied as to the accuracy or completeness of any information or statement given or made in this RFP document.

# **Clarification of offer**

To assist in the scrutiny, evaluation and comparison of offers/bids, UCO Bank may, at its sole discretion, ask some or all bidders for clarification of their offer/bid. The request for such clarifications and the response will necessarily be in writing and no change in the price or substance of the bid shall be sought, offered or permitted. Any decision of UCO Bank in this regard shall be final, conclusive and binding on the bidder.

# **Late Bids**

Any bid received by the Bank after the deadline (Date and Time mentioned in Bid Details table / Pre-Bid / subsequent addendum / corrigendum) for submission of bids, will be rejected and / or returned unopened to the bidder.

# **Issue of Corrigendum**

At any time prior to the last date of receipt of bids, Bank may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective bidder, modify the RFP document by a Corrigendum. Any such corrigendum shall be deemed to be incorporated into this RFP.

# **For Respondent only**

The RFP document is intended solely for the information to the party to whom it is issued (“the Recipient” or “the Respondent”) and no other person or organization.

# **Disclaimer**

Subject to any law to the contrary, and to the maximum extent permitted by law, Bank and its officers, employees, contractors, agents, and advisers disclaim all liability from any loss or damage (whether foreseeable or not) suffered by any person acting on or refraining from acting because of any information, including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the loss or damage arises in connection with any negligence, omission, default, lack of care or misrepresentation on the part of Bank or any of its officers, employees, contractors, agents, or advisers.

# **Purchase preference to Micro and Small Enterprises (MSEs)**

# Purchase preference will be given to MSEs as defined in Public Procurement Policy for Micro and Small Enterprises (MSEs) Order, 2012 dated 23.03.2012 issued by Ministry of Micro, Small and Medium Enterprises and its subsequent Orders/Notifications issued by concerned Ministry. If the bidder wants to avail the Purchase preference, the bidder must be the manufacturer of the offered product in case of bid for supply of goods. Traders are excluded from the purview of Public Procurement Policy for Micro and Small Enterprises. In respect of bid for Services, the bidder must be the Service provider of the offered Service. Relevant documentary evidence in this regard shall be uploaded along with the bid in respect of the offered product or service.

# If L1 is not an MSE and MSE Seller (s) has/have quoted price within L1+ 15% (Selected by Buyer) of margin of purchase preference /price band defined in relevant policy, such Seller shall be given opportunity to match L1 price and contract will be awarded for 25% (selected by Buyer) percentage of total quantity.

# **Costs borne by Respondents**

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

# **No Legal Relationship**

No binding legal relationship will exist between any of the Recipients / Respondents and Bank until execution of a contractual agreement for this RFP.

# **Cancellation of Tender Process**

* 1. UCO BANK reserves the right to accept or reject in part or full any or all offers at its sole discretion at any stage without assigning any reason thereof and without any cost or compensation therefor. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the bidders.
  2. The Bank reserves the right to accept or reject any Bid in part or in full, and to cancel the Bidding process and reject all Bids at any time prior to contract award, without thereby incurring any liability to the affected Bidder or Bidders or any obligation to inform the affected Bidder or Bidders of the grounds for Bank’s action.

# **Corrupt** **and Fraudulent Practices**

As per Central Vigilance Commission (CVC) directives, it is required that Bidders / Suppliers / Contractors observe the highest standard of ethics during the procurement and execution of such contracts in pursuance of this policy:

“Corrupt Practice” means the offering, giving, receiving or soliciting of anything of values to influence the action of an official in the procurement process or in contract execution

**AND**

“Fraudulent Practice” means a misrepresentation of facts in order to influence a procurement process or the execution of contract to the detriment of the Bank and includes collusive practice among bidders (prior to or after bid submission) designed to establish bid prices at artificial non-competitive levels and to deprive the Bank of the benefits of free and open competition.

The Bank reserves the right to reject a proposal for award if it determines that the bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.

The Bank reserves the right to declare a firm ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the firm has engaged in corrupt or fraudulent practices in competing for or in executing the contract.

# **Non-Transferrable Offer**

This Request for Proposal (RFP) is not transferable. Only the bidder who has purchased this document in its name or submitted the necessary RFP price (for downloaded RFP) will be eligible for participation in the evaluation process.

# **Period of Bid Validity**

Bids shall remain valid for **90 (Ninety)** days after the date of bid opening prescribed by UCO BANK. UCO BANK holds the rights to reject a bid valid for a period shorter than 90 days as non-responsive, without any correspondence. In exceptional circumstances, UCO BANK may solicit the Bidder’s consent to an extension of the validity period. The request and the response thereto shall be made in writing. Extension of validity period by the Bidder should be unconditional and irrevocable. The EMD provided shall also be suitably extended. A bidder acceding to the request will neither be required nor be permitted to modify its bid. A bidder may refuse the request without forfeiting its EMD. In any case the EMD of the bidders will be returned after completion of the process.

# **No** **Commitment to accept Lowest or any Bid**

UCO Bank shall be under no obligation to accept the lowest or any other offer received in response to this RFP and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever. UCO Bank will not be obliged to meet and have discussions with any vendor, and or to listen to any representations, and Bank’s decision would be final, conclusive and binding upon the bidder.

# **Errors and Omissions**

Each Recipient should notify Bank of any error, omission, or discrepancy found in this RFP document in the form of pre-bid queries within the time as given in control sheet, otherwise Bank’s decision would be final conclusive and binding upon the bidder.

# **Acceptance of Terms**

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

# **RFP Response**

If the response to this RFP does not include the information required or submission is through Fax mode or through e-mail, the response to the RFP is liable to be rejected. In this regard, Bank may seek clarification & Bank’s decision would be final and binding upon the bidder.

All submissions will become the property of Bank. Recipients shall be deemed to license, and grant all rights to, Bank to reproduce the whole or any portion of their submission for the purpose of evaluation, to disclose the contents of the submission to other Recipients who have registered a submission and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right that may subsist in the submission or Banking documents.

# **Notification**

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

# **Erasures or Alterations**

The Bid should contain no alterations, erasures or overwriting except as necessary to correct errors made by the Bidder, in which case corrections should be duly stamped and initialed / authenticated by the person/(s) signing the Bid.

# **Clarifications on and Amendments to RFP document**

Prospective bidders may seek clarification on the RFP document by letter/fax/e-mail till the date mentioned in the bid control sheet. Further, at least 7 days’ time prior to the last date for bid-submission, the Bank may, for any reason, whether at its own initiative or in response to clarification(s) sought from prospective bidders, modify the RFP contents by amendment. Clarification /Amendment, if any, will be notified on Bank’s website.

# **Language of Bids**

The bid as well as all correspondence and documents relating to the bid exchanged by the bidder and the Bank shall be in English language only.

# **Authorized Signatory**

The bid shall be signed by a person or persons duly authorized by the Bidder with signature duly attested. In the case of a body corporate, the bid shall be signed by person who is duly authorized by the Board of Directors / Competent Authority of the bidder or having Power of Attorney.

The selected bidder shall indicate the authorized signatories who can discuss, sign negotiate, correspond and any other required formalities with the bank, with regard to the obligations. The selected bidder shall submit, a certified copy of the resolution of their Board certified by Company Secretary along with Power of Attorney duly stamped, authorizing an official or officials of the company to discuss, sign with the Bank, raise invoice and accept payments and also to correspond.

The bidder shall furnish proof of signature identification for above purposes as required by the Bank.

# **Adoption of Integrity Pact**

UCO Bank has adopted practice of Integrity Pact (IP) as per CVC guidelines. The Integrity Pact essentially envisages an agreement between the prospective vendors / bidders / sellers, who commit themselves to Integrity Pact (IP) with the Bank, would be considered competent to participate in the bidding process. In other words, entering into this pact would be the preliminary qualification. In case of bids for the purchase of Goods, Services, and Consultancy etc. not accompanied with signed IP by the bidders along with the technical bid, the offers shall be summarily rejected. The essential ingredients of the Pact include:

1. Promise on the part of the principal not to seek or accept any benefit, which is not legally available.
2. Principal to treat all bidders with equity and reason
3. Promise on the part of bidders not to offer any benefit to the employees of the principal not available legally
4. Bidders not to enter into any undisclosed agreement or understanding with other bidders with respect to prices, specifications, certifications, subsidiary contract etc.
5. Bidders not to pass any information provided by the principal as part of business relationship to others and not to commit any offence under PC/IPC Act.
6. Foreign bidders to disclose the name and address of agents and representatives in India and Indian Bidders to disclose their foreign principals or associates.
7. Bidders to disclose any transgressions with any other company that may impinge on the anti-corruption principle.
8. For Joint Ventures (JV) entities, Integrity Pact should be signed by all partners.
9. In case of foreign contractor, details of their Indian counterpart should be submitted to Bank by the vendor

Integrity Pact, in respect of a particular contract, shall be operative from the date IP is signed by both the parties till the final completion of the contract. Any violation of the same would entail disqualification of the bidders and exclusion from future business dealings. IP shall cover all phases of contract i.e. from the stage of Notice Inviting Tenders (NIT)/Request for Proposals (RFP) till the conclusion of the contract i.e. final payment or the duration of warrantee/guarantee. Format of IP is attached as **Annexure – IX** for strict compliance.

The following Independent External Monitors (IEMs) have been appointed by UCO Bank, who will review independently and objectively, whether and to what extent parties have complied with their obligation under the pact.

1. **Dr. Manoj Kumar Chhabra**

C-182 (3rd Floor), Sarvodya Enclave

Malviya Nagar, New Delhi-110017

email: [mkchhabra10@gmail.com](mailto:mkchhabra10@gmail.com)

**All pages of Integrity Pact (IP) must be signed and stamped Integrity Pact (IP) should be deposited with IT Department undertaken procurement at the address mentioned along with RFP document.**

# **Preference to Make in India**

The policy of the Govt. of India to encourage “Make in India” and promote manufacturing and production of goods and services in India, “Public Procurement (Preference to Make in India), Order 2017 and the revised order issued vide GOI, Ministry of Commerce and Industry, Department for Promotion of Industry and Internal trade, vide Order No. P-45021/2/2017-PP (BE-II) dated 19th July 2024 subsequent amendments will be applicable for this tender.

The local supplier at the time of submission of bid shall be required to provide a certificate as per **Annexure-XIV** 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. The Bank shall follow all the guidelines/ notifications for public procurement.

# **Restriction On Procurement Due to National Security**

Any bidder from a country sharing a land border with India will be eligible to bid in this tender only if the bidder is registered with the Department for Promotion of Industry and Internal Trade (DPIIT). A copy of the valid Certificate to be attached with the Bid. Certificate as per the Annexure to be attached along with the Bid. Vide Ministry of Finance OM No. 6/18/2019-PPD dated 23rd July 2020.

Reference is made to Government of India order F. No. 7/86/2020/BOA-I dated 07.08.2020 on restrictions on procurements from bidders from a country or countries, on grounds of Defence in India, or matters directly or indirectly, related thereto, including national security.

1. Any bidder from a country which shares a land border with India will be eligible to bid in this tender only if the bidder is registered with the Competent Authority.
2. "Bidder" (including the term 'tenderer', 'consultant' or 'service provider' in certain contexts) means any person or firm or company, including any member of a consortium or joint venture (that is an association of several persons, or firms or companies), every artificial juridical person not falling in any of the descriptions of bidders stated hereinbefore, including any agency branch or office controlled by such person, participating in a procurement process.
3. “Bidder from a country which shares a land border with India" for the purpose of this Order means: -

a. An entity incorporated, established or registered in such a country; or

b. A subsidiary of an entity incorporated, established or registered in such a country; or

c. An entity substantially controlled through entities incorporated, established or registered in such a country; or

d. An entity whose beneficial owner is situated in such a country; or

e. An Indian (or other) agent of such an entity; or.

f. A natural person who is a citizen of such a country; or

g. A consortium or joint venture where any member of the consortium or joint venture falls under any of the above

1. The beneficial owner for the purpose of (iii) above will be as under:

In case of a company or Limited Liability Partnership, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has a controlling ownership interest or who exercises control through other means.

**Explanation:**

a. "Controlling ownership interest" means ownership of or entitlement to more than twenty-five per cent. of shares or capital or profits of the company;

b. "Control" shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements;

1. In case of a partnership firm, the beneficial owner is the natural person(s) · who, whether acting alone or together, or through one or more juridical person, has ownership of entitlement to more than fifteen percent of capital or profits of the partnership;
2. In case of an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of the property or capital or profits of such association or body of individuals;
3. Where no natural person is identified under (1) or (2) or (3) above, the beneficial owner is the relevant natural person who holds the position of senior managing official;
4. In case of a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with fifteen percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
5. An Agent is a person employed to do any act for another, or to represent another in dealings with third person.

The successful bidder shall not be allowed to sub-contract works to any contractor from a country which shares a land border with India unless such contractor is registered with the Competent Authority.

# OTHER TERMS AND CONDITIONS

* 1. Cost of preparation and submission of bid document: The bidder shall bear all costs for the preparation and submission of the bid. UCO Bank shall not be responsible or liable for reimbursing/compensating these costs, regardless of the conduct or outcome of the bidding process. Documents (viz. Integrity pact, Bank Guarantee, Undertakings etc.) which are to be executed on non-judicial stamp paper, have to be submitted in original / hard-copy at the communication address mentioned below, within three days from the date of bid opening:

**UCO Bank, Head Office-II**

**Department of Information Technology,**

**Procurement Cell,**

**7th Floor, 3 & 4 DD Block, Sector – 1  
Salt Lake, Kolkata – 700064**

* 1. The Bank reserves the right to modify any terms, conditions and specifications of this request for submission of offer and to obtain revised bids from the bidders with regard to such changes. The Bank reserves its right to negotiate with any or all bidders. The Bank reserves the right to accept any bid in whole or in part.
  2. The Bank reserves the right to reject any or all offers based on its own evaluation of the offers received, or on the basis of stability, capabilities, track records, reputation among users and other similar features of a bidder. When the Bank makes any such rejection, the Bank will not be bound to give any reason and/or justification in this regard to the bidder. The Bank further reserves the right to reject any or all offers or cancel the whole tendering process due to change in its business requirement.
  3. Response of the Bid: The Bidder should comply all the terms and conditions of RFP.
  4. The bidder is solely responsible for any legal obligation related to licenses during contract period for the solution proposed and Bidder shall give indemnity to that effect.
  5. UCO Bank shall be under no obligation to accept the lowest or any other offer received in response to this offer notice and shall be entitled to reject any or all offers without assigning any reason whatsoever. UCO Bank has the right to re- issue tender/bid. UCO Bank reserves the right to make any changes in the terms and conditions of purchase that will be informed to all bidders. UCO Bank will not be obliged to meet and have discussions with any bidder, and / or to listen to any representations once their offer/bid is rejected. Any decision of UCO Bank in this regard shall be final, conclusive and binding upon the bidder.

# Normalization of bids:

The Bank has discretion to go through a process of Eligibility evaluation followed by the technical evaluation and normalization of the bids to the extent possible to ensure that eligible bidders are more or less on the same technical ground.

The Bank can repeat this normalization process at every stage of bid submission or till the Bank is satisfied. The eligible bidder/s have to agree that they have no reservation or objection to the normalization process and all the technically short listed bidders will, by responding to this RFP, agree to participate in the normalization process and extend their co-operation to the Bank during this process. The shortlisted bidder/s, by submitting the response to this RFP, agrees to the process and conditions of the normalization process.

# **Liquidated Damage**

Notwithstanding Bank's right to cancel the order, liquidated damages at 0.5% (half percent) of the price of the undelivered portion / non-installed hardware or service of the order value per week will be charged for each week's or part thereof of delay in the specified delivery/installation of services / hardware schedule subject to a maximum of 10% of the total cost of ownership. Bank will have right to recover these amounts by any mode such as adjusting from any payments to be made to the Vendor or from the performance Bank Guarantee. Liquidated damages will be calculated per week basis or part thereof of delay. Dispatch details shall be shared by the vendor regularly after handing over the consignment to the concerned Courier Agency/Indian Postal services.

The Bank reserves its right to recover these amounts by any mode including adjusting from any payments to be made by the Bank to the Bidder. Bank may invoke the Bank Guarantee for further delay in in delivery & migration.

1. SINGLE POINT OF CONTACT

The selected bidder shall appoint a single point of contact, with whom Bank will deal, for any activity pertaining to the requirements of this RFP.

