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Union Bank
of India

UNION BANK OF INDIA

REQUEST FOR PROPOSAL (RFP)

Enterprise Application Integration Solution (EAI)

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NOTE: This document contains 154 pages including this cover page.

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1. Genesis of Union Bank of India

Union Bank of India (hereon referred to as 'UBI') is firmly committed to consolidating and maintaining its identity as a leading innovative commercial bank, with a proactive approach towards the changing needs of the society. This has resulted in a wide gamut of products and services made available to its valuable clientele. Today, with its efficient value-added services, sustained growth, consistent profitability and development of new technologies, UBI has ensured complete customer delight, living up to its image of *"GOOD PEOPLE TO BANK WITH"*.

Over the years, UBI has earned the reputation of being tech-savvy and a frontrunner among public sector banks in modern-day banking trends. Having launched its Core Banking Solution in 2002, UBI is one of the first Public Sector Banks in the country to have all their branches on a single Core Banking platform. Under this solution umbrella, all branches and ATMs of UBI have been networked, with online Tele-banking facility made available to both its Core Banking Customers – individual as well as corporate. In addition to this, the versatile Internet Banking Service provides extensive information pertaining to various components of banking. Regular banking services apart, the customer can also avail of a variety of other value-added services like Cash Management Service, Insurance, Mutual Funds and D-mat. UBI has recently launched its Call Centre to enhance the quality of service offered to the customers through inward calls.

UBI, having its registered office at Mumbai, has 2725 branches, 135 Extension counters and 69 satellite offices as on October, 2009, which is spread across various geographic locations in the country. These branches are controlled by 54 Regional Offices which in turn report to 9 Field General Managers situated at Mumbai, Delhi, Kolkata, Chennai, Lucknow, Pune, Ahmedabad, Bhopal and Bangalore.

2. Introduction

Union Bank of India, a Public Sector Bank, invites offers from reputed System Integrators (SI) / Principal Solution Provider (PSP) for supply and implementation of an Enterprise Application Solution (EAI). The project will involve supply, development / configuration, customization, installation, implementation, integration and maintenance of EAI.

This RFP is not an offer by Union Bank of India, but an invitation to receive responses from eligible System Integrators / PSPs. No contractual obligation whatsoever shall arise from the RFP process unless and until a formal contract is signed and executed by duly authorized officers of Union Bank of India with the SI.

3. Glossary

Sr. No.	Acronym	Description
1.	ALM	Asset Liability Management
2.	AMC	Annual Maintenance Cost
3.	AML	Anti Money Laundering
4.	ASBA	Application Supported by Blocked Amount
5.	ATM	Auto Teller Machine
6.	ATS	Annual Technical Support
7.	BFSI	Banking, Financial Services & Insurance
8.	BPEL	Business Power Execution Language
9.	CBS	Core Banking System
10.	CCL	Cash Credit Limits
11.	CD	Compact Disk
12.	CMS	Cash Management System
13.	CO	Commercial Offer
14.	CPU	Central Processing Unit
15.	CTS	Cheque Truncation System
16.	DDL	Data Definition Language
17.	DHCP	Dynamic Host Configuration Protocol
18.	DIT	Department of Information Technology
19.	DMAT	De-Materialized Account
20.	DRC	Disaster Recovery Center
21.	DTD	Document Type Definition
22.	EAI	Enterprise Application Integration
23.	ECS	Electronic Clearing Services
24.	EMD	Earnest Money Deposit
25.	ERP	Enterprise Resource Planning
26.	FCNR	Foreign Currency Non-Resident
27.	FGMO	Field General Manager's Office
28.	FTP	File Transfer Protocol
29.	FTPS	File Transfer Protocol Secure

Sr. No.	Acronym	Description
30.	GUI	Graphical User Interface
31.	HRMS	Human Resource Management System
32.	HTTP	Hyper Text Transfer Protocol
33.	HTTPS	Hyper Text Transfer Protocol Secure
34.	IBD	International Banking Division
35.	IMAP	Internet Message Access Protocol
36.	IO	Input Output
37.	IP	Internet Protocol
38.	ISO	International Standard Organization
39.	IST	Indian Standard Time
40.	IT	Information Technology
41.	JCA	Joint Coordination Activity
42.	JDBC	Java Data Base Connectivity
43.	JMS	Java Message Service
44.	LAN	Local Area Network
45.	LAS	Lending Automation System
46.	LC	Letter of Credit
47.	LMS	Lead Management System
48.	MFTP	Matched Fund Transfer Price
49.	MIS	Management Information System
50.	MOM	Message Oriented Middleware
51.	NDA	Non Disclosure Agreement
52.	NDS	Negotiated Dealing System
53.	NEFT	National Electronic Fund Transfer
54.	OLTAS	On Line Tax Accounting System
55.	OS	Operating System
56.	P&L	Profit & Loss
57.	POP3	Post Office Protocol 3
58.	PPP	Point to Point Protocol
59.	PPTP	Point to Point Tunneling Protocol
60.	PSP	Principal Solution Provider

Sr. No.	Acronym	Description
61.	RBI	Reserve Bank of India
62.	RFP	Request For Proposal
63.	RTGS	Real Time Gross Settlement
64.	SI	System Integrator
65.	SFMS	Structured Financial Messaging System
66.	SIT	System Integration Testing
67.	SLA	Service Level Agreement
68.	SMTP	Simple Mail Transfer Protocol
69.	SNA	Systems Networking Architecture
70.	SOAP	Simple Object Access Protocol
71.	STP	Straight Through Processing
72.	SSH	Secure Shell
73.	SWIFT	Society for World Interbank Financial Intercommunication
74.	TBD	Transaction Banking Division
75.	TCO	Total Cost Of Ownership
76.	TCP	Transmission Control Protocol
77.	TDS	Tax Deduction at Source
78.	TO	Technical Offer
79.	UAT	User Acceptance Testing
80.	UBI	Union Bank of India
81.	UDDI	Universal Description Discovery and Integration
82.	UDP	User Datagram Protocol
83.	UML	Unified Modeling Language
84.	USB	Universal Serial Bus
85.	WMQ	Websphere Message Queuing
86.	WSDL	Web Services Description Language
87.	XML	Extensible Markup Language
88.	XSLT	XML Style sheet Language Transformation

4. Scope of Work

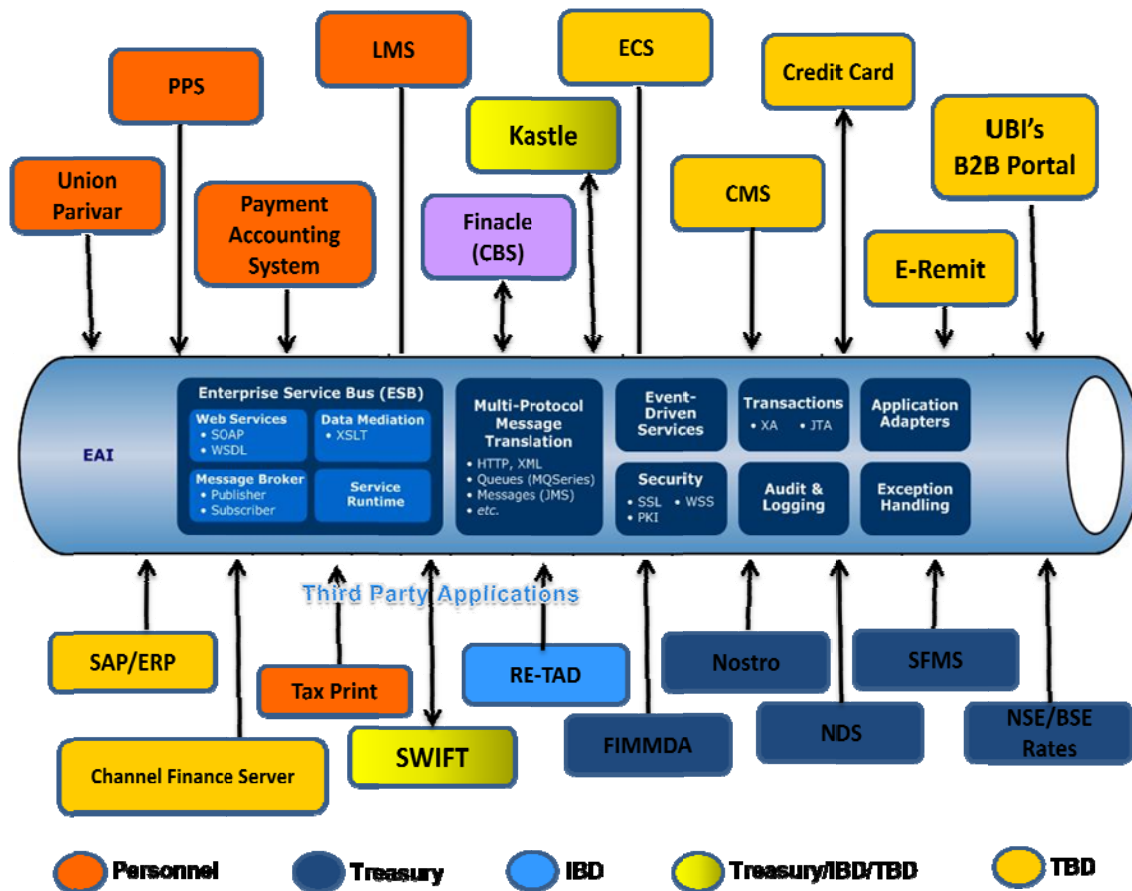
4.1. Scope Description

This Request for Proposal (RFP) is for supply, implementation and support of the Enterprise Application Integration Solution (EAI) for facilitating communication through Straight Through Process (STP) between different applications presently implemented in UBI. UBI prefers an integrated modular solution on industry standard platforms to match the functionality requirements specified in this document. The scope of work is as follows:

- Supply, implementation and support of suitable platform independent EAI including the Environmental Software, to provide a structured facility to interact with various applications seamlessly in a more controlled way and enable straight through processing and reduce manual intervention and errors. The detailed requirements are specified in the [Technical Requirements](#) and deliverables
- To provide data in the formats desirable / acceptable by the applications viz. SAP, Tally, Oracle Financial Management, Adrenalin, etc. of UBI's valued customers to facilitate Straight Through Processing which will reduce time lag and manual intervention
- UBI will be procuring hardware and database licenses separately and supply of hardware is not a part of this RFP. However the SI will provide suitable industry standard hardware and infrastructure recommendation to support minimum 150000 transactions in a period of 8 hours per day. 50 % of these transactions will need to be processed in a span of 3 hours. Also, there will be an additional 200000 transactions (approximate) to be processed at the end of every month. Recommended hardware must be with provisions for Disaster Recovery. The solution provided must be Active-Active and not allow for any down-time
- Liaise with the existing application SIs for implementing the EAI
- The solution will be installed at UBI premises
- Training to 50 officials of UBI in batches not exceeding 25 officers per batch

- One year warranty and four years post-warranty ATS for the entire solution
- Provide Consultancy services to set up the EAI competency cell within the Bank and establish processes for day to day operations.

Desired Integration Architecture is as follows:



Please Note: This diagram is indicative of the architecture and doesn't include all the applications, interfaces, etc.

SI is required to offer solutions covering all the functional requirements mentioned in this RFP. Incomplete responses are liable for disqualification.

4.2. Details of Applications in Scope

The following applications packages are presently used which need to be integrated.

1. Finacle v7.0.18: This is the Core Banking Application for Indian Operations from M/s Infosys. The database is Oracle 9.2.0.8 version. All the account level transactions are to be posted in this application.
2. Finacle v7.4.5: This is the Core Banking Application for Overseas operation from M/s Infosys. The database is Oracle 10 G. All the account level transactions pertaining to overseas transactions are to be posted in this application.
3. RTGS: Software from RBI, database Oracle 9i. Integrated with Finacle with middleware from M/s Logica using QPH.
4. NEFT: Software from RBI, database Oracle 9i. Integration with Finacle is in progress with middleware from M/s Logica using QPH.
5. SWIFT: Turbo Swift and Turbo Connect from M/s Globesyn Infotech Ltd. with Oracle as database.
6. HRM: PeopleSoft is the application with DB2 database, implemented and maintained by M/s TCS.
7. CALL CENTER: Developed by M/s Spanco with SQL as database.
8. SAP: The file received / generated in SAP system of a client, should be converted in to Finacle Format and processed. The status should be communicated to the Customer in SAP format. The Middleware should have feature to support various customers having various formats / versions of SAP.
9. Other ERP Systems: Any Other ERP systems or other system used by the customer for communicating the transactions should be converted in to Finacle transaction.
10. Kastle: Developed by M/s 3i Infotech and is in use for Treasury. The database is Oracle 9i
11. Management Information System (MIS): Developed and customized by M/s HCL Infotech with MS SQL as database.
12. Tele Banking: The software is from M/s Bk Systems with P-SQL as database.

- 13.AML: AMLock from M/s 3i Infotech with SQL as database.
- 14.Channel Finance: Procured from M/s Aryan Pro with Oracle as database. Uses ISO 8583 standard.
- 15.CMS: Cash Management System from M/s Lasersoft Infosystems India Ltd is in use. The database is Oracle 10G.
- 16.LAS: Lending Automation System from M/s Sysarc Informatix and Crisil with M/s Wipro as integrator and Oracle 9G as database.
- 17.ALM: Pinnacle from M/s 3i Infotech
- 18.MFTP: Funds Transfer Pricing Tool which is in the process of selection
- 19.DEMAT: Excel based flat files
 - a. Lien Marking: Blocking of limit for DEMAT accounts
- 20.SFMS: Structured Financial Messaging System. It is used for NEFT and RTGS messages.
- 21.ASBA: In-house developed package with MS SQL database. Used for IPO transactions.
- 22.Online Trading Packages: UBI has a tie up with TM Religare, IDBI, ShareKhan and EmKay.
- 23.Credit Card: Outsourced to M/s FIS
- 24.OLTAS: In-house developed package with MS SQL database
- 25.TaxPrint : Used for Form 16 Registrations within UBI

4.3. Phases of the Project

The SI is expected to implement the project in the following phases:

Phase	Process Grouping	Systems to be Integrated
Phase 1	Treasury / HRMS	Overseas Finacle / Finacle / Credit Card / Kastle / RBI Package / CCL / Peoplesoft / TDS / TaxPrint
Phase 2	SWIFT / Remittances / Cash Management / CTS	Finacle / CTS / Cash Management / eRemit / Logica QPH / SWIFT / ECS / SFMS / RTGS / NEFT

Phase 3	Channel finance / Credit Card / Loan Processing / Tax Payment Systems	Finacle / LAS / OLTAS / EASIEST / STAS / OTP / AML/ SAP and other Customer ERPs
Phase 4	ALM / MFTP / DMAT / Lien Marking / ASBA / Online Trading Packages	Finacle / Pinnacle / MFTP / IDBI / Sharekhan / Religare / MFTP / DEMAT/ Lien Marking / ASBA / EmKay / Tele Banking / AML

4.4. Deliverables

The EAI implementation shall include (but is not limited to) the following key deliverables:

1. Software

Supply, install and configure a platform independent EAI (including Environmental Software) to facilitate seamless enterprise-wide integration across UBI's application systems and relevant external systems. The solution should be platform and database independent.

2. Customized Application

Customized EAI solution as per the requirements defined by the Bank. The SI must submit under Annexure L, a detailed plan including the manpower to be deployed during the implementation of the solution. Manpower can be changed only with an advance approval from UBI.

3. Implementation Services

The SI must develop a comprehensive and detailed approach and strategy for the implementation of the proposed EAI for UBI including, but not limited to the following (SI may propose others, based on their strategy / methodology):

- Overall integration plan and work plan (in phases)
- Architecture plan and diagrams
- Installation plan
- Training plan

- Testing plan
- Cut-over and decommissioning plan

4. Testing Services

Conduct testing for the system, application and any customised components. Testing shall include, but is not limited to the following (SI may propose others, based on their strategy / methodology):

- Unit Testing
- Performance / Stress Testing
- System Integration Testing (SIT)
- User Acceptance Testing (UAT) Facilitation

5. Documentation

Provide all necessary documentation relating to the implementation including, but not limited to the following (SI may propose others, based on solution offerings):

- Project charter
- Solution architecture and design
- Architecture / technical diagrams
- User manuals
- System flow documentation
- Technical manuals
- Training manuals
- UAT test scripts

6. Training

Functional and technical training to business & IT staff in operating and using the solution including database and application software. SI should provide training on application software and other areas to the project team from UBI. The training duration will be for a minimum period of 6 working days at UBI premises. The test

environment required for the training has to be set up by the SI before the training commences.