1. HUMAN RESOURCE REQUIREMENT

The selected bidder by executing the agreement shall be deemed to have unconditionally agreed as under:

1. The selected bidder shall provide a contingent of well-trained personnel and extend necessary mentoring and operational support to the intermediary network of agents, etc. as part of the solution/service.
2. The selected bidder shall confirm that every person deployed by them on the project has been vetted through a third-party background check prior to their engagement. The selected bidder shall manage the activities of its personnel or others engaged in the project, etc., and shall be accountable for all the personnel deployed/engaged in the project.
3. In case the performance of the selected bidder/their CSP/agent/employees engaged in the project is not satisfactory or is detrimental to the interests of the Bank, the selected bidder shall have to replace the said person within the time limits stipulated by the Bank. Where the selected bidder fails to comply with the Bank’s request, the Bank may replace the said person or their agents/employees on its own.
4. No right to employment in the Bank shall accrue or arise to the employees or agents of the selected bidder, by virtue of engagement of employees, agents, etc. of the selected bidder for any assignment under this project. It is further clarified that the arrangement herein with the selected bidder is a contract for service.
5. The selected bidder shall exercise due diligence and only engage persons having established identity, integrity, requisite qualifications, skills and deployment experience for all critical activities.
6. The Bidder has to submit following KYC documents for onsite/Offsite engineer
   * + 1. Resume latest (Candidate Photograph should be part of Resume only) and Print should be in colour only.
       2. Address Proof (Local and Permanent)- Duly attested photocopy by candidate and Bidder HR
       3. Aadhar Card - Duly attested photocopy by candidate and Bidder HR
       4. Relieving Certificate of Previous employer - Duly attested photocopy by candidate and Bidder HR
       5. Passport - Duly attested photocopy by candidate and Bidder HR
       6. Background Police Verification report - Duly attested photocopy by candidate and Bidder HR

g) The selected bidder shall extend all of the outsourced banking and financial services by deploying such personal that have high integrity and meet the qualifications and other criteria stipulated by the Reserve Bank of India, Government or the Bank from time to time and agrees and undertake that during the subsistence of this agreement they will not employ any personnel/individual below the Minimum Wages fixed by appropriate Government on this behalf from time to time, as per the provisions of Minimum Wages Act 1948.

1. PRELIMINARY SCRUTINY

UCO Bank will scrutinize the offers to determine whether they are complete, whether any errors have been made in the offer, whether required technical documentation has been furnished, whether the documents have been properly signed, and whether all the necessary information supported by documentary evidences are submitted as per prescribed method. Offers not meeting the prescribed guidelines and or with incorrect information or not supported by documentary evidence, wherever called for, would summarily be rejected. However, UCO Bank, at its sole discretion, may waive any minor non-conformity or any minor irregularity in an offer. UCO Bank reserves the right for such waivers and this shall be binding on all vendors.

1. SUB CONTRACTING

As per the scope of this Agreement sub-contracting is not permitted, unless otherwise permitted by the Bank.

1. TAXES
2. Bidder shall be solely liable for the payment of all taxes, duties, fines, penalties, etc., by whatever name called as may become due and payable under the local, state and/or central laws, rules and/or regulations as may be prevalent and as amended from time to time in relation to the services rendered pursuant to this agreement. The Bank may in its discretion, but without being bound to do so, make payment of Taxes, duties as aforesaid and in the event of such payment, Bank shall be entitled to deduct the payment so made from the payment due to Bidder in respect of Bills.
3. The Bank shall not be liable nor responsible for collection and / or payment of any such taxes, duties, fines, penalties etc., by whatever name called, that are due and payable by bidder, under the local, state and/ or central laws, rules and /or regulations as may be prevalent and as amended from time to time.
4. Nothing contained herein shall prevent the Bank from deducting taxes deductible at source as required by any law/s or regulation/s. Bidder shall be responsible to report any non-receipt of certificate of taxes deducted at source within ninety (90) days of deduction of such taxes at source by the Bank to bidder. The Bank will not issue any duplicate certificate for deduction of taxes at source unless such request is made within ninety (90) days of the closure of the financial year.
5. Bidder shall co-operate fully in the defence of any claim/s by any local, state or union authorities against The Bank with respect to any taxes and/or duties due and payable by bidder and /or individuals assigned by bidder under this agreement. Without limiting the generality of the foregoing bidder shall upon request by The Bank, give to The Bank all documents, evidences in a form satisfactory to The Bank to defend such claim/s. Any claims filed against The Bank, the cost to be borne by the selected bidder.
6. The payments which is/are **inclusive of GST and other taxes, fees etc.** as per the Payment Schedule covered herein above shall be paid by Audit & Inspection Department, Head Office. However, Payment of the Bills would be released, on receipt of advice / confirmation for satisfactory delivery and commissioning, live running and service report etc. after deducting all penalties.
7. CONFIDENTIALITY AND SECRECY

The RFP document is confidential and is not to be reproduced, transmitted, or made available by the Recipient to any other party. The RFP document is provided to the Recipient on the basis of the undertaking of confidentiality given by the Recipient to Bank. Bank may update or revise the RFP document or any part of it. The Recipient acknowledges that any such revised or amended document is received subject to the same terms and conditions as this original and subject to the same confidentiality undertaking.

The Recipient will not disclose or discuss the contents of the RFP document with any officer, employee, consultant, director, agent, or other person associated or affiliated in any way with Bank or any of its customers, suppliers, or agents without the prior written consent of Bank.

The bidder/selected bidder must undertake that they shall hold in trust any Information received by them under the Contract/Service Level Agreement, and the strictest of confidence shall be maintained in respect of such Information. The bidder has also to agree:

* + To maintain and use the Information only for the purposes of the Contract/Agreement and only as permitted by BANK;
  + To only make copies as specifically authorized by the prior written consent of Bank and with the same confidential or proprietary notices as may be printed or displayed on the original;
  + To restrict access and disclosure of Information to such of their employees, agents, strictly on a “need to know” basis, to maintain confidentiality of the Information disclosed to them in accordance with this Clause, and
  + To treat all Information as Confidential Information.
  + The selected service provider acknowledges and agrees that all tangible and intangible information obtained, developed or disclosed including all documents, data, papers, statements, any business/customer information, trade secrets and process of the UCO Bank relating to its business practices in connection with the performance of services under this Agreement or otherwise, is deemed by the UCO Bank and shall be considered to be confidential and proprietary information (“Confidential Information”), solely of the UCO Bank and shall not be used/disclosed to anybody in any manner except with the written consent of The UCO Bank.
  + The selected service provider shall ensure that the same is not used or permitted to be used in any manner incompatible or inconsistent with that authorized by the UCO Bank. The Confidential Information will be safeguarded and the selected service provider will take all necessary action to protect it against misuse, loss, destruction, alterations or deletions thereof.
  + **Conflict of interest:** The Vendor shall disclose to BANK in writing, all actual and potential conflicts of interest that exist, arise or may arise (either for the Vendor or the Bidder’s team) in the course of performing the Service(s) as soon as practical after it becomes aware of that conflict.
  + **The successful Bidder is required to execute a Non-Disclosure Agreement to the bank as per bank’s format before or at the time of execution of the Service Level Agreement**.

1. COMPLIANCE WITH LAWS

The Vendor shall undertake to observe, adhere to, abide by, comply with and notify the Bank about all laws in force or as are or as made applicable in future, pertaining to or applicable to them, their business, their employees or their obligations towards them and all purposes of this Contract and shall indemnify, keep indemnified, hold harmless, defend and protect the Bank and its employees/officers/staff/ personnel/ representatives/ agents from any failure or omission on its part to do so and against all claims or demands of liability and all consequences that may Occurs or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising therefrom.

All the employees/operator deployed by the Vendor for the digitization activity must comply with government’s rules and regulations like Minimum Wages Act, Provident Fund, Labour Law, ESIC facility standard, CVC / RBI guidelines.

This indemnification is only a remedy for the Bank. The Vendor is not absolved from its responsibility of complying with the statutory obligations as specified above. Indemnity would be limited to court awarded damages and shall exclude indirect, consequential and incidental damages. However, indemnity would cover damages, loss or liabilities suffered by the Bank arising out of claims made by its customers and/or regulatory authorities.

The Vendor confirms to Bank that it complies with all Central, State, Municipal laws and local laws and rules and regulations and shall undertake to observe, adhere to, abide by, comply with and notify Bank about compliance with all laws in force including Information Technology Act 2000 as amended from time to time or as are or as made applicable in future, pertaining to or applicable to them, their business, their employees or their obligation’s towards them and for all purposes of this Contract, and shall indemnify, keep indemnified, hold harmless, defend and protect Bank and its officers/staff/ personnel/ representatives/agents from any failure or omission on its part to do so and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligation’s arising therefrom.

The Vendor shall promptly and timely obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this project or for the conduct of their own business under any applicable Law, Government Regulation/Guidelines and shall keep the same valid and in force during the term of the project, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate Bank and its employees/officers/staff/personnel/ representatives(agents from and against all claims or demands of liability and all consequences that may Occurs or arise for any default or failure on its part to conform or comply with the above and all other statutory obligation’s arising there from and Bank will give notice of any such claim or demand of liability within reasonable time to the Vendor. The Vendor shall also provide a certificate from Statutory Auditor or Cost Auditor of the Company or from practicing Cost Accountant giving the percentage local contents as defined in PPP order issued by GOI from time to time and applicable for the said procurement/project.

1. FORCE MAJEURE

Force Majeure is herein defined as any cause, which is beyond the control of the selected bidder or the Bank as the case maybe which they could not foresee or with a reasonable amount of diligence could not have foreseen and which substantially affect the performance, such as:

* Natural phenomenon, including but not limited to floods, droughts, earthquakes, epidemics,
* Situations, including but not limited to war, declared or undeclared, priorities, quarantines, embargoes,
* Terrorist attacks, public unrest in work area,

Provided either party shall within ten (10) days from the occurrence of such a cause notify the other in writing of such causes. The Selected bidder or the Bank shall not be liable for delay in performing his / her obligations resulting from any Force Majeure cause as referred to and / or defined above.

1. COMPLETENESS OF THE PROJECT

The project will be deemed as incomplete if the desired objectives of the project as mentioned in Section “Scope of Work” of this document are not achieved.

1. ORDER CANCELLATION

The Bank reserves its right to cancel/terminate the Order/Agreement in the event of occurrence of one or more of the following circumstances, that are not occasioned due to reasons solely and directly attributable to the Bank alone:

1. The **selected Bidder/Vendor** commits a breach of any of the terms and conditions of the Letter of Intent/Purchase Order/Agreement;
2. The selected Bidder/Vendor violates the Laws, Rules, Regulations, Bye-Laws, Guidelines, and Notifications etc.,;
3. Serious discrepancy in the quality of service of selected Bidder/Vendor expected during the implementation, rollout and subsequent maintenance process;
4. The selected Bidder/Vendor goes into liquidation voluntarily or otherwise;
5. An attachment is levied or continues to be levied upon the selected Bidder/Vendor for a continuous period of 7 days upon the effects of the order;
6. The progress regarding execution of the order by the selected Bidder/Vendor is found to be unsatisfactory;
7. Non-compliance by the selected Bidder/Vendor of the scope of the job;
8. Repetitive failure of the deployed personnel of the **selected** Bidder/Vendor to perform the job to the satisfaction of the Bank;
9. The selected Bidder/Vendor fails to complete the assignment as per the timelines prescribed in the Work Order/ said Agreement/Contract and the extension, if any allowed.
10. On the events of data piracy/privacy/system failures/security failures by the selected Bidder/Vendor;
11. If deductions on account of liquidated damages exceed more than 10% of the total order price.

In case of cancellation/termination of Order/Agreement due to the above stated situations, the following consequences will entail:

* + 1. In case the selected Bidder/Vendor fails to deliver the services as stipulated in the delivery schedule, UCO BANK reserves the right to procure these deliverables from alternate sources at the risk, cost and responsibility of the selected Bidder/Vendor with the capping of 125% of the original quoted cost for such deliverable.
    2. If the selected Bidder/Vendor does not perform satisfactorily or delays in execution of contract, UCO Bank reserves the right to get the balance order executed by another party of its choice, in this event the selected Bidder/Vendor is bound to make good with the capping of 125% of the original quoted cost for such deliverable, which UCO Bank may have to incur in executing the balance order. This clause is applicable, if for any reason, the order is cancelled.
    3. UCO Bank reserves the right to recover any dues payable by the selected Bidder/Vendor under the contract from any amount outstanding to the credit of the selected Bidder/Vendor, including the bills and /or invoking the Performance Bank Guarantee under this Agreement.
    4. In case of cancellation of order, any advance payments (except payment against ATS) made by the Bank to the selected Bidder/Vendor for implementation of project, would necessarily have to be returned to the Bank. If the selected Bidder/Vendor fails to return such payment within thirty (30) days, then the selected Bidder/Vendor have to return the amount to the Bank with interest @ 15% per annum, further the selected Bidder/Vendor would also be required to compensate the Bank for any direct loss suffered by the Bank due to the cancellation of the contract/purchase order and any additional expenditure to be incurred by the Bank to appoint any other Vendor. This is after repaying the original amount paid.
    5. The selected Bidder/Vendor shall be liable under this section if the contract/ purchase order has been cancelled in case the sum total of penalties and deliverables exceeds 10% of the TCO.

In case of order cancellation/termination, Bank will notify the selected Bidder/Vendor within Ninety (90) days’ notice period inclusive of Thirty (30) days cure period before cancellation/termination of the Order/Agreement. However, it is clarified that the notice should specifically contain that the Ninety (90) days period for cancellation is inclusive of cure period of Thirty (30) days, if the selected Bidder/Vendor fails to cure within Thirty (30) days’ time the notice for cancellation will became absolute. For the sake of clarity, the period of 90 (Ninety) days will begin from the date of receipt of termination/cancellation notice in accordance with Clause no. 76 (in part-V) of this Agreement. Any other mode of communicating the termination/cancellation of the Agreement will be deemed to be invalid.

The rights of the Bank enumerated above are in addition to the rights/remedies available to the Bank under the law(s) for the time being in force.

1. INDEMNITY

In consideration of the Bank having agreed to accept our offer in terms of this bid, we the Bidder herein both hereby agree and undertake that we shall indemnify and keep indemnified the Bank including its respective Directors, Officers and Employees, from and against any claims, demands, actions, proceedings, damages, recoveries, judgments, costs, charges liabilities, losses arising out of all kinds of accidents, destruction, deliberate or otherwise, violation of applicable laws, regulations, guidelines and/or environmental damages, if any, during the contract period or expenses of any nature and kind whatsoever and by whomsoever made in respect of the said RFP and any damage caused from and against all suits and other actions that maybe instituted or preferred against the Bank or which the Bank may have to bear, pay or suffer directly or indirectly due to omission or commission of any act on our part and/or on the part of our employees, representatives, agents and/or associates, sub-contractors in performance of the obligations enumerated under the said Request for Proposal.

We the Bidder further irrevocably and unconditionally agree and undertake to hold the Bank harmless, indemnify and keep the Bank indemnified from any of its following acts and deeds, irrespective of the value, genuineness or enforceability of the aforesaid Contract/Agreement or insolvency, bankruptcy, reorganization, dissolution, liquidation or change in ownership of UCO Bank or us or any other circumstance whatsoever which might otherwise constitute a discharge of the Bidder:

a. material breach of any of the terms of the RFP/ SLA or breach of any representation or false representation or inaccurate statement or assurance or covenant or warranty or breach of confidentiality etc., of the service provider under these presents and/or Request for Proposal and Service Level Agreement/Contract/Master Service Level Agreement;

b. infringement of any intellectual property right, patents, trademarks, copyrights etc., including any claims of infringement of any third-party copyright, patents or other intellectual property and/or any third party claims on the Bank for malfunctioning of the equipment, software or deliverables or usage of any license, or such other statutory infringement in respect of all components provided to fulfill the scope of work under these presents and/or Request for Proposal and Service Level Agreement/Contract/Master Service Level Agreement;

PROVIDED HOWEVER (i) Bank notifies BIDDER in writing within 15 days of the claim and/ or Bidder is having knowledge of the same and/or reasonably it should be in notice of the bidder (ii) BIDDER will have control of the defense and all related settlement negotiations, however, if Bank, deem fit and proper may take control of the defense (iii) Bank provides BIDDER with the assistance, information, and authority reasonably necessary to perform the above, and (iv) the Bank will not make any statements, admissions or public remarks which may prejudice to the interest of the bidder.

Exclusion:

Bidder shall not be obligated or liable under any provision of this Agreement for any performance problem, claim of infringement or other matter to the extent same is resulting, in whole or in part, from: (i) any modification of any Solution (other than a modification made solely by Bidder); (ii) any use of a Solution in breach of the Agreement; (iii) any combination of the Solution with any other software, hardware, product, technology, data or services; (iv) any use of any version of a Solution other than the Supported Release;

Bank’s failure to implement corrections or changes to a Solution provided by Bidder/ Bidder; (vi) Bank’s failure to subscribe to support and maintenance if then offered for the Solution; (vii) any Embedded Software; (viii) any transaction processed on behalf of Bank or its affiliates, users, or customers, including any credit, fraud or counterfeit losses; or (ix) any negligence, wrongful act, or breach of the Agreement by Bank or its Authorized Recipients, users or Customers.

“Embedded Software” shall mean embedded or bundled third-party software, including open source software. A ‘Release” means the periodic provision of updates or modifications which Bidder, in its discretion, may incorporate into the Solution. A ‘Supported Release’ shall mean the immediately preceding Release, or other Releases made available in the previous twelve (12) months)

If any infringement claim is raised by any third party or any person, the Bidder will have the following remedial measures at their expenses:

• modify or replace all or part (s) of the Solution to make it non-infringing;

• procure for the Bank the right/license to continue using the Solution; or

• remove all or part (s) of the Solution. If the Vendor so removes all or a part (s) of a Solution, then the Vendor shall refund the same to the Bank in proportion, if Bank has paid a one-time upfront initial license fee for the Software.

However, it is clarified that this remedy will not curtail any of Bank’s rights under this Agreement.

c. for any loss or damages caused to the Bank's premises or property, loss of reputation & loss of life etc., solely attributable due to the acts of the Bidder/Bidder's employees, representatives, agents and/or associates;

d. non-compliance of the Bidder with the applicable laws and/or statutory obligations, if any, in performing its duties as a service provider under the said Request for Proposal and Service Level Agreement/Contract/Master Service

Level Agreement;

e. Gross Negligence or wilful misconduct attributable to the Bidder, its employees, representatives, agents and/or associates or any liabilities which pose significant risk;

We shall not enter into any settlement, compromise or make any statement (including failure to take appropriate steps) that may be detrimental to the rights, interest and reputation of the Bank (and/or its customers, users and service providers).

Service Provider will not be liable for any loss of profits, revenue, contracts or anticipated savings or and consequential or indirect loss or damages however caused.

All indemnities shall survive notwithstanding the expiry or termination of Service Level Agreement/Contract/Master Service Level Agreement and we shall continue to be liable under the indemnities.

Any notice, request or other communication to be given or made under this indemnity shall be in writing addressed to either Party at the address stated in the previously mentioned Agreement/Contract.

We hereby declare that this Indemnity is in addition to the Liquidated Damages as provided in these presents.

1. PUBLICITY

Any publicity by the selected bidder in which the name of the Bank is to be used should be done only with the explicit written permission of the Bank. The Bidder shall not make or allow making a public announcement or media release about any aspect of the Contract unless The Bank first gives the Bidder its prior written consent.

1. PRIVACY AND SECURITY SAFEGUARDS

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

1. TECHNOLOGICAL ADVANCEMENTS

The Selected bidder shall take reasonable and suitable action, taking into account economic circumstances, at mutually agreed increase / decrease in charges, and the Service Levels, to provide the Services to the Bank at a technological level that will enable the Bank to take advantage of technological advancement in the industry from time to time.

1. GUARANTEES

Selected bidder should guarantee that all the material as deemed suitable for the delivery and management for this RFP. All hardware and software must be supplied with their original and complete printed documentation.

1. EXIT OPTION AND CONTRACT RE-NEGOTIATION

The Bank reserves the right to cancel the said Agreement/Contract in the event of happening one or more of the following conditions:

1. Failure of the selected bidder/Vendor to accept the Letter of Intent/Purchase Order and/or failure to furnish the Performance Bank Guarantee within a period of fifteen (15) days of receipt of Letter of Intent/Purchase Order;
2. Delay in commissioning the Project beyond the specified period;
3. Delay in completion of the commissioning/implementation and acceptance tests/ checks beyond the specified periods;

Bank will notify the selected bidder/Vendor with Ninety (90) days notice inclusive of acure period of thirty (30) days before cancellation/termination. However, it is clarified that the notice should specifically contain that the Ninety (90) days period for cancellation is inclusive of a cure period of thirty (30) days, if the Vendor fails to cure within thirty (30) days’ time, then the notice for cancellation will became absolute. For the sake of clarity, the period of Ninety (90) days will begin from the date of receipt of termination/cancellation notice in accordance with Clause no. 76 (in Part-IV) of this Agreement. Any other mode of communicating termination/cancellation of the Agreement will be deemed to be invalid.

In addition to the cancellation of Purchase Order/said Agreement/Contract, the Bank reserves the right to appropriate the damages through invocation of Performance Bank Guarantee furnished by the selected bidder/Vendor**.**

Notwithstanding the existence of a dispute, and/or the commencement of arbitration proceedings, the Vendor will be expected to continue the services. The Bank shall have the sole and absolute discretion to decide whether proper reverse transition mechanism over a period of six (6) to twelve (12) months, has been complied with. In the event of the conflict not being resolved, the conflict will be resolved through Arbitration.

The Bank and the Vendor shall together prepare the Reverse Transition Plan. However, the Bank shall have the sole decision to ascertain whether such Plan has been complied with.

Reverse Transition mechanism would typically include service and tasks that are required to be performed / rendered by the Vendor to the Bank or its designate to ensure smooth handover and transitioning of Bank’s deliverables, maintenance and facility management.

The reverse transition period may or may not be within the contract period. In case the reverse transition period falls within the contract period, all the terms & conditions, scope of work mentioned in the contract will hold good along with smooth handover and transitioning of Bank’s deliverables to the Bank or its designates/nominees and no extra payment shall be paid by the Bank for such reverse transition.

However, if the reverse transition mechanism to be adopted after the expiry of the contract period, the Bank and the Vendor shall together prepare the Reverse Transition Plan for smooth handover and transitioning of Bank’s deliverables to the Bank or its designates/nominees including maintenance and facility management.  Though in such case the Bank shall have the sole authority to ascertain whether such Plan has been complied with, but the payment for such reverse transition would be determined on pro rata basis or on mutual consent of the Parties.

1. TERMINATION FOR CONVENIENCE

The Bank, by a written notice for a period of ninety (90) days (both in words and figures) sent to the selected Bidder/Vendor, may terminate the said Agreement/Contract, in whole or in part, at any time at its convenience. The notice of termination shall specify that the termination is for Bank’s convenience, the extent to which the performance of work under the said Agreement/Contract is terminated and the date upon which such termination becomes effective.

1. TERMINATION FOR INSOLVENCY

The Bank may at any time terminate the Contract by giving written notice **(90 days’ notice period)** to the Bidder, if the Bidder becomes bankrupt or otherwise insolvent. In this event, termination will be without compensation to the Bidder, 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.

1. TERMINATION FOR DEFAULT

The Bank, without prejudice to any other remedy for breach of Contract, by written notice of default sent to the bidder, may terminate this Contract in whole or in part, if the bidder fails to perform any obligation(s) under the Contract.

**In case of Termination for Default Bank will provide notice period of 90 days inclusion cure period of 30 days. However, it is clarified that the notice should specifically contain that the 90 days period for cancellation is inclusive of cure period of 30 days, if the Vendor fails to cure within 30 days’ time the notice for cancellation will became absolute.**

1. CONSEQUENCES OF TERMINATION

In the event of termination of the Contract due to any cause whatsoever, (whether consequent to the stipulated term of the Contract or otherwise), UCO Bank shall be entitled to impose any such obligations and conditions and issue any clarifications as may be necessary to ensure an efficient transition and effective business continuity of the Service(s) which the Vendor shall be obliged to comply with and take all available steps to minimize loss resulting from that termination/breach, and further allow the next successor Vendor to take over the obligations of the erstwhile Vendor in relation to the execution / continued execution of the scope of the Contract.

In the event that the termination of the Contract is due to the expiry of the term of the Contract, a decision not to grant any (further) extension by UCO Bank, the bidder herein shall be obliged to provide all such assistance to the next successor bidder or any other person as may be required and as UCO Bank may specify including training, where the successor(s) is a representative/personnel of UCO Bank to enable the successor to adequately provide the Service(s) hereunder, even where such assistance is required to be rendered for a reasonable period that may extend beyond the term/earlier termination hereof.

Nothing herein shall restrict the right of UCO Bank to invoke the Performance Bank Guarantee and other guarantees, securities furnished, enforce the Deed of Indemnity and pursue such other rights and/or remedies that may be available to UCO Bank under law or otherwise.

The termination hereof shall not affect any accrued right or liability of either Party nor affect the operation of the provisions of the Contract that are expressly or by implication intended to come into or continue in force on or after such termination.

1. SIGNING OF CONTRACT

The selected bidder(s) shall be required to enter into a service level agreement (SLA) with UCO Bank, within 15 days of the award of the Bid through a Letter of Empanelment or within such extended period as may be specified.

The SLA shall be based on the requirements of this RFP, the terms and conditions of purchase order, the letter of acceptance and such other terms and conditions as may be determined by the Bank to be necessary for the proper performance of the work in accordance with the Bid and the acceptance thereof, with terms and conditions contained in a Memorandum of Understanding to be signed at the time of execution of the Form of Contract.

The selected bidder will also sign a Non-Disclosure Agreement and Deed of Indemnity with the Bank on a format prescribed by the Bank.

1. TECHNICAL INSPECTION AND PERFORMANCE EVALUATION
2. UCO Bank reserves its right to carry out a technical inspection and performance evaluation (bench-marking) of the offered item(s).
3. Eligible bidders will be required to demonstrate their solution and / or to make technical presentation at Bank’s Head Office, Kolkata for the proposed solution / service. Bidders will have to make such presentation / demonstration at their own cost.
4. The bidders will be required to demonstrate the features of the proposed solution covering all the requirements mentioned in the “scope of work” as part of technical evaluation. Non-compliance of any point will lead to rejection of the bid. Ccommercial bids of only technically qualified bidders will be opened and evaluated by the Bank.

1. VERIFICATION

UCO Bank reserves the right to verify any or all statements made by the vendor in the Bid document and to inspect the vendor’s facilities, if necessary, to establish to its satisfaction about the vendor’s capacity to perform the job.

1. DISPUTE RESOLUTION MECHANISM
2. The Bidder and The Bank shall endeavour their best to amicably settle all disputes arising out of or in connection with the Contract in the following manner:
3. The Party raising a dispute shall address to the other Party a notice requesting an amicable settlement of the dispute within seven (7) days of receipt of the notice.
4. The matter will be referred for negotiation between Deputy General Manager of The Bank / Purchaser and the Authorised Official of the Bidder. The matter shall then be resolved between them and the agreed course of action documented within a further period of 15 days.
5. In case any dispute between the Parties, does not settle by negotiation in the manner as mentioned above, the same may be resolved exclusively by arbitration and such dispute may be submitted by either party for arbitration within 20 days of the failure of negotiations. Arbitration shall be held in Kolkata and conducted in accordance with the provisions of Arbitration and Conciliation Act, 1996 or any statutory modification or re-enactment thereof. Each Party to the dispute shall appoint one arbitrator each and the two arbitrators shall jointly appoint the third or the presiding arbitrator.
6. The “Arbitration Notice” should accurately set out the disputes between the parties, the intention of the aggrieved party to refer such disputes to arbitration as provided herein, the name of the person it seeks to appoint as an arbitrator with a request to the other party to appoint its arbitrator within 45 days from receipt of the notice. All notices by one party to the other in connection with the arbitration shall be in writing and be made as provided in this tender document.
7. The arbitrators shall hold their sittings at Kolkata. The arbitration proceedings shall be conducted in English language. Subject to the above, the courts of law at Kolkata alone shall have the jurisdiction in respect of all matters connected with the Contract/Agreement even though other Courts in India may also have similar jurisdictions. The arbitration award shall be final, conclusive and binding upon the Parties and judgment may be entered thereon, upon the application of either party to a court of competent jurisdiction. Each Party shall bear the cost of preparing and presenting its case, and the cost of arbitration, including fees and expenses of the arbitrators, shall be shared equally by the Parties unless the award otherwise provides.
8. The Bidder shall not be entitled to suspend the Service/s or the completion of the job, pending resolution of any dispute between the Parties and shall continue to render the Service/s in accordance with the provisions of the Contract/Agreement notwithstanding the existence of any dispute between the Parties or the subsistence of any arbitration or other proceedings.
9. ARBITRATION

All dispute or differences whatsoever arising between the selected bidder and the Bank out of or in relation to the construction, meaning and operation, with the selected bidder, or breach thereof shall be settled amicably. If, however, the parties are not able to resolve any dispute or difference aforementioned amicably, the same shall be settled by arbitration in accordance with the Rules of Arbitration of the Indian Council of Arbitration and the award made in pursuance thereof shall be binding on the parties. The Arbitrator / Arbitrators shall give a reasoned award.

Work under the Contract shall be continued by the Selected bidder during the arbitration proceedings unless otherwise directed in writing by the Bank unless the matter is such that the work cannot possibly be continued until the decision of the arbitrator or of the umpire, as the case may be, is obtained and save as those which are otherwise explicitly provided in the Contract, no payment due to payable by the Bank, to the Selected bidder shall be withheld on account of the on-going arbitration proceedings, if any unless it is the subject matter or one of the subject matters thereof. The venue of the arbitration shall be at KOLKATA, INDIA.

1. APPLICABLE LAW AND JURISDICTION OF COURT

The Contract with the Selected bidder shall be governed in accordance with the Laws of India for the time being enforced and will be subject to the exclusive jurisdiction of Courts at Kolkata (with the exclusion of all other Courts).

1. LIMITATION OF LIABILITY
2. For breach of any obligation mentioned in this document, subject to point no. (iii), in no event the Vendor shall be liable for damages to the Bank arising under or in connection with this Agreement for an amount exceeding the total project cost/contract value.
3. The **selected Bidder/Vendor** will ensure Bank's data confidentiality and shall be responsible for liability arising in case of breach of any kind of security and/or leakage of confidential customer/Bank's related information to the extent of **the loss caused to the Bank**.
4. The limitations set forth in point no. (i) shall not apply with respect to:
5. claims that are the subject of indemnification pursuant to violation **of** Intellectual Property Rights and Ownership.

b) **damages occasioned by the gross negligence or willful misconduct of selected Bidder/Vendor.**

c) damages occasioned by the **selected Bidder/Vendor** for breach of confidentiality obligations.

d) Regulatory or statutory **penalty** imposed by the Government or **any** Regulatory agency or non-compliance of statutory or regulatory guidelines applicable to the **Project**.

iv) **The selected Bidder/Vendor** **will not be liable for any loss of profits, revenue, contracts or anticipated savings or and consequential or indirect loss or damages however caused.**

**“Gross Negligence”** means an indifference to, and/or a blatant violation of a legal duty with respect of the rights of others, being a conscious and voluntary disregard of the need to use reasonable care, which is likely to cause foreseeable grave injury or harm to persons, property, or both. Gross negligence involves conduct that is extreme, when compared with ordinary negligence. A mere failure to exercise reasonable care shall not be a gross negligence.

**“Willful Misconduct”** means any act or failure to act with an intentional disregard of any provision of this RFP/Contract, 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.

1. AMENDMENT(S) IN THE CONTRACT / SERVICE LEVEL AGREEMENT

There shall be no variation(s) in or modification(s) in the terms of the Contract/ Service Level Agreement save and except by a written mutual consent signed by both the Parties i.e. the Bank and Vendor. Bank shall have the discretion/liberty to give effect to any amendment, modification etc. in the Contract/Service Level Agreement, if so required by Bank, sequel to any amendment(s)/ modification(s) etc. in the applicable Laws/Statutes including but not limited to amendment(s)/ modification(s) etc. in the existing Guidelines/ Instructions issued/to be issued by any Regulatory Authority.

1. **NON- SOLICITATION**

Both the Parties agree not to hire, solicit, or accept solicitation (either directly, indirectly, or through a third party) for their employees directly involved in this Agreement/Contract during the period of the Agreement/Contract and one year thereafter, except as the Parties may agree on a case-by-case basis. The Parties agree that for the period of the Agreement/Contract and one year thereafter, neither Party will cause or permit any of its directors or employees who have knowledge of the said Agreement/Contract to directly or indirectly solicit for employment as the key personnel working on the project contemplated in this Agreement/Contract except with the written consent of the other Party. The above restriction would not apply to either Party for hiring such key personnel who (i) initiate discussions regarding such employment without any direct or indirect solicitation by the other Party (ii) respond to any public advertisement placed by either Party or its affiliates in a publication of general circulation or (iii) has been terminated by a Party prior to the commencement of employment discussions with the other Party.

1. **SITE NOT READY**

Bank hereby agrees to make the site ready as per the agreed specifications, within the agreed timelines. Bank agrees that Bidder shall not be liable for any delay arising out of Bank’s failure to make the site ready within the stipulated period, including but not limited to levy of liquidated damages for any delay in performance of Services under the terms of this Agreement.

1. **AUDIT**

The Vendor 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/Source code/Manuals etc.) and services etc., provided to the Bank and the Vendor is required to submit such certification by such Auditors to the Bank.

The Vendor and or its /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 Vendor.

The Vendor shall, whenever required by the Auditors, furnish all relevant information, records/data to them. All costs for such audit shall be borne by the Vendor. Except for the audit done by Reserve Bank of India or any statutory/regulatory authority, the Bank shall provide reasonable notice not less than 2 days (two days) to the Vendor before such audit and the same shall be conducted during the normal business hours.

Where any deficiency has been observed during the audit of the Vendor on the risk parameters finalized by the Bank or in the certification submitted by the Auditors, the Vendor 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 the Vendor shall require to be certified by the Auditors covering the respective risk parameters against which such deficiencies have been observed.

The Vendor 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 the Vendor. However, the Vendor shall not be obligated to provide records/data not related to the services provided under the said Agreement/Contract (e.g. internal cost breakup etc.).

1. **COMPLIANCE WITH IS/CYBER SECURITY POLICY**

The selected bidder shall have to comply with Bank’s IT & IS Security policy in key concern areas relevant to the RFP, details of which will be shared with the selected Bidders. Some of the key areas are as under:

* + 1. Responsibilities for data and application privacy and confidentiality.
    2. Responsibilities on system and software access control and administration.
    3. Custodial responsibilities for data, software, hardware and other assets of the Bank being managed by or assigned to the Vendor.
    4. Physical Security of the facilities.
    5. Physical and logical separation from other customers of the Vendor.
    6. Incident response and reporting procedures.
    7. Password Policy of the Bank.
    8. Data Encryption/Protection requirements of the Bank.
    9. In general, confidentiality, integrity and availability must be ensured.