The SI / PSP should provide detailed training on the solution to 50 officials of UBI in batches not exceeding 25 officers per batch.

7. Warranty / Post-Warranty Services

The SI must support the solution implemented under the contract for the Enterprise Application Integration Solution under the warranty support for a period of one year post the UAT Sign-off and go-live of Phase 4 of the Project and four years post-warranty, i.e. total support of 1 year warranty + 4 year post-warranty. The SI must submit under Annexure L, a detailed plan including the manpower to be deployed during the post-implementation support of the solution. Manpower can be changed only with an advance approval from UBI.

4.5. Project Team Structure

- Steering Committee

The purpose of the Steering Committee is to meet periodically – typically monthly to discuss the overall status of the project. Any issues that affect the project from a scope, timing, resource, cost standpoint or that cannot be resolved at the work team level or requires bank-wide / inter-department agreement should be discussed and resolved by the Steering Committee. The overall responsibility of this committee is to maintain and set policy and direction for the project.

The members from the SI and PSP must be kept to an absolute bare minimum comprising officials of senior management who will be able to take decisions on pertinent points. This will ensure that the steering committee conducts business in an efficient and timely manner. The steering committee would be enhanced if required.

- Project Committee

This committee will be made up of representatives of UBI, the PSP and the SI. The committee will be responsible for monitoring the status of the project, resolving issues and ensure adherence to the time-lines. The Project Committee will make all decisions with respect to the implementation of the project. It can, however, escalate the matter to the Steering Committee if need be.

- Operational Committee for day to day affairs

This committee will be made up of representatives of UBI and the SI. The committee will be responsible for monitoring the status of the EAI solution, resolving issues and ensure adherence to the time-lines. The Operational Committee will make all decisions with respect to the support of the solution. It should consult the respective application owners if the need arises, especially in case of version upgrades of the middleware itself or the integrated applications. It will also be responsible for monitoring the addition of new applications to the solution. It can, however, escalate the matter to the Steering Committee if need be.

- SI's Obligations with respect to PSP

The SI shall have teaming agreement with PSP to ensure that services are supported during the period of implementation and post-implementation period.

The SI will provide for at least one resource from the PSP as a part of the implementation team for the entire duration of the implementation of the project.

Designated representative from SI and PSP shall be available for all Project Steering and operations committee meetings.

The SI will also provide one PSP certified resource as part of the Warranty and Post-Warranty Support and Facility management teams to ensure smooth running of these activities.

5. Eligibility Criteria

The SI can participate by proposing a solution of a PSP. The PSP can also participate directly, in which case it will become both, the SI and the PSP and therefore must meet the eligibility criteria of both the SI and PSP.

SYSTEM INTEGRATOR (SI):

- i. The SI must be a company incorporated in India and operating for the past 5 years. Copy of the “Letter of Incorporation” should be submitted.
- ii. The SI must have minimum annual turnover of Rs. 25.00 Crores for each of the last three (3) financial years as on March 31st, 2009 and should have been profitable in each of those 3 years. Certified / Audited Balance Sheets and P&L statements for last 3 years should be submitted in support of the turnover.
- iii. SI must have been in business of Software Implementation for Enterprise Application Integration Solutions at least for the last 2 years and support for Enterprise Application Integration Solutions for last 2 years as on Mar 31st, 2009.
- iv. The SI should have implemented the proposed EAI for at least 3 large customers (Annual turnover greater than Rs. 100 crores) which involved integrating at least 3 applications. At least one of these references must be on the proposed solution for a Bank in India.
- v. The SI should have SEI CMM Level 5 Certification
- vi. The SI should have a support centre in India.

PRINCIPAL SOLUTION PROVIDER (PSP)

- i. The PSP should have an annual turnover of Rs.50.00 Crores for the last three years as on March 31st 2009 and should be profitable for each of those three years. Certified / Audited Balance Sheets and P&L statements for last 3 years should be submitted in support of the turnover.
- ii. The PSP should have supplied the solution proposed to
At least two banks in India of which at least one Bank must have Finacle as Core Banking Solution
OR
At least five Commercial Banks out of which one Bank must have Finacle as Core Banking Solution or used ISO 8583 as the messaging standard for integrating with the Core Banking System
- iii. Should have adaptors readily available for at least four of the five Packaged Applications
 1. PeopleSoft
 2. SAP ECC 6.0 / SAP R/3
 3. J D Edwards
 4. Oracle e-Business Applications
 5. SWIFT
- iv. Should have a readily available adaptor for ISO 8583 and for any four of the following five Technologies.
 1. XML
 2. HTTPS
 3. SFTP
 4. SOAP - Web-Services
 5. Email (SMTP)

- v. Reference of at least one customer in the BFSI industry where the solution was implemented and the solution handling more than 10000 financial transactions per day.
- vi. PSP must have a support center in India.

SI and PSP should submit documentary proof in support of above mentioned criteria while submitting the proposal as mentioned in [Annexure C](#). Proposal of SI who do not fulfill the above criteria or who fail to submit adequate proof would be rejected ab-initio.

6. Earnest Money Deposit

The Earnest Money Deposit (EMD) for this project is Rs. 20.00 lakhs. The EMD can either be in the form of a demand draft / pay order favoring Union Bank of India, payable in Mumbai or by a Bank Guarantee from a scheduled commercial bank, valid for a period of 12 months from the Bid Submission Date. The format for the bank guarantee is provided in [Annexure N](#).

No interest will be payable on the EMD. The EMD, if submitted in the form of demand draft / pay order, of successful bidder shall be refunded after furnishing Performance Bank Guarantee from a scheduled commercial bank valid for the implementation phase and one year after go-live of Phase 4. The format of the Performance Bank Guarantee will be provided by the bank to the successful bidder and needs to be executed at the start of the project.

In case the EMD is in the form of a Bank Guarantee, the selected vendor has to replace the same with a Performance Bank Guarantee from a scheduled commercial bank valid for the implementation phase and one year after go-live of Phase 4. The format of the Performance Bank Guarantee will be provided by the bank to the successful bidder and needs to be executed at the start of the project.

EMD furnished by all unsuccessful bidders will be returned on the completion of the bid process.

EMD will be forfeited, if the bidder withdraws or amends, impairs or derogates from the bid in any respect within the period of validity of the bid. If the successful bidder fails to furnish the required performance security then the EMD furnished will be forfeited. The EMD will be forfeited if the selected SI refuses to accept assignment or having accepted the assignment, fails to carry out his obligations mentioned therein.

7. Cost of Application

The cost of the RFP is Rs. 15,000.00 payable by way of a demand draft / pay order favoring Union Bank of India, payable in Mumbai. The amount is non-refundable.

The RFP documents can be downloaded from UBI's Website and the cost of RFP should be deposited at the time of submitting the responses.

8. Work Criteria

The selected SI shall work from UBI premises at the below address:

Union Bank of India
Technology Centre,
Department of Information Technology,
Shri Adi Shankaracharya Marg,
Opp. Powai Lake, Powai,
Mumbai – 400 072

UBI may change the location to another location in Mumbai. UBI shall provide the workspace for the number of people whom the SI shall designate for this project.

The SI is required to mention, as part of the response to this RFP, the total number of workstations required and any additional requirements that they might have in terms of Networking requirements, bank personnel time, etc. for each phase individually.

No other portable media / storage devices such as USB drive, hard disks, etc. shall be permitted in the work area. The SI shall not carry in part or whole any customer data belonging to UBI out of the UBI premises.

9. Technical Requirements

9.1. Enterprise Application Integration Solution - Features and Functionality

UBI expects the SI/PSP to propose an Enterprise Application Integration Solution for this work. Below are the processes against which the proposed tool will be evaluated:

- Seamless integration between Banking Application like Treasury, Credit Appraisal & Monitoring System to Core Banking Finacle Application for Banking System and central payment systems such as RTGS, NEFT, etc.