1. **COMPLIANCE WITH RESERVE BANK OF INDIA’S OUTSOURCING POLICY**

During bid submission bidders should ensure compliance with the RBI’s circular on “Master direction on outsourcing of Information Technology Services” vide circular number RBI/2023-24/102 DoS.CO.CSITEG/SEC.1/31.01.015/2023-24 dated April 10, 2023. Selected bidder should comply with the directions of above referred RBI circular post award of contract.

The selected bidder must comply with Bank’s outsourcing policy and must undergo due diligence process described in the policy. The necessary questioner and report formats shall be shared with the selected bidder.

1. **NON-ASSIGNMENT**

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

If the Bank undergoes a merger, amalgamation, take-over, consolidation, reconstruction, change of ownership, etc., this Agreement/Contract shall be considered to be assigned to the new entity and such an act shall not affect the rights of the Vendor under this Agreement/Contract.

1. SEVERABILITY

If any provision of this Agreement is held to be illegal, invalid, or unenforceable under any Applicable Law, and if the rights or obligations of the Parties under this Contract/ Service Level Agreement will not be materially and adversely affected thereby (a) such provision will be fully severable; (b) this Contract/Service Level Agreement will be construed and enforced as if such illegal, invalid, or unenforceable provision had never been comprised a part hereof; and (c) the remaining provisions of this Contract/ Service Level Agreement will remain in full force and effect and will not be affected by the illegal, invalid, or unenforceable provision or by its severance here from.

1. BLACKLISTING

Grounds For Disqualification & Blacklisting

1. Notwithstanding anything contained in this document, any Bidder/selected Vendor shall be disqualified when –

any Bidder who has been black-listed or otherwise debarred by any Bank/Financial Institution/Central Government/State Government/any Central or State Undertaking or Corporation/Reserve Bank of India or any other Regulatory/ Statutory Authority as on date of the publication of this Tender/Procurement;

any bidder whose Contract/Agreement with any Bank/Financial Institution/Central Government/State Government/any Central or State Undertaking or Corporation/Reserve Bank of India or any other Regulatory/ Statutory Authority has been terminated before the expiry of the Contract/Agreement for breach of any terms and conditions at any point of time during the last five years;

any Bidder whose Earnest Money Deposit and/or Security Deposit have been forfeited by any Bank / Financial Institution/Central Government/ State Government/any Central or State Undertaking or Corporation/ Reserve Bank of India or any other Regulatory/Statutory Authority, during the last five years, for breach of any terms and conditions.

1. Further disqualification can be imposed by the Bank in accordance with the procedures established, which may include but not limited to the following grounds, either at the stage of Competitive Bidding or at the stage of implementation of the Contract:

Commission of any act of:

* + 1. submission of a bid, proposal or any other document that is known or should be known by the Bidder to be false, misleading or non- meritorious or to contain false information or concealment of information which will influence the outcome of the eligibility screening/selection process;
    2. any documented unsolicited attempt by the Bidder to unduly influence the decision-making process of the Bank while determining the eligibility screening/selection process in favour of the Bidder;
    3. unauthorized use of one’s name or using the name of another for purpose of bidding;
    4. breach of the terms of a public contract by a willful or material failure to perform in accordance with the terms thereof;
    5. withdrawal of a bid, or refusal to accept an award, or enter into contract with any Bank/Financial Institution/Central Government/State Government/ any Central or State Undertaking or Corporation/Reserve Bank of India or any other Regulatory Authority without any justifiable cause, after the Bidder had been adjudged as having submitted the lowest calculated Responsive Bid or highest rated Responsive Bid;
    6. refusal or failure to furnish the required performance security within the prescribed time frame;
    7. refusal to clarify or validate the Bid submitted, in writing, within a period of seven (7) calendar days from receipt of the request for clarification if sought by the Bank;
    8. that may tend to defeat the purpose of the competitive bidding, such as but not limited to; an eligible Bidder not purchasing the bid documents or not complying with the requirements during the evaluation of bid or habitually withdrawing from bidding or submitting letter of non-participation for at least three (3) times within a year, except for valid reasons;
    9. lack of integrity or honesty or fraud, bribery, collusion or conspiracy;
    10. failure by the Bidder/Vendor, due to solely his fault or negligence, to mobilize and commence the work or perform within the specified time period, as specified in the Tender Document, including but not limited to the Request for Proposal/ Request for Quotation/ Agreement/Letter of Intention/Purchase Order etc.;
    11. failure by the Bidder/Vendor to fully and faithfully comply with its contractual obligations without valid cause, or failure to comply with any written lawful instruction of the Bank or its representative(s) pursuant to the implementation of the Contract, which may include but not limited to the following:

Employment of competent technical personal, competent engineers and/or work supervisors;

Provision of warning signs and barricades in accordance with approved plans and specifications and contract provisions;

Stockpiling in proper places of all materials and removal from the project site of waste and excess materials, including broken pavement and excavated debris in accordance with approved plans and specifications and contract provisions;

Deployment of committed equipment, facilities, support staff and manpower; and

Renewal of effectively date of the performance security after its expiry during the tenure of the Contract.

* + 1. assignment and subcontracting the Contract or any part thereof or substitution of key personnel named in the proposal without prior written approval by the Bank;
    2. for the procurement of goods, unsatisfactory progress in the delivery of the goods by the manufacturer, supplier or distributor arising from his fault or negligence and/or unsatisfactory or inferior quality of goods, as may be provided in the contract;
    3. for the procurement of consulting services, poor performance by the consultant of his services arising from his fault or negligence. The poor performance of the Consultant can include and may not be limited to defective design resulting in substantial corrective works in design and/or construction, failure to deliver critical outputs due to consultant’s fault or negligence, specifying materials which are inappropriate, substandard, or way above acceptable standards, allowing defective workmanship or works by the contractor being supervised by the consultant etc.,
    4. for the procurement of infrastructure projects, poor performance by the contractor or unsatisfactory quality and/or progress of work arising from his fault or negligence as per the existing performance monitoring system of the Bank shall be applied, quality of materials and workmanship not complying with the approved specifications arising from the contractor's fault or negligence, willful or deliberate abandonment or non-performance of the project or contract by the contractor resulting to substantial breach thereof without lawful and/or just cause.

1. Any parameters described, *supra,* attributable to any Partner/Director shall be construed as disqualification for the Firm/Company, as the case may be.
2. The Bank will have the discretion to disqualify the Bidder/Vendor and/or initiate the process for blacklisting the Bidder/Vendor and may also entail forfeiture of performance security furnished by the Bidder/Vendor. “
3. NON-DISCLOSURE

By virtue of Contract, as and when it is entered into between the Bank and the bidder, and its implementation thereof, the bidder may have access to the confidential information and data of the Bank and its customers. The bidder will enter into a Non-Disclosure Agreement to maintain the secrecy of Bank’s data as per following: -

1. That the bidder will treat the confidential information as confidential and shall not disclose to any third party. The bidder will also agree that its employees, agents, sub-contractors shall maintain confidentiality of the confidential information.
2. That the bidder will agree that it shall neither use, nor reproduce for use in any way, any confidential information of the Bank without consent of the Bank. That the bidder will also agree to protect the confidential information of the Bank with at least the same standard of care and procedures used by them to protect its own confidential Information of similar importance. Without limitation of the foregoing, the bidder shall use reasonable efforts to advise the Bank immediately in the event that the successful bidder learns or has reason to believe that any person who has had access to confidential information has violated or intends to violate the terms of the Contract to be entered into between the Bank and the bidder, and will reasonably cooperate in seeking injunctive relieve against any such person.
3. That if the bidder hires another person to assist it in the performance of its obligations under the Contract, or assigns any portion of its rights or delegates any portion of its responsibilities or obligations under the Contract to another person, it shall cause its assignee or delegate to be bound to retain the confidentiality of the confidential information in the same manner as the Bidder is bound to maintain the confidentiality. This clause will remain valid even after the termination or expiry of this agreement.
4. That the bidder will strictly maintain the secrecy of Bank’s data.
5. **INTELLECTUAL PROPERTY RIGHTS**
6. All copyrights, trademarks, patent, trade secret design and other intellectual property rights existing prior to the "Effective Date" will belong to the party that owned such rights immediately prior to the Effective Date". All modifications and enhancements to, and derivative works from, pre-existing intellectual property rights will belong to the party that owned such pre-existing intellectual property rights.
7. Neither party will gain by virtue of this Contract any rights of ownership of copyrights, patents, trade secrets, trademarks or any other intellectual property rights owned by the parties prior to the date of signing of this Contract, other than customized software made by Vendor for Bank during the contract period.
8. Bank owns all right, title and interest in and to the Bank's intellectual property rights existing prior to the "Effective Date" and all modifications and enhancements to, and derivative works from, such pre-existing intellectual property rights (collectively, "Bank Intellectual Property"). Nothing in this Contract transfers any ownership or title in or to any Bank Intellectual Property to Vendor or any third party. Subject to the limitations set forth in this Clause, Bank would grant access specifically and exclusively for the limited purpose of implementation of the proposed comprehensive and integrated technology solution to the Vendor to use of such of Bank Intellectual Property (excluding trade secrets, patents and trademarks) which may be reasonably necessary for the Vendor to perform its obligations under this Contract. Vendor hereby covenants with the Bank that the Vendor shall not use the same for any purpose other than the purpose for which the Bank will grant access to Vendor.
9. The "Software" directly acquired by the Bank from a software original equipment manufacturer, as part of the Implementation Services described in the Statement of Work, the software original equipment manufacturer will own all right, title and interest in and to such software existing prior to the "Effective Date" and all modifications and enhancements to, and derivative works from, such software (collectively, the "Third Party Intellectual Property"). Nothing in this Contract transfers any ownership in or any title to any Third-Party Intellectual Property to the Bank. Any issues arising out of third-party products or services shall be governed exclusively by the End User License Agreement and support agreement signed directly between the Bank and the original equipment manufacturer. Bank shall comply with the license terms, as may be specified by the respective licensors, applicable for the use of the Software provided under this Contract. Bank shall use such IP for its internal use only.
10. All intellectual property developed during the term of this Contract that is neither Bank Intellectual Property nor Vendor Intellectual Property nor Third Party Intellectual Property ("New Intellectual Property"), shall be owned by Vendor , as between the Bank and Vendor, Vendor hereby grants the Bank an irrevocable, non-exclusive, world-wide perpetual license to use, execute, reproduce, display, perform and distribute New Intellectual Property without payment of any further amount for use within the Bank's Enterprise.
11. For the purpose of this Contract, "Enterprise" shall mean and include any legal entity in which the Bank holds/ will hold shares at least to the extent of fifty percent (50%). Subject to Vendor having received the corresponding payment from the Bank, the Bank shall own all Intellectual Property Rights in all software and other materials (excluding any Vendor or third party products including any modifications, enhancements or customization made thereto) produced exclusively for the Bank by the Vendor pursuant to the project including any adaptations translations, derivative works and improvements that are developed by the Vendor, specifically and exclusively for the Bank whether protectable as a copyright, trademark, patent, trade secret and design or otherwise. The ownership of all Intellectual Property Rights in any information or materials provided to the Vendor by the Bank shall remain vested in the Bank. The ownership of all Intellectual Property Rights for any Bank customer information or materials provided to the Vendor by the Bank shall remain vested in the Bank.
12. Nothing shall restrict either Party from the use of any ideas, concepts, knowhow, or techniques relating to data processing or network management, which either Party, individually or jointly, develops or discloses under this Contract, unless it is developed exclusively for the Bank use by the Vendor. The Vendor shall also at all point of time be under the obligations imposed under the terms of confidentiality while making use of such ideas, concepts, know-how or techniques. Also, such use shall not infringe either Party's patent rights or copyrights or a breach of confidentiality obligations. However, except for the licenses expressly granted by an agreement between the Bank and the Vendor, neither of the parties shall infringe on any patents or copyrights of the other Party.
13. IPR in "software and other materials" made exclusively for the Bank shall vest with the Bank alone. Material specifically developed by the Vendor for the Bank are defined as "Bank Materials" and same shall be passed on by the Vendor during the contract period.

# AMALGAMATION

If the Bank undergoes an amalgamation, take-over, consolidation, reconstruction, merger, change of ownership etc., this RFP shall be considered to be assigned to the new entity and such an act shall not affect the rights and obligations of the Bidder under this RFP.

1. NOTICES

Notice or other communications given or required to be given under the contract shall be in writing and shall be faxed/e-mailed followed by hand-delivery with acknowledgement thereof, or transmitted by pre-paid registered post or courier. Any notice or other communication shall be deemed to have been validly given on date of delivery if hand delivered & if sent by registered post than on expiry of seven days from the date of posting.

1. WAIVER

Any terms or conditions of this Agreement may be waived at any time by the Party that is entitled to the benefit thereof. Such waiver must be in writing and must be executed by an authorized Officer of such Party. A waiver on one occasion will not be deemed to be a waiver of the same or either under breach or non-fulfillment on a future occasion. All remedies and benefits, either under this Agreement, or by law or otherwise afforded, will be cumulative and not alternative and without prejudice to the other remedy or benefit, as the case may be.

No failure or delay on the part of either Party in exercising any power, right or remedy under this Agreement shall be construed as a waiver thereof, nor shall any single or partial exercise of any such power, right or remedy preclude any other or further exercise thereof or the exercise of any other power, right or remedy.

1. **NO RIGHT TO SET OFF**

In case the Vendor has any other business relationship with the Bank, no right of set-off, counter-claim and cross-claim and or otherwise will be available to the Vendor under this arrangement with the Bank for any payment receivable under and in accordance with that business.

1. **VIOLATION OF TERMS**

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

1. **FIDELITY & SECRECY**

The Vendor and its employees/personnel will strictly and individually undertake not to communicate or allow to be communicated to any person or divulge in any way any information relating to the process of implementation of solution (mention the name of the Project) and all information whatsoever concerning or relating to the Bank/concerned branch and its affairs to which the said employees/personnel will have access in the course of performance of the said Agreement.

Annexure-I

**General Details of the Bidder**

* + - * 1. **Profile of Bidder**

1. Name of bidder:
2. Location

Regd. Office:

Controlling Office:

1. Constitution:
2. Date of incorporation & date of commencement of business:
3. Major change in Management in last three years:
4. Names of Banker /s:
5. Name & Contact Details of Authorized Signatory:
   * + - 1. **Financial Position of Bidder for the last three financial years**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **2021-22** | **2022-23** | **2023-2024** |
| **Net Worth** |  |  |  |
| **Turnover** |  |  |  |
| **Net Profit (Profit After Tax)** |  |  |  |

**N.B. Enclose copies of Audited Balance Sheets along with enclosures**

* + - * 1. **Proposed Service details in brief**
* **Description of service :**
* **Details of similar service provided to banks in India specifying the number of Banks and branches:**
  + **In PSU banks**
  + **In non-PSU banks**
  + **In any other government organisation**
    - * 1. **Details of Experience in implementation of similar orders**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Sl. No.** | **Name of Organisation** | **Description of application** | **Period during which installed** | |
| **From** | **To** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

* + - * 1. **Details of** permanent employment basis, who hold Industry Standard Certifications like CISA, DISA, CISSP, CEH & CISM with requisite experience to handle the work as per the scope

|  |  |  |  |
| --- | --- | --- | --- |
| **Sl.** | **Name of employee** | **Certification** | **Tenure with company** |
|  |  |  |  |
|  |  |  |  |

**Place: Authorised Signatory**

**Date: Name:**

**Designation:**

**Annexure-II**

**FORMAT OF EARNEST MONEY DEPOSIT (EMD)**

**To,**

**Deputy General Manager (DIT)**

**UCO Bank, Head Office,**

**Department of Information Technology**

**5th Floor, 3&4, DD Block, Sector-I**

**Salt Lake, Kolkata -700064**

Dear Sir,

**Ref: GeM bid no \_\_\_\_\_\_\_\_\_\_\_**

In response to your invitation to respond to your bid for Selection of lS Audit Firm/Organization for Comprehensive IT Audit, M/s \_\_\_\_\_ having their registered office at (hereinafter called the ‘Vendor’) wish to respond to the said Request for Proposal (RFP) for self and other associated vendors and submit the proposal for Selection of lS Audit Firm/Organization for Comprehensive IT Audit and to provide related services as listed in the RFP document.

Whereas the ‘Vendor’ has submitted the proposal in response to bid, we, the \_\_\_\_\_\_\_ Bank having our Head office \_\_\_\_\_\_ hereby irrevocably guarantee an amount of ` \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/- (Rupees \_\_\_\_\_ only) as EMD as required to be submitted by the ‘Vendor’ as a condition for participation in the said process of RFP.

The EMD for which this guarantee is given is liable to be enforced/ invoked:

If the Vendor withdraws his proposal during the period of the proposal validity;

Or

If the Vendor, having been notified of the acceptance of its proposal by the Bank during the period of the validity of the proposal fails or refuses to enter into the contract in accordance with the Terms and Conditions of the RFP or the terms and conditions mutually agreed subsequently.

We undertake to pay immediately, on demand to UCO Bank, the said amount of Rupees \_\_\_\_\_ without any reservation, protest, demur, or recourse. The said guarantee is liable to be invoked / enforced on the happening of the contingencies as mentioned above and also in the RFP document and we shall pay the amount on any Demand made by UCO Bank which shall be conclusive and binding on us irrespective of any dispute or difference raised by the vendor.

Notwithstanding anything contained herein:

* 1. Our liability under this Bank guarantee shall not exceed ` \_\_\_\_\_\_\_\_\_\_\_\_\_ (Rupees \_\_\_\_ only).
  2. This Bank guarantee will be valid up to \_\_\_; and
  3. We are liable to pay the guarantee amount or any part thereof under this Bank guarantee only upon service of a written claim or demand by you on or before\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

In witness whereof the Bank, through the authorized officer has sets its hand and stamp on this day of\_\_\_\_\_\_\_\_\_\_\_ at \_\_\_\_\_\_\_\_\_\_.

Yours faithfully,

For and on behalf of

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Bank

Authorised official

(NB: This guarantee will require stamp duty as applicable and shall be signed by the official whose signature and authority shall be verified. The signatory shall affix his signature, name and designation).

**Annexure-III**

**Performa for Performance Bank Guarantee**

**(To be stamped in accordance with the stamp act)**

1. In consideration of UCO BANK, a body corporate constituted under the Banking Companies (Acquisition & Transfer of Undertaking) Act, 1970, having its head office at 10 BIPLABI TRILOKYA MAHARAJ SARANI (BRABOURNE ROAD),Kolkata-700001 (hereinafter called “UCO BANK”) having agreed to exempt **M/s\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**, a Company incorporated under the Companies Act, 1956 having its registered office at (Address of the selected bidder company) (hereinafter called “the said SELECTED BIDDER”) from the demand, under the terms and conditions of UCO BANK’s purchase order/ Letter of Intent bearing no. ….dated…………………. issued to the Selected bidder and an Agreement to be made between UCO Bank and the Selected bidder for a period of ………………… In pursuance of Request For Proposal no……………………..dated………………… , as modified, (hereinafter called “the said Agreement”), of security deposit for the due fulfillment by the said SELECTED BIDDER of the Terms and conditions contained in the said Agreement, on production of a Bank Guarantee for Rs.………………………(Rupees…………………………………Only).We,……………………………………..[indicate the name of the bank ISSUING THE BANK GUARANTEE] (hereinafter referred to as “the Bank”) at the request of ………………………………….. [SELECTED BIDDER] do hereby undertake to pay to UCO BANK an amount not exceeding Rs……………...against any loss or damage caused to or suffered or would be caused to or suffered by UCO BANK by reason of any breach by the said SELECTED BIDDER of any of the terms or conditions contained in the said Agreement.
2. We …………………………………………………… [indicate the name of the bank ISSUING THE BANK GUARANTEE] do hereby undertake to pay the amounts due and payable under this guarantee without any demur, merely on a demand from UCO BANK stating that the amount claimed is due by way of loss or damage caused to or breach by the said SELECTED BIDDER of any of the terms or conditions contained in the said Agreement or by reason of the SELECTED BIDDER’S failure to perform the said Agreement. Any such demand made on the Bank shall be conclusive as regards the amount due and payable by the Bank under this guarantee. However, our liability under this guarantee shall be restricted to an amount not exceeding Rs.…………………………
3. We undertake to pay to UCO BANK any money so demanded notwithstanding any dispute or disputes raised by the SELECTED BIDDER in any suit or proceeding pending before any court or Tribunal relating thereto our liability under this present being absolute and unequivocal. The payment as made by us under this bond shall be a valid discharge of our liability for payment there under and the SELECTED BIDDER for payment there under and the SELECTED BIDDER shall have no claim against us for making such payment.
4. We, ………………………………[indicate the name of the Bank ISSUING THE GUARANTEE] further agree that the guarantee herein contained shall remain in full force and effect during the period that would be taken for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of BANK under or by virtue of the said Agreement have been fully paid and its claims satisfied or discharged or till UCO BANK certifies that the terms and conditions of the said Agreement have been fully and properly carried out by the said SELECTED BIDDER and accordingly discharged this guarantee. Unless a demand or claim under this guarantee is made on us in writing on or before ……………………………..(Expiry of claim period), we shall be discharged from all liabilities under this guarantee thereafter.
5. We ……………………………………… [indicate the name of Bank ISSUING THE GUARANTEE] further agree with UCO BANK that UCO BANK shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time of performance by the said SELECTED BIDDER from time or to postpone for any time, or from time to time any of the powers exercisable by UCO BANK against the said SELECTED BIDDER and to forebear or enforce any of the terms and conditions relating to the said agreement and we shall not be relieved from our liability by reason of any variation, or extension being granted to the said SELECTED BIDDER or for any forbearance, act or omission on the part of UCO BANK of any indulgence by UCO BANK to the said SELECTED BIDDER or by any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have effect of so relieving us.
6. This guarantee will not be discharged due to the change in the constitution of the Bank or the SELECTED BIDDER.
7. We, ……………………………………… [indicate the name of Bank ISSUING THE GUARANTEE] lastly undertake not to revoke this guarantee during its currency except with the previous consent of UCO BANK in writing.

Notwithstanding anything contained herein:

* 1. Our liability under this Bank Guarantee shall not exceed Rs…….. (Rupees………………………………………….) Only.
  2. This Bank Guarantee shall be valid upto ……………………………………and
  3. We are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if you serve upon us a written claim or demand on or before ……………………………………………(date of expiry of Guarantee including claim period).

1. Dated the …………………… day of ……… for .............. [indicate the name of Bank]

Yours’ faithfully,

For and on behalf of

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Bank

Authorised Official

**NOTE**:

* + 1. Selected bidder should ensure that the seal and CODE No. of the signatory is put by the bankers, before submission of the bank guarantee.
    2. Bidder guarantee issued by banks located in India shall be on a Non-Judicial Stamp Paper of requisite value as applicable to the place of execution.

**Annexure-IV**

**UNDERTAKING FOR NON-BLACKLISTING / NON-DEBARMENT OF THE BIDDER**

**TO BE STAMPED AS A DECLARATION &DULY ATTESTED BY A NOTARY**

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

1. I/We, Proprietor/Partner(s)/Director(s) of M/s......................... hereby confirm that I/We have read and understood the eligibility criteria and fulfil the same.
2. I/We further confirm that all the information furnished by me/us, as per the requirement of the Bank, have been included in our bid.
3. I/We further hereby undertake and agree to abide by all terms and conditions and guidelines stipulated by the Bank. We understand that any deviation may result in disqualification of our bid.
4. \*I/We further hereby declare that I/We have not been black-listed or otherwise debarred by any Bank/Financial Institution/Central Government/ State Government/any Central or State Undertaking or Corporation/ Reserve Bank of India or any other Regulatory Authority or any other Statutory Authority as on date of the publication of this Tender/Procurement.

**(OR)**

I/We further hereby declare that the Proprietorship Concern/Partnership Firm/Company/........ (if any other entity) namely M/s ................................ was blacklisted/debarred by....................................(Name of the Authority who blacklisted/debarred) from taking part in their Tender/Procurement for a period of .....................years w.e.f. ......................to....................... The period is subsisting/over on..................and now I/We is/are entitled to take part in Tender/Procurement.

1. I/We declare that no proceedings/inquiries/investigations have commenced/pending against me/us by any Statutory Authority/Regulatory Agency/Investigating Agency which may result in liquidation of company/ firm/proprietorship concern and/or may act as deterrent on the continuity of business and/or may hamper in providing the said services, as envisaged in this document.
2. I/We further hereby declare that no legal action is pending against me/us for any cause in any legal jurisdiction.
3. I/We undertake that adequate number of resources, if required by the Bank, will be deployed for the project to complete the assignment within the stipulated time.

**\*STRIKE OUT WHICH IS INAPPLICABLE**

**(Deviation to the above if any, the Bidder must provide details of such action(s))**

Signature (1) ..................................... (2) ...................................

(duly authorized to sign)

Name:.......................................

Capacity in which as executed:...............................

Name & registered address of the Bidder:....................

|  |
| --- |
| Seal of the Bidder to be affixed |

**Annexure-V**

**Undertaking to abide by all by-laws / rules / regulations**

(TO BE EXECUTED ON NON-JUDICIAL STAMP PAPER OF REQUISITE VALUE)

**To,**

**The Deputy General Manager,**

**UCO Bank, Head Office – II,**

**Department of Information Technology**

**5th Floor, 3 & 4 DD Block, Sector-I,**

**Salt Lake, Kolkata -700064**

**Sub: Declaration-Cum-Undertaking regarding compliance with all statutory requirements**

In consideration of UCO Bank, a body corporate, constituted under Banking Companies (Acquisition & Transfer of Undertakings) Act, 1970 as amended from time to time having its Head Office at 10, Biplabi Trailokya Maharaj Sarani, Kolkata-700001 (hereinafter referred to as “Bank” which expression shall include its successors and assigns), we, M/s…………………., having its Registered Office at………………………, do hereby, having examined the RFP including all Annexure, confirm and agree to comply with all Laws, Rules, Regulations, By-Laws, Guidelines, Notifications etc.

We hereby undertake and agree to abide by all the terms and conditions stipulated by the Bank in this bid including all annexure, addendum, corrigendum and amendments, if any. We certify that the services offered shall be in conformity with the terms & conditions and Scope of Work stipulated in the annexures of the said RFP.

We do also hereby irrevocably and unconditionally agree and undertake to save and keep the Bank, including its respective directors, officers, and employees and keep them harmless from and against any claim, demand, losses, liabilities or expenses of any nature and kind whatsoever and any damage caused from and against all suits and other actions that may be instituted taken or preferred against the Bank by whomsoever and all losses, damages, costs, charges and expenses arising out of non-compliance with or non-adherence to any statutory/regulatory requirements and/or any other law for the time being in force.

We also confirm that payment to the engaged employees shall be made in consonance with the Minimum Wages Act in vogue and their duty hours will also be as per applicable labour laws of country.

Dated this \_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_, 20­24 .

**Place:**

**For M/s. …………… [Seal and Signature(s) of the Authorized Signatory (s)]**

**Annexure-VI**

**UNDERTAKING FOR PRICE VALIDITY & ACCEPTANCE OF ALL TERMS &**

**CONDITIONS OF RFP**

**To,**

**The Deputy General Manager,**

**UCO Bank, Head Office – II,**

**Department of Information Technology**

**5th Floor, 3 & 4 DD Block, Sector-I,**

**Salt Lake, Kolkata -700064**

Dear Sir,

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

We understand that Bank is not bound to accept the lowest or any bid received, and Bank may reject all or any bid. We shall keep the price valid for the entire contract period from the date of issuance of the first Work order.

If our bid is accepted, we are responsible for the due performance as per the scope of work and terms & conditions as per mentioned in RFP.

It is certified that the information furnished here in and as per the document submitted is true and accurate and nothing has been concealed or tampered with. We have gone through all the conditions of bid and are liable to any punitive action for furnishing false information / documents.

Yours faithfully,

For……………………………..

(Signature and seal of authorized person) Place:

Date:

**Annexure-VII**

**Undertaking for No Deviation**

**To**

**Deputy General Manager (DIT)**

**UCO Bank, Head Office-II**

**Department of Information Technology**

**3&4, DD Block, Sector-I**

**Salt Lake, Kolkata -700064**

Dear Sir,

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

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

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

We undertake to execute Deed of Indemnity, Non-disclosure Agreement & provide Performance Bank Guarantee as per the annexure enclosed in the RFP, in case of emergence as a successful bidder.

Yours faithfully,

For…………………………….

Designation:

(Signature and seal of authorized person) Bidder’s corporate name:

Place:

Date:

**Annexure-VIII**

**Format of Pre-Bid Queries to be submitted by the Bidder(s)**

**(If queries submitted through e-mail)**

**To be e-mailed in ‘.doc’ format strictly**

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

Name of the Bidder:

Name of the Contact Person of the Bidder: Contact Number of the Contact Person:

Email id of the Contact Person:

|  |  |  |  |
| --- | --- | --- | --- |
| **Bid Page No.** | **Bid**  **Clause No.** | **Original**  **Clause** | **Query sought/ Suggestions of the Bidder** |
|  |  |  |  |
|  |  |  |  |
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**Annexure-IX**

**INTEGRITY PACT**

**(To be stamped as per the Stamp Law of the Respective State)**

**1.** Whereas UCO Bank having its registered office at UCO BANK, a body corporate constituted under The Banking companies (Acquisition & Transfer Act of 1970), as amended by The Banking Laws (Amendment) Act, 1985, having its Head Office at 10, Biplabi Trailokya Maharaj Sarani , Kolkata-700001 acting through its Department of IT, represented by Authorised Signatory hereinafter referred to as the Buyer and the first party, proposes to **Selection of lS Audit Firm/Organization for Comprehensive IT Audit** hereinafter referred to as Stores and / or Services. And **M/s\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ having its registered office at\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ represented by\_\_\_\_\_\_\_\_\_\_\_\_\_ Authorised signatory,** (which term, unless expressly indicated by the contract, shall be deemed to include its successors and its assignee), hereinafter referred to as the bidder/seller and the second party, is willing to offer/has offered the Stores and / or Services.

**2**. Whereas the Bidder/Seller is a private company/public company/ /partnership/registered export agency, constituted in accordance with the relevant law in the matter and the BUYER is a Public Sector Undertaking and registered under Companies Act 1956. Buyer and Bidder/Seller shall hereinafter be individually referred to as ―Party or collectively as the ―parties, as the context may require.

**3. Preamble**

Buyer has called for tenders under laid down organizational procedures intending to enter into contract /s for **Selection of lS Audit Firm/Organization for Comprehensive IT Audit** and the Bidder /Seller is one amongst several bidders /Proprietary Vendor /Customer Nominated Source/Licensor who has indicated a desire to bid/supply in such tendering process. The Buyer values and takes primary responsibility for values full compliance with all relevant laws of the land, rules, regulations, economic use of resources and of fairness / transparency in its relations with its Bidder (s) and / or Seller(s).

In order to achieve these goals, the Buyer will appoint Independent External Monitor(s) (IEMs) in consultation with Central Vigilance Commission, who will monitor the tender process and the execution of the contract for compliance with the principles mentioned above.

**4**. **Commitments of the Buyer**

**4.1** The Buyer commits itself to take all measures necessary to prevent corruption and fraudulent practices and to observe the following principles: -

**(i)** No employee of the Buyer, personally or through family members, will in connection with the tender, or the execution of a contract demand, take a promise for or accept, for self or third person, any material or immaterial benefit which the person is not legally entitled to.

**(ii)** The Buyer will during the tender process treat all Bidder(s) /Seller(s) with equity and reason. The Buyer will in particular, before and during the tender process, provide to all Bidder (s) /Seller(s) the same information and will not provide to any Bidders(s) /Seller(s) confidential /additional information through which the Bidder(s) / Seller(s) could obtain an advantage in relation to the process or the contract execution.

**(iii)** The Buyer will exclude from the process all known prejudiced persons.

**4.2** If the Buyer obtains information on the conduct of any of its employees which is a criminal offence under the Indian Legislation Prevention of Corruption Act 1988 as amended from time to time or if there be a substantive suspicion in this regard, the Buyer will inform to its Chief Vigilance Officer and in addition can initiate disciplinary action.

**5** **Commitments of the Bidder(s) /Seller(s):**

**5.1** The Bidder(s)/ Seller(s) commit itself to take necessary measures to prevent corruption. He commits himself to observe the following principles during his participation in the tender process and during the contract execution.

**(i)** The Bidder(s) /Seller(s) will not directly or through any other persons or firm, offer promise or give to any of the Buyer‘s employees involved in the tender process or the execution of the contract or to any third person any material or other benefit which he / she is not legally entitled to, in order to obtain in exchange any advantage during the tendering or qualification process or during the execution of the contract.

**(ii)** The Bidder(s) /Seller(s) will not enter with other Bidders / Sellers into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelization in the bidding process.

**(iii)** The bidder(s) /Seller(s) will not commit any offence under the Indian legislation, Prevention of Corruption Act, 1988 as amended from time to time. Further, the Bidder(s) /Seller(s) will not use improperly, for purposes of competition or personal gain, or pass on to others, any information or document provided by the Buyer as part of the business relationship, regarding plans, technical proposals and business details, including information constrained or transmitted electronically.

**(iv)** The Bidder(s) /Seller(s) shall ensure compliance of the provisions of this Integrity Pact by its sub-supplier(s) / sub-contractor(s), if any, Further, the Bidder /Seller shall be held responsible for any violation/breach of the provisions by its sub-supplier(s) /Sub-contractor(s).

**(v)** Foreign bidders to disclose the name and address of agents and representatives in India and Indian Bidders to disclose their foreign principals or associates.

**(vi)** Bidders not to pass any information provided by the principal as part of business relationship to others and not to commit any offence under PC/IPC Act.

**(vii)** Bidders to disclose the payments to be made by them to agents/brokers or any other intermediary.

**5.2** The Bidder(s) /Seller(s) shall ensure compliance of the provisions of this Integrity Pact by its sub-supplier(s) / sub-contractor(s), if any, Further, the Bidder /Seller shall be held responsible for any violation /breach of the provisions by its sub-supplier(s) /sub-contractor(s).