Sr. No	Process Name	Source Application	Target Application
1.	Clearing Cheques Processing	Cash Management System at individual Branches	Finacle
2.	E-collection	Cash Management System at individual Branches	Finacle
3.	Cheque Return	Finacle	Cash Management System at individual Branches
4.	Integration with Customer's ERP	ERP Systems of UBI Customers	Finacle
5.	B2B Invoice Processing for Customers	Bank's B2B Portal	Finacle
6.	MIS Reporting to Customers / Correspondent Banks	Finacle	Correspondent Banks
7.	Finacle to Swift Transactions - Outward Remittances / LC Advices / Payment Advices / etc. Messages	Finacle	SWIFT

Sr. No	Process Name	Source Application	Target Application
	like MT 100, 200, 700		
8.	Swift to Finacle Transactions - Inward Remittances / LC Advices / etc.	SWIFT	Finacle
9.	ECS	ECS	Finacle
10.	Invoice Processing for Customers	Channel Finance Server	Finacle
11.	E-remittance	E Remit	Finacle
12.	Credit Card	Finacle	Credit Card System
13.	Salary information	Union Parivar (PeopleSoft)	Finacle
14.	Tax and TDS	Union Parivar (PeopleSoft)	Taxprint for eTDS / Form 16 generation
15.	Loan against PF	Union Parivar (PeopleSoft)	Finacle
16.	Remittances	Union Parivar (PeopleSoft)	Finacle
17.	Pension	Union Parivar - Pension	Finacle
18.	Employee Status Updation	Union Parivar (PeopleSoft)	Finacle
19.	Incentive Calculation	Lead Management System	Union Parivar (PeopleSoft)
20.	FCNR (B) Account Operations	Kastle	Finacle
21.	Nostro Account Reconciliation between Kastle and SWIFT and for Hong Kong Branch.	SWIFT	Kastle

Sr. No	Process Name	Source Application	Target Application
	Messages such as MT950/ MT940		
22.	Reconciliation of Nostro Accounts	Kastle, SWIFT, Finacle, Nostro Accounts	Kastle, SWIFT, Finacle, Nostro Accounts
23.	Reporting for Deals below USD 1 Lakh	RET-AD	Kastle
24.	RBI Returns - NRD- CS & IBS	RBI Package	Finacle
25.	FCS Settlement Accounts	Finacle	Kastle
26.	NEFT/RTGS uploading by Vostro Branch	Finacle	NEFT / RTGS
27.	Auto conversion of MT 103 into e-remittances file	SWIFT	NEFT / RTGS
28.	SFMS Messages	SFMS	Finacle
29.	Cheque Truncation System	CTS	Finacle
30.	Lending Automation System	LAS	Finacle
31.	Finacle to LAS	Finacle	LAS
32.	Tax Application	OLTAS	Finacle
33.	Allocation of cost, TPM voucher posting	MFTP	Finacle
34.	Lien Marking and Transaction Posting	DEMAT	Finacle
35.	Transaction Posting	SFMS	Finacle
36.	Lien Marking and	ASBA	Finacle

Sr. No	Process Name	Source Application	Target Application
	Transaction Posting		
37.	Lien Marking and Transaction Posting	TM Religare	Finacle
38.	Lien Marking and Transaction Posting	IDBI	Finacle
39.	Lien Marking and Transaction Posting	ShareKhan	Finacle

The system should support the following protocols / formats (but not limited to)

- i. ISO 8583
- ii. TCP / IP
- iii. UDP
- iv. DHCP
- v. HTTP / HTTPS
- vi. FTP / FTPS
- vii. Telnet
- viii. SSH
- ix. POP3
- x. SMTP
- xi. IMAP
- xii. SOAP
- xiii. PPP
- xiv. PPTP
- xv. JMS
- xvi. X.25

The system should support the following standards (but not limited to).

- i. WSDL
- ii. BPEL

iii. XML

The system should support the following architectures (but not limited to)

- i. SNA
- ii. SOA

The system should have the following tools inbuilt (but not limited to)

- i. Business Process Modeling Tool
- ii. J2EE Support
- iii. .NET Support
- iv. Adapter Development Tool
- v. Data Mapping / Transformation Tool
- vi. Functional Library
- vii. Workflow Engine
- viii. Data Quality / Cleansing Tool
- ix. Activity Monitoring Dashboard

The system should have the following inbuilt adaptors (but not limited to)

- i. Peoplesoft
- ii. SAP ECC 6.0 / SAP R/3
- iii. J D Edwards
- iv. Oracle e-Business Applications
- v. SWIFT

9.2. Message Integrity

- There should be no unauthorized manipulation of messages. However, if UBI needs, it should be able to alter the messages
- There should be no loss of messages/transactions under any circumstance
- The same message shouldn't get transmitted more than once on a successful transmission

9.3. Security

UBI needs to control the data accessibility and commands that can be executed by a user in the EAI according to their status and privileges. All access needs to be provided after personal identification and authentication only. The system rights will be defined as per the role hierarchy within UBI. Access to the system must be through secure passwords only. Logging of users accessing the system and monitoring of online activity needs to be provided as part of the solution. UBI would like to maintain audit trails for data accessed, addition, deletion and correction made by the users. The distinct user id for the person initiating the transaction must be carried forward and stored in the target application.

The solution should be able to record and pass on the source IP address of the machines to the destination wherever required. The system should also authenticate the user both at the source application as well as at the target application.

All the administrator logins to the system should be through a two factor authentication since UBI is using a 2 factor authentication for its internal users.

9.4. Hardware Requirements

SI is required to provide for the detailed configuration of the proposed Development, Test, Disaster Recovery and Production server environments as per the requirements mentioned.

The recommendations for the hardware should consider the following:

1. The recommended hardware should be industry standard and have high reliability, fault tolerance, redundancy and high availability
2. Clustering of the application and database servers where required
3. The recommended hardware and software should support the EAI requirements for a period of 5 years post the acceptance of the solution in each phase
4. The customer accounts are expected to grow at 20% every year

5. The transactions are expected to grow at the rate of 30% every year

* In case there is loss of messages/ transactions owing to peak load system crashes more than twice a month, the SI will provide one man-month of EAI support to UBI free of charge as penalty.

Please provide the details of the hardware requirements for the proposed solution in [Annexure G](#) – Hardware and Network Recommendations

9.5. Network Requirements

Please provide the details of the network requirements for the proposed solution in [Annexure G](#) – Hardware and Network Recommendations

9.6. Disaster Recovery

The solution provided by SI must support Disaster Recovery plans as follows:

1. Allow fail over to a Hot Site
2. Provide architecture and design for Disaster Recovery
3. Disaster Recovery design to support that “No messages are lost”
4. SI must detail out any licensing information related to Disaster Recovery design

9.7. Warranty / Post-Warranty Services

The SI must support the solution implemented under the contract for the Enterprise Application Integration Solution under the warranty support for a period of one year post the UAT Sign-off and go-live of Phase 4 of the Project. The post warranty AMC period will be for 4 years after the warranty period is over.

The services offered as part of the warranty and post-warranty support must be in conformance with the specifications supplied in the Technical Specification. During this period, the SI will be responsible for the patching / bug fixing / replacement / support of all software supplied under this tender.

The SI has to ensure the following:

1. Provide proper documentation that confirms 24x7x365 on-site support for the solution provided. A suitable Helpdesk and Service Centre must be established to ensure high level of service. UBI will provide necessary office accommodation for this Help-Desk.
2. Undertake immediate bug fix actions in the event of software failure causing an interruption of operation of the Host Centre and/or Branch systems as per the response / resolution times defined in Table A. During the event of any failure (software /hardware /network /etc), the solution should continue to function seamlessly and no messages should be lost.
3. Notify about all the detected software errors and correct them in the shortest possible time.
4. The SI will be responsible for notification of new versions / releases of the EAI software and supervise their implementation in mutually agreed deadlines.
5. Enter into the obligation that in the event PSP releases a new version of software, and UBI is using one of the previous versions, PSP would provide the full scope of services to the version used by UBI for the period of at least 5 years from the go-live date.
6. Service records must be maintained at the Helpdesk for software warranty support. In addition, calls to the Helpdesk must be tracked including the disposition and subsequent resolution of problem. These records are to be reviewed monthly with the Bank.
7. The software service must be conducted in a manner not compromising the security and integrity of Bank's data and not compromising the quality of operation of UBI, particularly the services rendered to customers.
8. Support the Bank in integrating any new applications using the EAI Solution
9. Conduct DR drills in conjunction with the Bank.

Table A: Service Response & Resolution Time

Issue Classification	Warranty Period		Post-Warranty Period	
	Response Time	Resolution Time	Response Time	Resolution Time
Severity 1	0.5 hours	4 hours	0.5 hours	4 hours
Severity 2	1 hour	6 hours	1 hour	6 hours
Severity 3	2 hours	12 hours	2 hours	12 hours

*A penalty of Rs. 10000 shall be charged per hour for non-conformance with the aforementioned table

Severity 1: Any issue which results in either loss of transactions or message delivery failure to the target system or hinders the normal functioning of UBI

Severity 2: Any issue which results in the messages delivery failure but there is an immediate work around available or any issue resulting in an impact on the performance of the system.