**5.3** The Bidder(s) /Seller(s) will not instigate third persons to commit offences outlined above or be an accessory to such offences.

**5.4** **Agents / Agency Commission**

The Bidder /Seller confirms and declares to the Buyer that the bidder/Seller is the original manufacturer/authorized distributor / stockiest of original manufacturer or Govt. Sponsored /Designated Export Agencies (applicable in case of countries where domestic laws do not permit direct export by OEMS of the stores and /or Services referred to in this tender / Offer / contract / Purchase Order and has not engaged any individual or firm, whether Indian or Foreign whatsoever, to intercede, facilitate or in any way to recommend to Buyer or any of its functionaries, whether officially or unofficially, to the award of the tender / contract / Purchase order to the Seller/Bidder; nor has any amount been paid, promised or intended to be paid to any such individual or firm in respect of any such intercession, facilitation or recommendation. The Seller / Bidder agrees that if it is established at any time to the satisfaction of the Buyer that the present declaration is in anyway incorrect or if at a later stage it is discovered by the Buyer that the Seller incorrect or if at a later stage it is discovered by the Buyer that the Seller/Bidder has engaged any such individual /firm, and paid or intended to pay any amount, gift, reward, fees, commission or consideration to such person, party, firm or institution, whether before or after the signing of this contract /Purchase order, the Seller /Bidder will be liable to refund that amount to the Buyer. The Seller will also be debarred from participating in any Tender for new projects / program with Buyer for a minimum period of five years. The Buyer will also have a right to consider cancellation of the Contract / Purchase order either wholly or in part, without any entitlement of compensation to the Seller /Bidder who shall in such event be liable to refund agents / agency commission payments to the buyer made by the Seller /Bidder along with interest at the rate of 2% per annum above LIBOR (London Inter Bank Offer Rate) (for foreign vendors) and Base Rate of SBI (State Bank of India) plus 2% (for Indian vendors). The Buyer will also have the right to recover any such amount from any contracts / Purchase order concluded earlier or later with Buyer.

**6**. **Previous Transgression**

**6.1** The Bidder /Seller declares that no previous transgressions have occurred in the last three years from the date of signing of this Integrity Pact with any other company in any country conforming to the anti-corruption approach or with any other Public Sector Enterprise in India that could justify Bidder‘s /Seller‘s exclusion from the tender process.

**6.2** If the Bidder /Seller makes incorrect statement on this subject, Bidder /Seller can be disqualified from the tender process or the contract, if already awarded, can be terminated for such reason without any liability whatsoever on the Buyer.

**7. Company Code of Conduct**

Bidders /Sellers are also advised to have a company code of conduct (clearly rejecting the use of bribes and other unethical behavior) and a compliance program for the implementation of the code of conduct throughout the company.

**8. Sanctions for Violation**

**8.1** If the Bidder(s) /Seller(s), before award or during execution has committed a transgression through a violation of Clause 5, above or in any other form such as to put his reliability or credibility in question, the Buyer is entitled to disqualify the Bidder(s) /Seller (s) from the tender process or take action as per the procedure mentioned herein below:

(i) To disqualify the Bidder /Seller with the tender process and exclusion from future contracts.

(ii) To debar the Bidder /Seller from entering into any bid from Buyer for a period of two years.

(iii) To immediately cancel the contract, if already signed /awarded without any liability on the Buyer to compensate the Bidder /Seller for damages, if any. Subject to Clause 5, any lawful payment due to the Bidder/Seller for supplies effected till date of termination would be made in normal course.

(iv) To encash Advance Bank Guarantees / Performance Bonds / Warranty Bonds, etc. which may have been furnished by the Bidder /Seller to the extent of the undelivered Stores and / or Services.

**8.2** If the Buyer obtains Knowledge of conduct of Bidder /Seller or of an employee or representative or an associate of Bidder /Seller which constitutes corruption, or if the Buyer has substantive suspicion in this regard, the Buyer will inform to its Chief Vigilance Officer.

**9. Compensation for Damages**

**9.1** If the Buyer has disqualified the Bidder(s) /Seller(s) from the tender process prior to the award according to Clause 8, the Buyer is entitled to demand and recover the damages equivalent to Earnest Money Deposit in case of open tendering.

**9.2** If the Buyer has terminated the contract according to Clause 8, or if the Buyer is entitled to terminate the contract according to Clause 8, the Buyer shall be entitled to encash the advance Bank guarantee and performance bond / warranty bond, if furnished by the Bidder / Seller, in order to recover the payments, already made by the Buyer for undelivered Stores and / or Services.

**10. Price Fall Clause**

The Bidder undertakes that it has not supplied /is not supplying same or similar product/systems or subsystems at a price lower than that offered in the present Bid in respect of any other Ministry /Department of the Government of India or PSU/PSBs during the currency of the contract and if it is found at any stage that same or similar product /Systems or Subsystems was supplied by the Bidder to any other Ministry /Department of the Government of India or a PSU or any Public Sector Bank at a lower price during the currency of the contract, then that very price will be applicable to the present case and the difference in the cost would be refunded by the Bidder to the Buyer, if the contract has already been concluded.

**11. Independent External Monitor(s)**

**11.1** The Buyer has appointed independent External Monitors for this Integrity Pact in consultation with the Central Vigilance Commission (Names and Addresses of the Monitors are given in ATC).

**11.2** As soon as the integrity Pact is signed, the Buyer shall provide a copy thereof, along with a brief background of the case to the independent External Monitors.

**11.3** The Bidder(s) / Seller(s) if they deem it necessary, May furnish any information as relevant to their bid to the Independent External Monitors.

**11.4** If any complaint with regard to violation of the IP is received by the buyer in a procurement case, the buyer shall refer the complaint to the Independent External Monitors for their comments / enquiry.

**11.5** If the Independent External Monitors need to peruse the records of the buyer in connection with the complaint sent to them by the buyer, the buyer shall make arrangement for such perusal of records by the independent External Monitors.

**11.6** The report of enquiry, if any, made by the Independent External Monitors shall be submitted to MD & CEO, UCO Bank, Head Office at 10, Biplabi Trailokya Maharaj Sarani , Kolkata-700001 within 2 weeks, for a final and appropriate decision in the matter keeping in view the provision of this Integrity Pact.

**11.7** The word “Monitor” would include both singular and plural.

**12. Law and Place of Jurisdiction**

This Integrity Pact is subject to Indian Laws, and exclusive Jurisdiction of Courts at Kolkata, India.

**13. Other Legal Actions**

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

**14. Integrity Pact Duration.**

**14.1** This Integrity Pact begins when both parties have legally signed it. It expires of order / finalization of contract.

**14.2** If any claim is made/ lodged during this time, the same shall be binding and continue to be valid despite the lapse of this Integrity Pact as specified above, unless it is discharged / determined by MD & CEO, UCO Bank .

**14.3** Should one or several provisions of this Integrity Pact turn out to be invalid, the reminder of this Integrity Pact remains valid. In this case, the parties will strive to come to an agreement to their original intentions.

**15 Other Provisions**

15.1 Changes and supplements need to be made in writing. Side agreements have not been made.

15.2 The Bidders (s)/ Sellers (s) signing this IP shall not initiate any Legal action or approach any court of law during the examination of any allegations/complaint by IEM and until the IEM delivers its report.

15.3 In view of nature of this Integrity Pact, this Integrity Pact shall not be terminated by any party and will subsist throughout its stated period.

15.4 Nothing contained in this Integrity Pact shall be deemed to assure the bidder / Seller of any success or otherwise in the tendering process.

16. This Integrity Pact is signed with UCO Bank exclusively and hence shall not be treated as precedence for signing of IP with MoD or any other Organization.

17. In the event of any contradiction between the Integrity Pact and its Annexure, the Clause in the Integrity Pact will prevail.

18. The Parties here by sign this Integrity Pact.

**BUYER BIDDER /SELLER**

**Signature: Signature:**

**Authorized Signatory Authorized Signatory (\*)**

**Department of IT**

**Place:**

**Date:**

**Witness: Witness:**

**(Name & Address) (Name & Address)**

**Annexure-X**

**NON-DISCLOSURE AGREEMENT**

**(Confirmation of format should be enclosed with technical bid. Agreement to be executed on non-judicial stamp paper of requisite value by the selected bidder only,)**

This Non-Disclosure Agreement is entered into on this …. Day of……... 2024

**BETWEEN**

**UCO Bank**, a body corporate, constituted under the Banking Companies (Acquisition & Transfer of Undertakings) Act, 1970 as amended from time to time having its Head Office at No.10, BTM Sarani, Kolkata-700001 hereinafter referred to as “**the Bank**” (which expression shall unless excluded by or repugnant to the subject or context be deemed to mean and include its assigns, administrators and successors) **of the FIRST PART/ DISCLOSING PARTY**

**AND**

**………………………………………**(Which expression shall unless excluded by or repugnant to the subject or context be deemed to mean and include its assigns, administrator and successors) of the **SECOND PART/ RECEIVING PARTY**

(Each of Bank and the vendor is sometimes referred to herein as a “***Party***” and together as the “***Parties***”).

**WHEREAS** the Vendor/Receiving Party is inter alia engaged for Procurement of 300 New ATM Machines under CAPEX Model as per the terms and conditions specified in the GeM bid Ref. No: \_\_\_\_\_\_\_. The Vendor/Receiving Party would be the single point of contact for this project.

**WHEREAS** Bank/Disclosing Party is inter alia engaged in the business of Banking; and

**WHEREAS** the Parties presently desire to discuss and/or consult with each other’s business for the purposes of entering into Agreements for Procurement of 300 New ATM Machines under CAPEX Model.

**WHEREAS** the Parties recognize that each other’s business involves specialized and proprietary knowledge, information, methods, processes, techniques and skills peculiar to their security and growth and that any disclosure of such methods, processes, skills, financial data, or other confidential and proprietary information would substantially injure a Party’s business, impair a Party’s investments and goodwill, and jeopardize a Party’s relationship with a Party’s clients and customers; and

**WHEREAS** in the course of consultation with respect to the potential business venture, the Parties anticipate disclosing to each other certain information of a novel, proprietary, or confidential nature, and desire that such information be subject to all of the terms and conditions set forth herein below;

**NOW THEREFORE** the Parties hereto, in consideration of the promises and other good and valuable consideration, agree such information shall be treated as follows:

1. ***Confidential Information. “Confidential Information”*** shall mean and include any information which relates to the financial and/or business operations of each Party, including but not limited to, specifications, drawings, sketches, models, samples, reports, forecasts, current or historical data, computer programs or documentation and all other technical, financial or business data, information related to each Party’s customers, products, processes, financial condition, employees, intellectual property, manufacturing techniques, experimental work, trade secrets.
2. ***Use of Confidential Information***. The Vendor/Receiving Party agrees not to use the Bank/Disclosing Party’s confidential Information for any purpose other than for the specific consultation regarding the potential business venture. Any other use of such Confidential Information by the Receiving Party shall be made only upon the prior written consent from an authorized representative of the Disclosing Party which wishes to disclose such information or pursuant to subsequent agreement between the Parties hereto.
3. ***Restrictions.*** Subject to the provisions of paragraph 4 below, the Party receiving Confidential Information (the “***Receiving Party***”) shall, for contract period of Three (3) years from the date of the last disclosure of Confidential Information made under this Agreement (except for personal customer data which shall remain confidential forever), use the same care and discretion to limit disclosure of such Confidential Information as it uses with similar confidential information of its own and shall not disclose, lecture upon, publish, copy, modify, divulge either directly or indirectly, use(except as permitted above under clause (2) or otherwise transfer the Confidential Information to any other person or entity, including taking reasonable degree of care and steps to:
   * + - 1. Restrict disclosure of Confidential Information solely to its concerned employees, agents, advisors, consultants, contractors and /or subcontractors with a need to know and not disclose such proprietary information to any other parties; and
         2. Advise all receiving Party’s employees with access to the Confidential Information of the obligation to protect Confidential Information provided hereunder and obtain from agents, advisors, contractors and/or consultants an agreement to be so bound.
         3. I Use the Confidential Information provided hereunder only for purposes directly related to the potential business venture.
4. ***Exclusions.*** The obligations imposed upon Receiving Party herein shall not apply to information, technical data or know how, whether or not designated as confidential, that:
   * + - 1. is already known to the Receiving Party at the time of the disclosure without an obligation of confidentiality;
         2. is or becomes publicly known through no unauthorized act of the Receiving Party;
5. is rightfully received from a third Party without restriction and without breach of this Agreement;
   * + - 1. is independently developed by the Receiving Party without use of the other Party’s Confidential Information and is so documented;
6. is disclosed without similar restrictions to a third party by the Party owning the Confidential Information;
7. is approved for release by written authorization of the Disclosing Party; or
8. is required to be disclosed pursuant to any applicable laws or regulations or any order of a court or a governmental body; provided, however, that the Receiving Party shall first have given notice to the Disclosing Party and made a reasonable effort to obtain a protective order requiring that the Confidential Information and/or documents so disclosed be used only for the purposes for which the order was issued.
9. ***Return of Confidential Information.*** All Confidential Information and copies and extracts of it shall be promptly returned by the Receiving Party to the Disclosing Party at any time within thirty (30) days of receipt of a written request by the Disclosing Party for the return of such Confidential Information.
10. ***Ownership of Information.*** *The Receiving Party agrees that all Confidential Information shall remain the exclusive property of the Disclosing Party and its affiliates, successors and assigns.*
11. ***No License Granted.*** *Nothing contained in this Agreement shall be construed as granting or conferring any rights by license or otherwise in any Confidential Information* disclosed to the Receiving Party or to any information, discovery or improvement made, conceived, or acquired before or after the date of this Agreement. No disclosure of any Confidential Information hereunder shall be construed by the Receiving Party to be a public disclosure of such Confidential Information for any purpose whatsoever.
12. ***Breach.*** In the event the Receiving Party discloses, disseminates or releases any Confidential Information received from the Disclosing Party, except as provided above, such disclosure, dissemination or release will be deemed a material breach of this Agreement and the Disclosing Party shall have the right to demand prompt return of all Confidential Information previously provided to the Receiving Party and in such case, the Receiving party shall be bound to return all information within 30 days from the date of such demand. The provisions of this paragraph are in addition to any other legal right or remedies, the Disclosing Party may have under the Law for the time being in force.
13. ***Arbitration and Equitable Relief.***
14. ***Arbitration.*** The Parties shall endeavor to settle any dispute/difference arising out of or relating to this Agreement through consultation and negotiation. In the event no settlement can be reached through such negotiation and consultation, the Parties agree that such disputes shall be referred to and finally resolved by arbitration under the provisions of the Arbitration and Conciliation Act, 1996 and the rules made thereunder from time to time. The arbitration shall be held at city of Head Office of member Bank. The language used in the arbitral proceedings shall be English. The arbitration proceeding shall be conducted by a panel of three arbitrators, each party shall appoint his own arbitrator and the two appointed arbitrators shall appoint the third arbitrator who shall act as presiding Arbitrator.
15. ***Equitable Remedies.*** The Parties agree that in event of breach of any of the covenants contained in this Agreement due to negligence/fault/lack of the Receiving Party, the Disclosing party shall have, in addition to any other remedy, the right:
16. To obtain an injunction from a court of competent jurisdiction restraining such breach or threatened breach; and
17. To specific performance of any such provisions of this Agreement. The Parties further agree that no bond or other shall be required in obtaining such equitable relief and the Parties hereby consent to the issuance of such injunction and to the ordering of specific performance.
18. ***Legal Expenses:*** If any action and proceeding is brought for the enforcement of this Agreement, or because of an alleged or actual dispute, breach, default, or misrepresentation in connection with any of the provisions of this Agreement, each Party will bear its own expenses, including the attorney’s fees and other costs incurred in such action.
19. ***Indemnification:*** The Receiving Party shall indemnify the Bank and hold the Bank harmless against any loss caused to it as a result of the non-performance or improper performance of this Agreement by the Receiving Party, or its servants or agents to perform any aspect of its obligations forming part of the subject matter of this Agreement.
20. ***Term.*** This Agreement may be terminated by either Party giving sixty (60) days’ prior written notice to the other Party; provided, however, the obligations to protect the Confidential Information in accordance with this Agreement shall survive for a period of three (3) years from the date of the last disclosure of Confidential Information made under this Agreement (except for personal customer data which shall remain confidential forever).
21. ***No Formal Business Obligations.*** This Agreement shall not constitute create, give effect to or otherwise imply a joint venture, pooling arrangement, partnership, or formal business organization of any kind, nor shall it constitute, create, give effect to, or otherwise imply an obligation or commitment on the part of either Party to submit a proposal or to perform a contract with the other Party or to refrain from entering into an agreement or negotiation with any other Party. Nothing herein shall be construed as providing for the sharing of profits or loss arising out of the efforts of either or both Parties. Neither Party will be liable for any of the costs associated with the other’s efforts in connection with this Agreement. If the Parties hereto decide to enter into any licensing arrangement regarding any Confidential Information or present or future patent claims disclosed hereunder, it shall only be done on the basis of a separate written agreement between them.
22. ***General Provisions.***
23. ***Governing Law.*** This Agreement shall be governed by and construed in accordance with the laws of India.
24. ***Severability.*** If one or more of the provisions in this Agreement is deemed void by law, then the remaining provisions shall remain valid and continue in full force and effect.
25. ***Successors and Assigns.*** This Agreement will be binding upon the successors and/or assigns of the Parties, provided however that neither Party shall assign its rights or duties under this Agreement without the prior written consent of the other Party.
26. **He*adings.*** All headings used herein are intended for reference purposes only and shall not affect the interpretation or validity of this Agreement.
27. ***Entire Agreement.*** This Agreement constitutes the entire agreement and understanding of the Parties with respect to the subject matter of this Agreement. Any amendments or modifications of this Agreement shall be in writing and executed by a duly authorized representative of the Parties.
28. **Jurisdiction of Court:** All disputes under this Non-Disclosure Agreement are subject to the jurisdiction of Courts at City of Head office of Individual member Bank in India.
29. Two original sets of Non-Disclosure Agreement are executed and retained by either parties, Bank and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *(the selected vendor)*

The Parties, by the signature of their authorized representatives appearing below, acknowledge that they have read and understood each and every term of this Agreement and agree to be bound by its terms and conditions.

**For and on behalf of for and on behalf of**

**………………………… ……………………………………….**

***(The selected bidder)***

|  |  |
| --- | --- |
| Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Designation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Designation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

## Annexure – XI

**CV of Core Audit Team Member**

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

**(To be furnished on a separate sheet for each Team member)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Staff** | |  | | |
| **Date of Birth** | |  | | |
| **Professional Qualifications/ Certifications** | |  | | |
| **Services in the firm from** | |  | | |
| **Previous employment record** | | **Organization** | **From** | **To** |
| **Activities carried out** | |  |  |  |
|  | |  |  |  |
|  | |  |  |  |
|  | |  |  |  |
|  | |  |  |  |
| **Details of key assignments handled in the past three**  **years** | |  | | |
| **Organization** | **Month and year** | **Details of assignment carried out** | | |
|  |  |  | | |
|  |  |  | | |
|  |  |  | | |
|  |  |  | | |
|  |  |  | | |
|  |  |  | | |
|  |  |  | | |

**Place: AUTHORISED SIGNATORY**

**Date: Name: Designation:**

## Annexure - XII

**Masked Commercial Bid**

**(To be submitted with technical Bid)**

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

**(Amount in Rs.)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sl.**  **No.** | **Work Description** | **Cost as per scope of work (Exclusive of Taxes) (A)** | | **GST % And**  **GST amount**  **(B)** | **Cost as per scope of work (Inclusive of GST)**  **(C) (C=A+B)** |
| **1** | **Comprehensive IT Audit** | **XXXXX** | | **XXXXX** | **XXXXX** |
| **Total cost of Ownership (in numeral)** | | | | | **XXXXX** |
| **Total cost of Ownership (in words)** | | | **XXXXX** | | |

**Note:**

1. The calculation for arriving at TCO is properly mentioned in the appropriate columns and we confirm that the above-mentioned rates are accurate. In case of any anomalies in the calculation for arriving at TCO, the Bank will have the right to rectify the same and it will be binding upon our company.
2. We have ensured that the price information is filled in the Commercial Offer at appropriate column without any typographical or arithmetic errors. All fields have been filled in correctly.
3. We have not added or modified any clauses / statements / recordings / declarations in the commercial offer, which is conditional and / or qualified or subjected to suggestions, which contain any deviation in terms & conditions or any specification.
4. We have understood that in case of non-adherence to any of the above, our offer will be summarily rejected
5. If the cost for any line item is indicated as zero or blank, then Bank may assume that the said item is provided to the Bank without any cost.
6. Bank has discretion to keep any of the line item mentioned above as optional as per Bank's requirement.
7. Present Rate of tax, if applicable, should be quoted in respective columns. The Bank will pay the applicable taxes for the above-mentioned tax type ruling at the time of actual delivery of service/implementation and resultant billing. However, no other tax type will be paid. The Octroi / Entry Tax will be paid extra, wherever applicable on submission of actual tax receipt.
8. Please note that any commercial offer which is conditional and / or qualified or subjected to suggestions will also be summarily rejected. This offer shall not contain any deviation in terms & condition or any specifications, if so such offer will be summarily rejected.
9. All prices should be quoted in Indian Rupees (INR) only.
10. Bank will not communicate with OEM / OSD for any queries
11. We have ensured that the price information is filled in the Commercial Offer at appropriate column without any typographical or arithmetic errors. All fields have been filled in correctly.
12. In case of any discrepancy between figures and words, the amount in words shall prevail.
13. **Bidder needs to submit mask commercial BOM mentioning make, model and part code no. along with technical bid.**
14. The TCO (Total cost of ownership) will be inclusive of GST and other applicable taxes. However, the GST and other applicable taxes will be paid as per actuals.
15. **The quantity mentioned above is only indicative and may change at the time of issuance of Purchase Order to the selected bidder.**

**Place: Signature of Bidder: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date:**  **Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Business Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

## Annexure-XIII

**Commercial Bid**

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

**(Amount in Rs.)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sl.**  **No.** | **Work Description** | **Cost as per scope of work (Exclusive of Taxes) (A)** | | **GST % And**  **GST amount**  **(B)** | **Cost as per scope of work (Inclusive of GST)**  **(C) (C=A+B)** |
| **1** | **Comprehensive IT Audit of Bank** |  | |  |  |
| **Total cost of Ownership (in numerals)** | | | | |  |
| **Total cost of Ownership (in words)** | | |  | | |

**Note:**

1. The calculation for arriving at TCO is properly mentioned in the appropriate columns and we confirm that the above-mentioned rates are accurate. In case of any anomalies in the calculation for arriving at TCO, the Bank will have the right to rectify the same and it will be binding upon our company.
2. We have ensured that the price information is filled in the Commercial Offer at appropriate column without any typographical or arithmetic errors. All fields have been filled in correctly.
3. We have not added or modified any clauses / statements / recordings / declarations in the commercial offer, which is conditional and / or qualified or subjected to suggestions, which contain any deviation in terms & conditions or any specification.
4. We have understood that in case of non-adherence to any of the above, our offer will be summarily rejected
5. If the cost for any line item is indicated as zero or blank, then Bank may assume that the said item is provided to the Bank without any cost.
6. Bank has discretion to keep any of the line item mentioned above as optional as per Bank's requirement.
7. Present Rate of tax, if applicable, should be quoted in respective columns. The Bank will pay the applicable taxes for the above-mentioned tax type ruling at the time of actual delivery of service/implementation and resultant billing. However, no other tax type will be paid. The Octroi / Entry Tax will be paid extra, wherever applicable on submission of actual tax receipt.
8. Please note that any commercial offer which is conditional and / or qualified or subjected to suggestions will also be summarily rejected. This offer shall not contain any deviation in terms & condition or any specifications, if so such offer will be summarily rejected.
9. All prices should be quoted in Indian Rupees (INR) only.
10. Bank will not communicate with OEM / OSD for any queries
11. We have ensured that the price information is filled in the Commercial Offer at appropriate column without any typographical or arithmetic errors. All fields have been filled in correctly.
12. In case of any discrepancy between figures and words, the amount in words shall prevail.
13. **Bidder needs to submit mask commercial BOM mentioning make, model and part code no. along with technical bid.**
14. The TCO (Total cost of ownership) will be inclusive of GST and other applicable taxes. However, the GST and other applicable taxes will be paid as per actuals.
15. **The quantity mentioned above is only indicative and may change at the time of issuance of Purchase Order to the selected bidder.**

**Place: Signature of Bidder: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date:**  **Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Business Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

## ANNEXURE-XIV

**(TO BE PROVIDED ON Rs.100/- STAMP PAPER)**

**Self-Certificate for Local Content**

**Tender name & reference number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Date:\_\_\_\_\_\_\_\_\_\_\_\_

I\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_S/o, D/o, W/o\_\_\_\_\_\_\_\_\_\_\_\_\_\_resident of\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ do hereby solemnly affirm and declare as under:

That I will agree to abide by the terms and conditions of the Public Procurement (Preference to Make in India) Policy vide GOI Order no. P-45021/2/2017-PP (B.E.-II) dated 15.06.2017 (subsequently revised vide orders dated 28.05.2018, 29.05.2019and 04.06.2020) MOCI order No. 45021/2/2017-PP (BE II) Dt.16th September 2020 & P- 45021/102/2019-BE-II-Part (1) (E50310) Dt.4th March 2021 and any subsequent modifications/Amendments, if any and

That the local content for all inputs which constitute the said item/service/work has been verified by me and I am responsible for the correctness of the claims made therein.

|  |  |
| --- | --- |
| **Tick (** **) and Fill the Appropriate Category** | |
|  | I/We [name of the supplier] hereby confirm in respect of quoted items that Local Content is equal to or more than 50% and come under **“Class-I Local Supplier”** category. |
|  | I/We [name of the supplier] hereby confirm in respect of quoted items that Local Content is more than 20% but less than 50% and come under **“Class-II Local Supplier”** category. |

The details of the location (s) at which the local value addition is made and the proportionate value of local content in percentage is given below:

|  |  |
| --- | --- |
| **Address** | **Percentage (%) of local content** |
|  |  |
|  |  |

For and on behalf of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(Name of firm/entity)

Authorized signatory

Name,

Designation

Contact No.

[Note: In case of procurement for a value in excess of Rs. 10 Crores, the bidders shall provide this certificate from 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.]

## ANNEXURE – XV

**Restriction on Procurement due to National Security**

**This Certificate should be submitted on the letterhead of the bidder duly signed by an authorized signatory**

**To,**

**Assistant General Manager (DIT)**

**UCO Bank, Head Office-II**

**Department of Information Technology**

**5th Floor, 3&4, DD Block, Sector-I**

**Salt Lake, Kolkata -700064**

Dear Sir,

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

1. "I have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India; I hereby certify that this bidder is not from such a country and is eligible to be considered."
2. "I have read the clause regarding restrictions on procurement from a bidder of a country which shares a land border with India; / certify that this bidder is not from such a country or, if from such a country, have been registered with the Competent Authority. I hereby certify that this bidder fulfils all requirements in this regard and is eligible to be considered. (Where applicable, evidence of valid registration by the Competent Authority shall be attached.)"

Yours Faithfully,

**Authorised Signatory,**

**Name:**

**Designation:**

**Vendors Corporate Name:**

**Address:**

**Email:**

**Contact No.**

# Annexure XVI

# ESCALATION MATRIX OF ALL VERTICALS

(To be submitted on company letter head)

The escalation matrix up to top level of company is tabulated below in hierarchy-

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Sr. No.** | **Particulars** | **Level-1 Escalation** | **Level-2 Escalation** | **Level-3 Escalation** |
| 1 |  | Name:  Phone No:  Cell No:  Email: | Name:  Phone No:  Cell No:  Email: | Name:  Phone No:  Cell No:  Email: |

**Yours faithfully,**

**Authorized Signatory (Name)**

**(Designation)**

Note- Kindly mention escalation matrix of all verticals (support, sales and delivery of the company. There should be a single point of contact of senior level for verticals.

**ANNEXURE – XVII**

**Undertaking for Manpower/Resources**

**To,**

**Assistant General Manager (DIT)**

**UCO Bank, Head Office -II**

**Department of Information Technology**

**5th Floor, 3&4, DD Block, Sector-I**

**Salt Lake, Kolkata -700064**

Dear Sir,

**Sub: Selection of lS Audit Firm/Organization for Comprehensive IT Audit**

Further to our proposal dated ………………………………, in response to the Selection of lS Audit Firm/Organization for Comprehensive IT Audit issued by Bank, we hereby covenant, warrant and confirm as follows:

We hereby agree that proper background check of Facility Management resources/manpower deployed in the Bank premises for above project will be ensured. The Bank is not responsible for any incident/event occurred due to any action of vendor’s employee.

We undertake to submit necessary documents i.e., police verification etc. in case of our emergence as a successful bidder. Vendor has to do the necessary background verification check, that may cover many areas including but not limited to employment history, education verification, license/certification check, criminal history, driving records, CIBIL/credit check, drug screening, social media activity, and identity, for all the resources to be deployed at Bank’s premises and has to give undertaking on quarterly basis in this regard.

 The format mentioned under annexure must be signed by the Authorised Signatory along with the following documents of each and every employee:

1. Copy of PAN Number duly self-attested and verified by Vendor
2. Copy of Aadhaar Number duly self-attested and verified by Vendor
3. Police verification report
4. CIBIL Report without any delinquency

Yours faithfully,

For……………………………...

Designation:

(Signature and seal of authorized person)

Bidder’s corporate name:

Place:

## ANNEXURE – XVIII

***Technical Scoring***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Sl. No** | **Evaluation Parameters** | **Max Marks** | **Scoring Methodology** | **Self Score** |
| 1 | The bidder company is | 20 | **20 marks** - Public/Private Limited Company  **15 Marks** - Partnership firm  **10 Marks** - A Limited Liability partnership |  |
| 2 | Turnover of bidder company | 20 | **20 marks** – More than 25 crore  **15 marks** – more than 15 Crore  **10 Marks** – more than 10 Crore  **5 Marks** – More than 5 crore |  |
| 3 | The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Schedule commercial Bank in India. | 20 | **5 marks** for every Public Sector Bank  **3 marks** for every SCB other than PSB |  |
| 4 | The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold Industry Standard Certifications like CISA, DISA, CISSP, CEH & CISM with requisite experience to handle the work as per the scope (valid as on date). | 20 | **3 marks** for every professional holding valid certification |  |
| 5 | The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas: -  1. Process Audit  2. VA/PT  3. Source Code Audit  4. Application & Software Audit  5. Network and Network Performance Analysis Audit  6.Audit of Security devices/Solutions/Parameters at SOC like DAM, PIM, WAF, SIEM, APT ,NBA, VAS, etc.  7. Database Management System & Data Security Audit  8. IT/Digital/Information Security Governance and Management  9. Data Centre, Disaster Recovery Centre, Business Continuity Audit  10. End Point Security Audit  11. Management & Monitoring of Logs | 20 | **20 marks** – for 11 areas.  **15 marks** – for 10 areas  **10 marks** - for 8 areas |  |

**Annexure-XIX**

**ELIGIBILITY CRITERIA COMPLIANCE**

|  |  |  |  |
| --- | --- | --- | --- |
| **SL No** | **Criteria** | **Proof of documents to be submitted** | **Compliance (Y/N)** |
| **1.** | Bidder should be a company incorporated as a public/private limited company (as defined in the Companies Act, 2013)  or  Registered as a partnership firm (registered under section-59 of the Partnership Act, 1932)  or  A limited liability partnership (under the Limited Liability Partnership Act, 2008) in India, | * 1. Copy of Certificate of Incorporation issued by Registrar of Companies, Shareholding pattern, Copies of MOA and AOA(For Companies).   2. Copy of LLP Incorporation certificate. In case of partnership firms, Deed of Partnership should be submitted.   3. Shareholding pattern (For Companies and LLPs)   4. PAN, TAN, GSTIN Certificate and any other tax related document if applicable is required to be submitted along with the eligibility bid. |  |
| **2.** | The bidder should have a minimum annual turnover of **Rs. 5 Crore** per year during the last three financial years i.e. 2021-22, 2022-23 & 2023-24. This must be the individual company turnover and not of any group of companies. | Copy of the audited balance sheet & certificate from the Chartered Accountant of the company showing profit, net worth and turnover of the company for the consecutive last three financial years i.e. 2021-22, 2022-23 & 2023-24 should be submitted. |  |
| **3.** | Bidder should have maintained a Positive **Net-Worth** during the last three financial years i.e. 2021-22, 2022-23 & 2023-24 | Copy of the audited balance sheet & certificate from the Chartered Accountant of the company showing profit, net worth and turnover of the company for the consecutive last three financial years i.e. 2021-22, 2022-23 & 2023-24 should be submitted. |  |
| **4.** | The bidder should have experience in the business of Information System auditing (IS Auditing) in India in last three years as on bid submission date | Documentary evidence with relevant copies of Purchase Order along with Satisfactory Service Certificates / Completion Certificates in the last three years including names of clients with Phone and Fax numbers, E-Mail IDs etc. |  |
| **5.** | The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold Industry Standard Certifications CISA, DISA, CISSP, CEH & CISM (valid as on date) and requisite experience to handle the work as per the scope | The profile of the Core Audit team must be submitted as per format given in Annexure – XI format. Respective professional certificates to be submitted. |  |
| **6.** | Bidder should have industry-wide presence and expertise in conducting IS Audits, good track record and must have prior experience of conducting such IT related audit/ special audit, mentioned below, of any Bank in India (SCBs, SFBs, Payment Bank’s, etc.) in last 3 years.  The bidder must have completed at least one full cycle of IT Audit, of minimum number of modules mentioned below, in last two years as on bid submission date in Scheduled Commercial Banks in India.  The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas: -  1. Process Audit  2. VA/PT  3. Source Code Audit  4. Application & Software Audit  5. Network and Network Performance Analysis Audit  6.Audit of Security devices/Solutions/Parameters at SOC like DAM, PIM, WAF, SIEM, APT ,NBA, VAS, etc.  7. Database Management System & Data Security Audit  8. IT/Digital/Information Security Governance and Management  9. Data Centre, Disaster Recovery Centre, Business Continuity Audit  10. End Point Security Audit  11. Management & Monitoring of Logs  The experience in aforesaid areas may be from either one or multiple Public / Private Sector Banks in India. | Documentary proof must be provided along with copies of Work Order along with completion certificate.  Relevant copy of any one of the following:   1. Completion Certificates 2. Project Sign-Offs   Satisfactory client certificate |  |
| **7.** | Bidder should submit an Undertaking regarding compliance of all Laws, Rules, Regulations, bye-Laws, Guidelines, Notifications etc. | Documentary evidence to be submitted by the bidder as per Annexure – V. |  |
| **8.** | Bidder should not have conflict of interest in carrying out the Audit. i.e. The firm should not have been engaged with the Bank in any form either direct or indirect assignment except concurrent audits in the the past. | Undertaking on company letterhead mentioning the same should be submitted. |  |
| **9.** | Bidder should have proven methodologies & tools for conduct of audit. Tools should be as Industry Standard and free from bugs and vulnerabilities. | Self-Declaration in format attached – mentioning tool that are free from bugs |  |
| **10.** | Bidder should not have been debarred / black-listed by any Bank or RBI or ICAI or any other regulatory authority or Financial Institutions in India as on date of RFP submission. | Annexure-IV should be submitted |  |
| **11.** | The Bidder should not appear in any “Caution” list of RBI / IBA or any other regulatory body for outsourcing activity as on the date of bid submission | Self-declaration to this effect on the company’s letterhead should be submitted |  |
| **12.** | The bidder should be an empanelled Security Auditing Firm with CERT-IN as on bid publication date and also during the course of Audit. | Copy of valid CERT-IN certificate |  |
| **13.** | The bidder should ensure that there are no legal proceedings / inquiries / investigations have been commenced / pending / threatened against service provider by any statutory or regulatory or investigative agencies for which performance under the contract will get adversely affected / may get affected. | Self-declaration to this effect on the company’s letterhead should be submitted. |  |