Severity 3: Any bug or issue which does not impact message transfer.

9.8. Onsite Support

The SI will provide onsite support for the solution during the entire period of the project including warranty and post warranty periods starting from go-live. The services to be provided are as follows:

- 2 engineers will be deployed during the business hours and one engineer during non-business hours
- The scope for the on-site engineers will include configuration changes, version upgradations (EAI and source and target applications), performance monitoring, trouble shooting, patch installation, database tuning, and liaison with PSP for various support issues, taking periodic backup of the database, etc.
- Providing UBI with daily hardware utilization reports and alerting UBI in case of any performance issues or hardware upgradation requirements

Note: The threshold will be mutually defined at the time of the requirements gathering phase.

- Routing the transactions through the backup system in case the primary system fails
- Switching to the DR site in case of system failure
- Support for integrating any applications that need to be interfaced with the EAI in future

The Service Response and Resolution time for the onsite support services are as per Table A.

9.9. Data Governance

Please provide the framework to be adopted for managing the quality, consistency, reliability, usability, security and availability of the solution as a part of [Annexure H](#).

9.10. Training

Please provide the below mentioned details as part of [Annexure H](#) – Training Details

1. The SI should provide training to personnel identified by UBI on functional, operational and administrative aspects of Enterprise Application Integration solution
2. The SI should provide the following trainings:
 - a. End - User Training
 - b. System Administration Training
 - c. Version upgrade Trainings
 - d. Project Implementation Trainings
3. The training program has to be provided to 50 officers of UBI in at least 2 batches not exceeding 25 officers each
4. Training should include training aids such as online tutorials, manuals, etc
5. The SI should provide detailed training plan for this purpose as part of the deliverables
6. The SI will also provide training material for an on-line training course which can be undertaken by employees as an e-learning program.

9.11. Documentation

The following minimum documentation (hard copy and soft copy) on any proposed software components must be made available in English:

1. General functional description
2. Set up and installation guide
3. User guide including:
 - a. Screen layouts
 - b. Report layouts
 - c. Transaction processing rules
 - d. Operation authorization descriptions
 - e. Error correction procedure descriptions
4. Error tracking and defect resolution documentation process
5. System administrator guide including:
 - a. Data base administration guide
 - b. Data backup guide
 - c. System security and access guide
 - d. System audit trail guide
 - e. Glossary of terms
 - f. Necessary training for version upgrades / system maintenance
 - g. Changes in usage of the system in case of major upgrades

10. Bid Guidelines

10.1. Response to RFP

Two Part Offer

SI should submit their offer in two parts, the Technical Offer (TO) and the Indicative Commercial Offer (ICO). Both the offers must be submitted at the same time but in two separate sealed covers super scribing “TECHNICAL BID FOR EAI” on the top of the cover of TO and “INDICATIVE COMMERCIAL BID FOR EAI” on the top of the cover of the ICO. Both, the TO and ICO, must be submitted in SEPARATE SEALED COVERS.

The SI should also submit the soft copy of the complete technical bid in MS-Word 2007 format on a CD, super scribing "SOFT COPY OF TECHNICAL BID FOR EAI" along with the technical bid. The SI must not furnish the softcopy of the price bid. In case of any discrepancy between the soft copy and the hard copy of the technical bid the latter would be treated as the authorized version.

Interested SI may submit sealed and complete offers as per the prescribed format by hand delivery or at the drop box located at

UNION BANK OF INDIA,
Department of Information Technology,
1/1A, Technology Center, Adi Shankaracharya Marg,
Opp. Powai Lake, Powai, Andheri (East),
Mumbai – 400 072.

on or before 5.00 p.m. on 05.01.2010 . UBI will not entertain the bids, which are received after the above-mentioned date and time. Bids sent through post / courier will not be entertained.

The Bids should be addressed to
GENERAL MANAGER,
UNION BANK OF INDIA,
Department of Information Technology,
1/1A, Technology Center, Adi Shankaracharya Marg,
Opp. Powai Lake, Powai, Andheri (East),
Mumbai – 400 072.

The TO and ICO must be accompanied by the Earnest Money Deposit and RFP document fees, if not already paid, as specified in [Section 6](#) and [Section 7](#) respectively.

An authorized representative of the SI must sign the proposals submitted to UBI. Proposals must also indicate the respective individuals authorized to answer and commit on behalf of the SI with respect to proposal clarifications and negotiations. All pages of the proposal should have the SIs stamp and initials of the authorized representative.

Neither the transmission of the RFP to a prospective SI nor acceptance of a reply shall imply any obligation or commitment on the part of UBI.

Documentary proof must be submitted for all the claims made by the SI / PSP.

UBI reserves the right to accept / reject any or all offers submitted in response to this RFP without assigning any reason whatsoever.

The TO will be opened at 17.05 hours IST on 05.01.2010 at the above address. The representatives of the SIs are requested to be present for the opening of the technical offers. No separate intimation will be given in this regard to the SIs.

A pre-bid meeting will be held on 18.12.2009 at 15.00 hours IST at the below mentioned address

UNION BANK OF INDIA,
Department of Information Technology,
1/1A, Technology Center, Adi Shankaracharya Marg,
Opp. Powai Lake, Powai, Andheri (East),
Mumbai – 400 072.

10.1.1. Technical Offer (Envelope A)

The TO should be complete in all respects and contains all information asked for in this document. It should not contain any price information. However, the TO should confirm that all required rates have been quoted in ICO, without showing the actual amounts.

It is mandatory to submit all the details in the prescribed formats duly filled in, along with the offer.

UBI, at its discretion, may not evaluate a TO in case of non-submission or partial submission of technical details. The TO must be submitted in an organized and structured manner. No brochures, leaflets, etc. should be submitted in loose form.

The TO should comprise of following:

1. Covering letter ([Annexure A](#))
2. SI Profile ([Annexure B](#))
3. Supporting Documents for Eligibility Criteria ([Annexure C](#))
4. References ([Annexure D](#)) duly filled in with photocopies of required certificates / documents / proof should be attached.
5. Supporting Documents for Evaluation Criteria ([Annexure E](#))
6. Form of Self Affidavit / Declaration ([Annexure F](#))

7. Hardware and Network Recommendations ([Annexure G](#))
8. Enterprise Application Integration Solution Product and Solution Details ([Annexure H](#))
9. Response to Integration Requirements ([Annexure I](#))
10. Detailed methodologies / processes to be followed for the Enterprise Application Integration solution ([Annexure J](#))
11. Comprehensive Project Plan and Schedules ([Annexure K](#))
12. Team composition and task assignment for the proposed assignment ([Annexure L](#)). Use resume format as specified in [Annexure O](#)
13. Format of Commercial Offer duly filled in without the pricing information ([Annexure M-1](#))
14. Resume Format ([Annexure O](#))

10.1.2. Commercial Offer (Envelope B)

The complete price schedule should be submitted only in the Commercial Bid.

- The price schedule should be furnished in the format as per [Annexure M-2](#). SI should submit the prices strictly as per the price bid format provided by UBI without making any changes/alterations to the same. SI should submit only one Price bid and should not submit conditional/alternative bids
- Bids submitted in violation of these clauses are liable for summary rejection
- Price must be quoted in Indian Rupees only
- The price bid should contain the complete cost of the solution, implementation as per the RFP. The total price quoted must be inclusive of cost of providing services for installation, testing and commissioning of the Solution and, post implementation on-site support and AMC / ATS for one year and participation of the PSP's subject matter expert as part of the Project until the end of the implementation
- Though AMC / ATS is for one year for TCO purpose, the rates thus finalized will be frozen for a further period of three years
- Post Implementation onsite support facility for a period of one year for TCO purpose. The rates thus finalized will be frozen for a period of four years

- The price schedule must contain the basic price and all applicable taxes, duties, levies, charges, etc. separately as per [Annexure M-2](#).
- All prices should be itemized. Unit prices should be given for every item / services offered. The bid price will represent the Total Cost of Ownership for all the items except optional items if any.

The ICO should contain the following documents:

10.1.2.1.Covering Letter ([Annexure A](#))

10.1.2.2.The complete price schedule should be submitted only in the Commercial Offer as per [Annexure M-2](#).

Please Note: Do not change the format of the Commercial Offer.

10.2. RFP Clarifications

Queries / clarifications will not be entertained over the phone. All queries and clarifications must be sought in writing or sent to the email-IDs:

ajit@unionbankofindia.com, pravinsharma@unionbankofindia.com not later than 22.12.2009 1500 hours.

SI is requested to collate and submit queries together to seek clarifications / responses from UBI. The SI should ensure that all the queries and clarifications are communicated in writing on or before 22.12.2009 1500 hours. SI is requested to indicate only one e-mail ID, to which the clarifications and other communications can be sent.

10.3. Amendment to RFP

At any time prior to the opening of the technical bids, UBI may, for any reason, either suo moto or arising out of queries of the SIs, amend the RFP document.

UBI may amend any of the RFP terms, which would be communicated / indicated on the website and newspaper. The amendment so carried out will be binding on

all the SIs. It will be assumed that amendments contained in such addendums have been taken into consideration by the SIs in their offers.

At any time prior to the opening of the commercial bids, UBI may seek resubmission of the proposals as per UBI's requirements. In such case, the SI should resubmit the proposals as per UBI's requirements and such resubmitted proposals should remain valid for a period of not less than 180 days from date of the resubmission. The SI should also submit an extension letter of UBI Guarantee which was submitted in lieu of the EMD to be valid for 12 months from the date of resubmission.

10.4. Price Composition

The Charges / Fees quoted should be in Indian rupees only. The Charges / Fees should be quoted on a fixed price basis and should not be linked to the Foreign Exchange rates. Travel and other expenses must be considered to be a part of the Charges / Fees quotes.

Prices shall be inclusive of all costs to be charged. Taxes, duty, service taxes, Govt charges or any hidden cost should be mentioned specifically. During the offer validity and subsequent contract period, the SI will absorb any upward revision of prices, custom, taxes (excluding service tax), Govt. duties and pass on the benefit to UBI in case of downward revision of Govt. taxes, levies, etc. ATS charges and other maintenance expenses as applicable should also be mentioned in the offer. For ATS, any upward / downward change in Service Tax will be to the account of Bank. Octroi / Road tax, if any will be paid extra as per the actuals. The total price should include all the components mentioned in the Commercial Offer as mentioned in [Annexure M-2](#).

The price quoted should be inclusive of following:

1. Cost of the software, etc

2. Cost of the Environmental Software licences required for the EAI must be provided as part of the overall cost
3. Installation, Commissioning & Implementation charges
4. One year comprehensive warranty maintenance (including applying of patches and upgrades for all software components) at site covering all parts, service, visits to the concerned office(s)
5. Transportation and Forwarding charges to the site
6. Insurance to cover equipment from transit period till installation of equipment
7. All applicable taxes, duties and levies excepting Octroi
8. Post warranty annual technical support charges per year: For TCO purpose SI should include 1 year ATS charges only. The price thus fixed will be valid for a further period of 3 years
9. Post Implementation on site support charges: For TCO purpose SI should include 1 year onsite support charges only. The price thus fixed will be valid for a further period of 4 years
10. Charges for PSP on site support during implementation of the solution must be clearly mentioned as a separate line item

10.5. Alterations or Erasures

The original offer (TO and ICO) shall be prepared in indelible ink.

Technical details must be completely filled up. All the hand-written details in the offer must be initialed by the persons or person who sign(s) the proposals.

Correct technical information of the product being offered must be clearly filled in. Filling up of the forms using terms such as “OK”, “accepted”, “noted”, “as given in brochure / manual” are not acceptable to UBI.

All details must be completely filled up. The corrections or alterations, if any should be authenticated. In case the corrections / alterations are not properly authenticated, the offer will be rejected.

10.6. Offer Validity Period

The SI should keep the bid valid for 180 days from the last date of submission of bids to enable evaluation, approval and other procurement activities. The response should clearly state the time period of bid and its explicit date of expiry as given in Annexure A.

10.7. Opening of Offers

The TOs will be opened on 05.01.2010 at 5.05 pm IST. One representative of the SI can be present for the opening of the TOs. No separate communication will be sent to the SI for this purpose.

10.8. Basis of Evaluation

Completeness of the proposal, conformity with the RFP terms and conditions, the proposed systems meeting the technical specifications, etc., will form basis for the evaluation of technical proposals, as per the details mentioned in the evaluation matrix under [Section 9.10](#). The ICOs of only the short-listed SIs would be opened. The SI will be short-listed on the basis of evaluation of the technical proposals, presentation made before the evaluation committee, reference visits, etc.

The total price for the system as mentioned in the ICO of the L-1 SI will form the base price for reverse auction.

The final decision on the SI will be taken by UBI. The services will commence upon successful negotiation of a contract between UBI and the selected SI. UBI reserves the right to reject any or all proposals.

Similarly, it reserves the right not to include any bid in the final short-list.

10.9. Evaluation Process

The TO submitted by the SI will be evaluated only if they fulfill the eligibility criteria as defined in [Section 5](#). The evaluation process for short listing of SIs will be based on the evaluation matrix provided under [Annexure E](#). Reference checks would be conducted by UBI either by contacting the client or by a documented proof signed by the client.

All SIs who obtain a minimum of 75% marks or more will be considered for opening of the ICOs. The decision of UBI in this regard shall be final.

UBI reserves the right to modify the Eligibility Criteria or the minimum threshold required for the Evaluation Criteria at any point during the course of the RFP Process.

Technical evaluation team of UBI and / or consultants authorized by UBI will scrutinize the bidders responses including eligibility criteria and the technical responses of those SIs meeting the eligibility criteria only will be considered for further technical evaluation based on the parameters defined in [Section 10.10 Evaluation Matrix](#).

10.10.Evaluation Matrix

Sr. No.	Criteria Description	Rules of Rewarding Marks	Maximum Marks
1.	Functional Requirements - The marks will be based on the proposed solution meeting the functional requirements as specified in Annexure I. The maximum marks that can be obtained are 156 which will be prorated to 150 for the purpose of this evaluation.		150

Sr. No.	Criteria Description	Rules of Rewarding Marks	Maximum Marks
2.	Technical Requirement - The marks will be based on the proposed software meeting the technical requirements as specified in Annexure H - Product Details; Product features. Each technical requirement carries marks as specified in the Annexure H. The final marks will be allotted only based on the Bank's reference visit and demonstration of the product during the Technical Presentation.		250
3.	Implementation Experience - SI		140
3.1	Number of consecutive years the SI has provided Enterprise Application Integration solution services	5 marks for every additional year more than 2 years	15
3.2	References where SI has implemented the proposed Enterprise Application Integration solution in Banks.	More than 5	20
		5 Clients	15
		4 Clients	10
		3 Clients	7
		2 Clients	5
		One Clients	3
		2 additional marks will be awarded for every implementation India (Max of 10 marks to be assigned).	
3.3	References where SI has implemented an Enterprise Application Integration solution integrating with Finacle as the CBS.	More than 5	20
		5 Clients	15
		4 Clients	10
		3 Clients	7
		2 Clients	5
		One Clients	3
		2 additional marks will be awarded for every implementation India (Max of 10 marks to be assigned).	
3.4	References where SI has implemented the proposed	More than 4	35
			50

Sr. No.	Criteria Description	Rules of Rewarding Marks	Maximum Marks												
	Enterprise Application Integration software having integrated at least 5 systems and one of which must be Financial Transaction System.	<table><tr><td>4 Clients</td><td>30</td></tr><tr><td>3 Clients</td><td>25</td></tr><tr><td>2 Clients</td><td>20</td></tr><tr><td>One Clients</td><td>15</td></tr><tr><td colspan="2">3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).</td></tr></table>	4 Clients	30	3 Clients	25	2 Clients	20	One Clients	15	3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).				
4 Clients	30														
3 Clients	25														
2 Clients	20														
One Clients	15														
3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).															
3.5	Number of Banks under SI's post implementation support for EAI being provided for the last 2 years	<table><tr><td>More than 3</td><td>10</td></tr><tr><td>3 Clients</td><td>7</td></tr><tr><td>2 Clients</td><td>5</td></tr><tr><td>One Clients</td><td>2</td></tr><tr><td colspan="2">2 additional marks will be awarded for every implementation in India (Max of 5 marks to be assigned).</td></tr></table>	More than 3	10	3 Clients	7	2 Clients	5	One Clients	2	2 additional marks will be awarded for every implementation in India (Max of 5 marks to be assigned).		15		
More than 3	10														
3 Clients	7														
2 Clients	5														
One Clients	2														
2 additional marks will be awarded for every implementation in India (Max of 5 marks to be assigned).															
4.	Implementation Experience - PSP		95												
4.1	Number of consecutive years the PSP has provided Enterprise Application Integration Solution services	5 mark for every additional year more than 3 years	15												
4.2	References where PSP's EAI has been implemented in a Bank.	<table><tr><td>More than 5</td><td>25</td></tr><tr><td>5 Clients</td><td>20</td></tr><tr><td>4 Clients</td><td>15</td></tr><tr><td>3 Clients</td><td>10</td></tr><tr><td>2 Clients</td><td>5</td></tr><tr><td colspan="2">3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).</td></tr></table>	More than 5	25	5 Clients	20	4 Clients	15	3 Clients	10	2 Clients	5	3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).		40
More than 5	25														
5 Clients	20														
4 Clients	15														
3 Clients	10														
2 Clients	5														
3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).															
4.3	References where PSP's EAI	More than 5 25	40												