**Authorized Signatory**

**(Name:**

**Phone No.:**

**Fax:**

**E-mail**



**UCO BANK**

**Department of Information Technology**

**Selection of IS Audit Firm/Organization for Comprehensive IT Audit**

**GeM Bid No: GEM/2024/B/5650432 dated 26.11.2024**

**Pre-Bid Responses/ Clarifications to Queries raised by the Bidder(s) sent on 12-12-2024**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sl. No** | **Bid Page No.** | **Bid Clause No.** | **Original Clause** | **Query sought/ Suggestions of the Bidder** | **Banks Response** |
|  |  | Eligibility and Technical Evaluation | The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas | Clarify on the Scope that needs to be covered for 11th Domain on Management & Monitoring of Logs | The management & monitoring of logs should cover but not limited to following:   1. Process audit of log management & monitoring in system at various levels like application/ network/ database/ servers etc. 2. Change log audit |
|  | 1 | Broad Scope of Work | The Bank intends to select CERT-IN empanelled Information Systems Security  Audit firm/organisation to conduct comprehensive Information Systems  Security Audit at Bank’s DC and DR at Bangalore and Kolkata locations. The bidder has to complete the audit onsite using proven methodologies & tools  for conduct of audit. The bidder has to supply all essential tools for audit and bank will only provide support for its utilization/use. The bidder has to suggest  the tool to be utilised in the audit and get it approved by the Bank for its utilization. | Please clarify the number of people required for this audit | Bidder has to decide as per defined scope of the work and timeline. |
|  | 1 | Broad Scope of Work | The Bank intends to select CERT-IN empanelled Information Systems Security  Audit firm/organisation to conduct comprehensive Information Systems  Security Audit at Bank’s DC and DR at Bangalore and Kolkata locations. The bidder has to complete the audit onsite using proven methodologies & tools  for conduct of audit. The bidder has to supply all essential tools for audit and bank will only provide support for its utilization/use. The bidder has to suggest  the tool to be utilised in the audit and get it approved by the Bank for its utilization. | Please clarify the locations where this audit has to be performed and the number of people required to be present on-site for conducting the audit | The audit is to be performed at Bangalore and Kolkata locations. If required bidder may have to deploy manpower at Mumbai.  Bidder has to decide manpower as per defined scope of the work and timeline. |
|  | 6 | Eligibility Criteria -Point No-6 | Bidder should have industry-wide presence and expertise in conducting IS Audits, good track record and must have prior experience of conducting such IT related audit/ special audit, mentioned below, of any Bank in India (SCBs, SFBs, Payment Bank’s, etc.) in last 3 years.  The bidder must have completed at least one full cycle of IT Audit, of minimum number of modules mentioned below, in last two years as on bid submission date in Scheduled Commercial Banks in India. | Bidder should have industry-wide presence and expertise in conducting IS Audits, good track record and must have prior experience of conducting such IT related audit/ special audit, mentioned below in last 7 years. | Clause stands as per Bid Document. |
|  | 8 | Scope of Comprehensive IT Audit  13. Audit of Applications and Software | The scope to further include Application Audit (covering functionality of defined rules / parameters and controls within the application) of the Applications used by the Bank | Please clarify if the applications are centralized or decentralized | It is to be clarified that the applications are Centralized at DC and DR |
|  | 8 | Eligibility Criteria -Point No-8 | Bidder should not have conflict of interest in carrying out the Audit. i.e. The firm should not have been engaged with the Bank in any form either direct or indirect assignment except concurrent audits in the past. | Required relaxation (Currently we are running SD WAN project for the customer will this have conflicting interest for the new engagement for the IS Audit if yes then relaxation required) | The bidders should not have been engaged in the Bank in the past i.e as on last date of bid submission. |
|  | 9 | Technical Scoring Point no-3 | The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Schedule commercial Bank in India. | The bidder must have completed at least one complete cycle of System Audit  in India in last 7 years | Clause stands as per RFP. |
|  | 11 | Part II - Scope of Comprehensive IT Audit  Scope item 6 | Audit of Data Centre, Disaster Recovery Centre (DRC) & Near Site | Request the Bank to provide basic details as to the DC / DR / NDR sites – to the extent of whether the same is a Co-Location site or a site managed & operated by the Bank either directly or through a 3rd Party service provider. | Details to be shared to selected bidder, currently DR & DC are at Kolkata & Bangalore. |
|  | 15 | Part II - Scope of Comprehensive IT Audit  Scope item 11 | Audit of Applications and Software | Request the Bank provide clarification on whether the expectation of Application Audit in the scope is to carry out a Security review of the applications listed or an application functionality review (business process flow, etc.). | Selected bidder has to carry out both (Security review of the applications listed or an application functionality review (business process flow, etc.) |
|  | 17 | Part II - Scope of Comprehensive IT Audit  Scope item 18 | Redundancy Configuration – (c) Comment upon quality and robustness of data migration from Finacle 7 to Finacle 10. | Request the Bank to provide basic details on the period of data migration (Year, etc.) from Finacle 7 to Finacle 10. | Data migration was completed by December 2021. Details to be shared to selected bidder. |
|  | 20 | Part III – Clause 2 - Delivery and Installation | The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next three months. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank. | Considering the extent of coverage of the scope items, comprehensiveness of the scope, and locations of coverage, request the Bank to consider changing the timeline for report to 5 months / 6 months.  We notice that the timeline for Bank to complete Compliance is not defined. We request the Bank to specify a timeline for the Bank to complete compliance and period by which the review of compliance by auditor should commence. | Please refer Corrigendum. |
|  | 20 | Part III  2. Delivery and Installation | The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next three months. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank. | Please clarify the exact duration in which the audit has to be completed. | Please refer Corrigendum. |
|  | 20 | Part III  2. Delivery and Installation | The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next three months. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank. | Please clarify in detail what all deliverables and reports are required to be submitted. Are we expected to submit an Auditor branded report? | Details of all deliverables and reports are required to be submitted. The report is to be submitted as per Cert-In/ Bank/ Auditor format. The same may be decided later with the selected bidder. |
|  | 20 | Part III  2. Delivery and Installation | The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next three months. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank. | Please clarify the timelines for submission of the deliverables mentioned in Query 2 | Please refer Corrigendum. |
|  | 20 | Part III  3. Contract Period | The tenure of the Contract will be for a period of 12 months from the date of PO | Please clarify if the team is expected to be there on ground for 12 months. And clarify the difference (if any) between the audit duration mentioned in Query 1 above | No,  It is clarified that 12 months is maximum time for completion of whole project.  During audit and compliance checking only manpower is expected to be on ground. |
|  | 20 | Part III  3. Contract Period | The tenure of the Contract will be for a period of 12 months from the date of PO | Please clarify if this would be a Loaned staff or a Time & Material type of arrangement | Time and material type of arrangement |
|  | 21 | Part III – Clause 4 – Payment Terms | Payment Terms per Audit Round is given below:  i. No advance payment will be made.  ii. 50% of the charges/fees of a particular Type of Audit will be payable after submission of the following: -   * Audit Plan * Risk Rating of different Audit Units as per Scope of Work * Check-List for different Audit Units as per Scope of Work * Audit report as per Scope of Work   iii. 25% of the charges/fees will be payable after Bank receiving Compliance Review Report complete in all respect.  iv. Balance 25% will be payable after one month of submission of Review Report complete in all respect, provided bank is satisfied that Review has been conducted complete in all respect as per Scope.  v. TDS would be deducted for any payment made by the BANK as per the prevailing Rules of Government of India.  vi. GST will be paid as per the prevailing rate. | Considering the nature of review, extent of coverage, and period of engagement, we request the Bank to consider 15% on commencement of work. | Clause stands as per bid document. |
|  | 24 | Eligibility and Technical Evaluation  Technical Scoring Criteria – Group 1  & Clause 1 in Eligibility Criteria compliance in Page 103 | Bidder should be a company incorporated as a public/private limited company (as defined in the Companies Act, 2013)  Or  Registered as a partnership firm (registered under section-59 of the Partnership Act, 1932)  Or  A limited liability partnership (under the Limited Liability Partnership Act, 2008) in India, | It is observed that as per scoring methodology provided 20 Marks is allocated to Pvt./Public Limited Company and 15 marks to Partnership Firm and 10 Marks to LLP.  We wish to submit that Pvt. Limited Companies and LLPs are at par in terms of compliance requirements as per Companies Act and hence submission to consider 20 Marks for LLPs as well.  Partnership firms are less regulated and hence cannot bear more scoring marks than LLP in scoring methodology is our submission.  CERT-in empanelment being the primary criteria, then scoring based on nature of the Organisation in terms of Company, Firm or LLP is not directly related to competency or experience w.r.t scope is our view.  Hence the request to consider scoring methodology of 20 marks to LLPs as well | Please refer Corrigendum. |
|  | 24 | Eligibility and Technical Evaluation  Technical Scoring Criteria – Group 2  &  Clause 2 in Eligibility Criteria compliance in Page 103 | The bidder should have a minimum annual turnover of Rs. 5 Crore per year during the last three financial years i.e. 2021-22, 2022-23 & 2023-24. This must be the individual company turnover and not of any group of companies. | We are an MSME Registered Entity and As per Government of India guidelines Turnover and prior experience criteria may be relaxed for MSMEs. (Guidelines appended and MSME Registration details appended)  We request you to provide the Turnover and experience exemption to MSME. | Stand as per Bid document |
|  | 25 | Eligibility and Technical Evaluation  Technical Scoring Criteria – Group 5  &  Clause 6 in Eligibility Criteria compliance in Page 104 | Bidder should have industry-wide presence and expertise in conducting IS Audits, good track record and must have prior experience of conducting such IT related audit/ special audit, mentioned below, of any Bank in India (SCBs, SFBs, Payment Bank’s, etc.) in last 3 years.  The bidder must have completed at least one full cycle of IT Audit of minimum number of modules mentioned below, in last two years as on bid submission date in Scheduled Commercial Banks in India.  The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas: -  1. Process Audit  2. VA/PT  3. Source Code Audit  4. Application & Software Audit  5. Network and Network Performance Analysis Audit  6.Audit of Security devices/Solutions/Parameters at SOC like DAM, PIM, WAF, SIEM, APT ,NBA, VAS, etc.  7. Database Management System & Data Security Audit  8. IT/Digital/Information Security Governance and Management  9. Data Centre, Disaster Recovery Centre, Business Continuity Audit  10. End Point Security Audit  11. Management & Monitoring of Logs  The experience in aforesaid areas may be from either one or multiple Public / Private Sector Banks in India. | The current scoring methodology appears to allot 10 marks for 8 and 15 marks for 10 areas and 20 marks for 11 areas and seems to be not evenly distributed. For 2 or 3 additional areas greater than 8 the extra marks is 5 or 10 marks.  Hence request the bank to kindly consider scoring of 1.5 marks or 2 marks for each area of coverage so that it is uniformly covered and not skewed. | Please refer Corrigendum. |
|  | 69 | Annexure-II | FORMAT OF EARNEST MONEY DEPOSIT (EMD) | We are MSME registered (Medium enterprise), and MSME registered companies are exempted from paying the amount of Tender document Fee & EMD for any Tender issued in India. Considering the same, kindly exempt us from the submission of Tender document Fee & EMD. | Please refer Part-III, Clause 1 for further clarification. |
|  |  | Generic | Scope of work | Kindly share the following details of the parameters of-  1. The website application/s: number of input fields, dynamic pages, static pages.  2. Asset count and details: Number of firewalls, routers, switches, endpoints, servers and any other devices. | Please refer response to query 23. |
|  |  | Generic | Generic | Please share details of   |  | | --- | | 1. No of Locations | | 2. No of People | | 3. No of Applications | | 4. No of Network Devices (Firewall, Routers, & Switches) | | 5. No of Security Devices | | 6. No of Servers | | 7. No of Databases | | 8. No of ATMs | | 9. No of Workstations and Laptops | | 10. Can Bidder use Hybrid Model i.e combination of onsite and offsite for execution | | 11. Expected no of resources needs to be deployed onsite | | Expected  12. certifications/qualifications and experience of resources | | 13. Expected Timeline to execute the project | | 14. Is Sub-Contracting allowed | | 15. Expected Deliverables | | 16. Bidder will be provided checklist of controls for IT Audit or need to create new one | | 17. Can we use Relative Global Client references where we have executed similar SOW | | Please find details:  1. Kolkata and Bangalore  2. Query not clear  3. Approximately 200+ applications  4. Approximately 700+  5. Approximately 20  6. Approximately 300+  7. Approximately 150+  8. not related to scope  9. Not related to scope  10. No, bidder cannot use Hybrid Model.  11. Depends upon the bidder to complete the audit between the defined timeline.  12. Please refer bid document.  13. Please refer bid document and corrigendum.  14. No, please refer bid document.  15. Reports as per Cert-in guideline and compliance thereof.  16. Audit firm need to create new checklist in co-ordination with Bank.  17. Minimum requirement must be complied with reference to eligibility clause and Revised Technical scoring (Revised Annexure-XVIII) |

**:Corrigendum:**

|  |  |  |
| --- | --- | --- |
| **Clause Reference** | **Existing Clause** | **Revised Clause** |
| Part-III, Clause 2 Delivery and Installation | The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next three months. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank. | The proposed audit should be started within 15 days of receiving the purchase order and is to be completed within next **five (05) months**. After receiving initial reports, Bank will complete the compliance. Post compliance auditor will review the compliance and submit a compliance certificate to the Bank  **within 1 month**. |
| Bid submission date | Last date of bid submission: 17.12.2024, 4:00 PM  Bid opening date and time:  17.12.2024, 4:30 PM | Last date of bid submission: **20.12.2024, 4:00 PM**  Bid opening date and time:  **20.12.2024, 4:30 PM** |
| Technical Scoring | Annexure – XVIII | Revised Annexure – XVIII (As mentioned below) |

## REVISED -- ANNEXURE – XVIII

***Technical Scoring (Revised)***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Sl. No** | **Evaluation Parameters** | **Max Marks** | **Scoring Methodology** | **Self Score** |
| 1 | The bidder must have completed at least one complete cycle of System Audit in last two financial years, for a minimum of one (01) no. of Schedule commercial Bank in India. | 40 | **15 marks** for every Public Sector Bank  **10 marks** for every SCB other than PSB |  |
| 2 | The bidder must be having on their rolls, on permanent employment basis, a minimum of 10 (ten nos.) professionals who hold Industry Standard Certifications like CISA, DISA, CISSP, CEH & CISM with requisite experience to handle the work as per the scope (valid as on date). | 40 | **4 marks** for every professional holding valid certification |  |
| 3 | The bidder should have conducted IS Audit in at least 8 areas out of following 11 areas: -  1. Process Audit  2. VA/PT  3. Source Code Audit  4. Application & Software Audit  5. Network and Network Performance Analysis Audit  6.Audit of Security devices/Solutions/Parameters at SOC like DAM, PIM, WAF, SIEM, APT ,NBA, VAS, etc.  7. Database Management System & Data Security Audit  8. IT/Digital/Information Security Governance and Management  9. Data Centre, Disaster Recovery Centre, Business Continuity Audit  10. End Point Security Audit  11. Management & Monitoring of Logs | 20 | **20 marks** – for 11 areas.  **18 marks** – for 10 areas  **15 marks** - for 8 to 9 areas |  |

**All other terms and conditions remain unchanged as per ATC Document and corrigendum/ addendum issued if any.**