Sr. No.	Criteria Description	Rules of Rewarding Marks	Maximum Marks
	proposed solution has been implemented to integrate with Finacle as the CBS.	5 Clients20	
		4 Clients15	
		3 Clients10	
		2 Clients5	
		One Clients3	
		3 additional marks will be awarded for every implementation India (Max of 15 marks to be assigned).	
5	SI Resources		40
5.1	Number of Implementation experts & Consultants available in India with the SI having more than 2 years of experience in the proposed EAI	31 or more40	40
		26 – 3030	
		21 - 2520	
		16 – 2010	
		11 - 155	
6	Commercial Strength & viability of the SI		80
6.1	Business Turnover of the SI for the last three years (Number of years to calculate the average will be taken as per the actual number of years in business)	Rs.251cr or more80	80
		Rs.201cr to Rs.250cr70	
		Rs.151cr to Rs.200cr60	
		Rs.101cr to Rs.150cr50	
		Rs.51cr to Rs. 100cr40	
		Rs.25cr to Rs.50cr30	
7	Visit to reference site	This section will be based on the visit by Bank Officials to Reference site. Technical Committee comprising of Bank Officials not exceeding 5 members will visit one of the reference sites where the proposed solution (offered to Union Bank of India) has been implemented by SI. The marks will be based on the feedback received on the application, implementation and maintenance during the visit.	100

Sr. No.	Criteria Description	Rules of Rewarding Marks	Maximum Marks
8	Responses from Reference sites provided by the SI (at least one site should be a location where the SI is providing Support and Maintenance service)	The marks will be based on the feedback received from two reference sites, on implementation adhering to time schedule, meeting the functional requirements and post implementation support in those Banks as specified in the below mentioned matrix. Bank will request feedback through mail from these 2 reference sites. The average of both the feedback on different parameters will be taken for technical evaluation. If one of UBIs which is given as reference site does not respond, the values for the parameters requested in the feedback will be taken as ZERO.	45
8.1	Adhering to the implementation time lines fixed by Customer	Implemented in time 15	15
		Implemented with permissible delay 8	
		Implemented with Delay 3	
8.2	Application meeting the functional requirements of the Bank	Fully met 15	15
		Partial 8	
		Minimal 3	
8.3	Post Implementation Support	Excellent 15	15
		Good 8	
		Satisfactory 3	
		Poor 0	
9	Presentation and evaluation by internal committee	Marks will be assigned by an internal committee based on the methodology, work plan, team composition, solution architecture and integration plan for all the individual components	100
Total			1000

10.11.Milestones of the Project

The SI is expected to implement the project in the following milestones:

Phase	Process Grouping	Duration
Phase 1	Treasury / HRMS	2 months
Phase 2	SWIFT / Remittances / Cash Management / CTS	1.5 months
Phase 3	Channel finance / Credit Card / Loan Processing / Tax Payment Systems	1.5 months
Phase 4	ALM / MFTP / DMAT / Lien Marking / ASBA / Online Trading Packages	1.5 months

*Assuming Day 0 is the date of the letter confirming the handover of the hardware by UBI

The expected timeframe for completing the project milestones is targeted to be 6.5 months from the date the SI receives letter confirming the handover of the hardware by UBI.

10.12.Payment Terms

No advance payment will be made along with the Purchase order. Payment will be made on the following basis:

Sr. No.	Milestone Reached	Payment (% of Total Cost of Ownership excluding the cost of Support Services)
1	Software Installation	20
2	10% on completion and sign off on UAT of each phase as defined in Section 3.3 Phases of the Project	40
3	Completion and sign off of UAT and go live of phase 4	10
4	To be paid 3 months after the UAT and go live of phase 4	10
5	To be paid 6 months after the UAT and go live of phase 4	10
6	To be paid 1 year after the UAT and go live of phase 4	10
Post-warranty	Warranty and Post Warranty AMC and on-site support costs will be paid in arrears. For advance payment. The SI needs to furnish a performance bank guarantee valid for a period of 12 months for the same amount.	

10.13.Reverse Auction

For finalization of the most competitive offer, the Bank will conduct 'Reverse Auction'. The detailed procedure and Business rules for the Reverse Auction are given as per [Annexure P](#) and are also available on Bank's website. The technically qualified vendors will participate in the Reverse Auction process that will be conducted by an Auction company authorized by Bank.

Specific rules for this particular event viz., date and time, start price, bid decrement value, duration of event etc. shall be informed by the Auction Company to the participating vendors before the event. The vendors should furnish indicative prices in their Indicative Commercial Offer to facilitate finalizing the start bid for 'Reverse Auction' under E-Procurement process.

The lowest Indicative Commercial Offer (total cost) will be taken as the starting bid of the reverse auction and not for deciding the L-1 status. Vendors should note that the Indicative Commercial Offer is considered for the purpose of conducting 'Reverse Auction' process only. The L-1 SI will be decided only later, on finalization of prices through Reverse Auction. The L-1 SI emerging at the end of the Reverse Auction process shall be required to submit the break-up of his Final price (last bid price) again in [Annexure M-2](#).

Failure or refusal to offer the services / goods at the price committed through Reverse Auction shall result in forfeit of the EMD to Bank.

The final decision on the SI will be taken by Union Bank of India. The consultancy services will commence upon successful negotiation of a contract between Union Bank and the selected L-1 SI. Union Bank reserves the right to reject any or all proposals. Similarly, it reserves the right not to include any SI in the final short-list.

10.14.Right to Alter Quantities

UBI reserves the rights to alter quantities, revise / modify all or any of the specifications, delete some items specified in this offer, when finalizing its requirements.

10.15.No Commitment to Accept Lowest or Any Tender

UBI shall be under no obligation to accept the lowest or any other offer received in response to this tender notice and shall be entitled to reject any or all tenders without assigning any reason whatsoever.

10.16.RFP Ownership

The RFP and all supporting documentation are the sole property of UBI and should NOT be redistributed without prior written consent of UBI. Violation of this would be a breach of trust and may, inter-alia cause the SIs to be irrevocably disqualified.

The aforementioned material must be returned to UBI when submitting the proposal, or upon request. However, SIs can retain one copy for reference.

10.17.Proposal Ownership

All proposals and materials submitted in response to this request shall become the sole and absolute property of UBI and will not be returned. Selection or rejection of a proposal does not affect this right.

The proposal and documentation may be retained, returned or destroyed as UBI decides.

10.18.Confidentiality

This document contains information confidential and proprietary to UBI. Additionally, the SI / PSP will be exposed by virtue of the contracted activities to the internal business information of UBI. Disclosures of receipt of this RFP or any part of the aforementioned information to parties not directly involved in providing the services requested could result in the disqualification of the SIs, premature termination of the contract, and / or legal action against the SIs for breach of trust.

Selected SI / PSP will have to sign a legal non-disclosure agreement with UBI before starting the project.

10.19. Governing Law and Disputes

The Bid and the subsequent Contract with the selected Bidder shall be governed in accordance with the Laws of India and will be subject to the exclusive jurisdiction of Courts in Mumbai.

10.20. Language of the Bid

The language of the bid response and any communication with UBI must be in written English only. Supporting documents provided with the RFP response can be in another language so long as it is accompanied by an attested translation in English, in which case for purposes of evaluation of the bids, the English translation will govern.

10.21. Price Freezing

The price finalized shall remain frozen / valid for a minimum period of 6 years from the date of the purchase order.

10.22. Order Cancellation

- i. If the SI fails to complete the assignment as per the time lines prescribed in the RFP and the extensions if any allowed, it will be a breach of contract.
- ii. UBI reserves its right to cancel the order in the event of delay and forfeit the earnest money deposit as liquidated damages for the delay in the event of one or more of the following conditions:
 - a. Delay in delivery beyond the time specified in the purchase order
 - b. Delay in installation & commissioning beyond two weeks after delivery

10.23. Force Majeure Clause

There shall be no liability or responsibility, on the part of both UBI and the SI for consequences arising out of interruption of the business due to acts of God, riots,

civil commotion, insurrections, wars or any other causes beyond their control or by any strikes or lock outs.

Any such interruption due to Force Majeure should be informed by the SI to UBI in writing within two days of such event.

10.24.Liquidated Damages

1. If the SI fails to deliver any or all of the Service(s) / Systems or perform the Services within the time period(s) specified in the Contract / Agreement, UBI shall, without prejudice to its other rights and remedies under and in accordance with the Contract / Agreement, deduct from the Contract price, as liquidated damages, a sum equivalent to 0.5% of Contract price per week or part thereof, subject to maximum deduction of 10% of the order value for the delayed Service(s) or unperformed Service(s). In case of undue delay beyond a period of 15 days unless otherwise waived by the UBI, UBI may consider termination of the Contract.
2. If the SI fails to complete the entire work before the scheduled completion date or the extended date or if the SI repudiates the Contract before completion of the Services, UBI may without prejudice to any other right or remedy available to UBI as under the Contract recover from the SI, as ascertained and agreed liquidated damages and not by way of penalty.
3. The Bank may recover from the SI, a sum equivalent to 0.5 % of “the total Contract price excluding AMC / ATS charges” for delay in completion of the Service(s) for each week of delay beyond the scheduled completion date or part thereof, subject to a maximum of 10% of the total contract price excluding AMC / ATS charges, even though UBI may accept delay in completion after the expiry of the scheduled completion date. For the purpose of liquidated damages scheduled completion date will be taken as date of issuance of acceptance certificate / commissioning.
4. UBI reserves the right to recover by any other method, deduct the amount of liquidated damages from any money belonging to the SI in its hands (which

includes UBI's right to claim such amount against SI's Performance Bank Guarantee) or which may become due to the SI. Any such recovery or liquidated damages shall not in any way relieve the SI from any of its obligations to complete the works / service(s) or from any other obligations and liabilities under the Contract/Agreement. Bank reserves the right to condone the delay, if it is not attributable to the SI.

10.25.Resolution of Disputes

All disputes and differences of any kind, whatsoever, between the Supplier and the Bank, arising out of or in relation to the construction, meaning, operation or effect of the Contract, shall be settled amicably by the Steering Committee. If after thirty days from the commencement of such informal negotiations, Union Bank of India and the Bidder are unable to resolve amicably a contract dispute; either party may require that the dispute be referred for resolution by formal arbitration.

All questions, disputes or differences arising under and out of, or in connection with the contract, shall be referred to two Arbitrators: one Arbitrator to be nominated by the Bank and the other to be nominated by the SI/PSP. In the case of the said Arbitrators not agreeing, then the matter will be referred to an umpire to be appointed by the Arbitrators in writing before proceeding with the reference. The award of the Arbitrators, and in the event of their not agreeing, the award of the Umpire appointed by them shall be final and binding on the parties. The arbitration and conciliation act 1996 shall apply to the arbitration proceedings and the venue for arbitration shall be at Mumbai, India. In case the SI would like to exit the project, the same shall be taken up by the Arbitration process.

Terms and Conditions of the Contract

Definitions

In the Contract, the following terms shall have the following meanings and shall be interpreted accordingly:

- a. "Union Bank of India" or "The Purchaser" or "UBI" or "UBI" means Union Bank of India.
- b. "The Contract" means the agreement to be entered into between Union Bank of India and the Bidder as recorded in the contract form duly signed by the Parties, including all annexure, schedules, exhibits, supplements, appendices, amendments, revisions, notations and modifications thereof to provide / carry out the Services of SI, supply and implementation of customized software and as indicated / spelt out in SECTION 4 - Scope of Work.
- c. 'Bidder' or 'SI' or 'SI' means any person / persons / firm / company, etc., to whom work has been awarded and whose bid has been accepted by UBI and shall include its authorized representatives and successors.

Interpretation

In this Agreement, unless otherwise specified:

- a. The clauses heading are purely for convenient reference(s) and do not form part of this Agreement;
- b. A reference to a clause number is a reference to all of its sub-clauses;
- c. A reference to a clause, sub-clause or section is a reference to a clause, sub-clause or section of this Agreement, including any amendments or modifications to the same throughout the course of this Agreement being valid;
- d. A word in the singular form encompasses the plural and a word in the plural form encompasses the singular;
- e. A word indicating a gender encompasses any other gender as well;
- f. A mention to a person refers to any partnership or corporate body thereof, if applicable;

Conditions

- a. All services to be provided by the SI will be in a central location based in Mumbai only.
- b. The SI's representatives will not carry any media with them to/from Bank during project implementation. The final contract with the SI will contain non-disclosure clauses to maintain data confidentiality of the bank.
- c. Upon completion of the project, all data pertaining to this project shall be handed over to UBI by the SI and the same permanently erased from the SI's machines before moving out of UBI's premises.
- d. All decisions made by Union Bank of India with respect to the RFP will be considered as final and no claims by any SI will be entertained subsequently.
- e. On any issue or area of material concern in respect of the bid not specifically dealt within these Business Rules, the decision of UBI shall be final and binding on all concerned.
- f. The bidder shall not subcontract or permit anyone other than its personnel to perform any of the work, service or other performance required of the bidder under the contract without the prior written consent of UBI.
- g. The SI participating in the tender process should submit a certificate from Principal Solution Provider for their onsite participation till completion of the solution implementation i.e. Phase 4 of the project.
- h. The SI can submit only a single bid with the EAI technology of his choice. The PSP however can partner with multiple SIs to submit more than one bid if required.
- i. The proposed solution must be platform independent, i.e. at a minimum support all Operating Systems used by the Bank i.e. Windows platforms, Red Hat Linux, Sun Solaris, AIX, HP Solaris
- j. If a third party claims that the product provided by the SI to UBI, infringes on the party's patent or copyright, the SI will defend UBI against that claim at its own expense and pay all costs, damages and attorney's fees that a court finally awards. UBI will be allowed to either use the same product or the SI will provide UBI with equivalent product functionality at no extra cost to the Bank.

- k. The Bank reserves the right to request the SI/PSP to provide additional documentary proof for any claims made in the proposal.
- l. Any customization/process developed by the SI/PSP for the purpose of the project shall be considered the property of the bank and cannot be used by the SI/PSP without the consent of UBI.
- m. All scripts developed by the SI/PSP for the EAI project will be made available to the bank in an open format with proper documentation without any restrictions on its use by UBI or any payment considerations.
- n. The bank can, at its discretion terminate the contract, if the service of the SI is found to be deficient or the SI has violated any condition specified in the RFP or the subsequent contract.
- o. The SI will need to furnish a performance bank guarantee of 50% of the TCO of the project excluding AMC/ATS and on-site support charges at the start of the project valid for a period of one year after go-live of Phase 4. The format for the same will be provided by the bank to the selected SI.

Appendix 1 Process Information for Integration

Clearing Cheques Processing	
Source	Cash Management System at individual Branches
Target	Finacle
Mode	Manual
Frequency	Daily
Data / Message Format	Manually to be entered by the Branch, if not done centrally using a report from LaserSoft tool
Protocol	--
Transaction Volume	Currently 15000 – 25000 per day. Envisaged to reach 1 Lakh transactions by year end
Existing Process	The cheques collected on behalf of customers are first entered in CMS application. They are then entered in Finacle and sent in local clearing in each of the 75 centres. Credit is given to CMS Parking Account at each branch. When the cheque is cleared, amount is transferred to Hub Pool Account at CMS Department. If any cheques are returned they are marked in Finacle and CMS and amount debited to CMS Parking Account. After funds are received in Hub Pool Account they are transferred to customer account manually. At present the CMS cheque collection is done from 75 branches.
Proposed Process	The data entry of the cheques should be done in CMS only. This data should then be uploaded to Finacle without any further manual intervention. In case of return cheques the marking should also happen in CMS application. Clearing schedules should be maintained in CMS and transfer of funds from Parking Account at the branch to Hub Pool Account should be triggered by CMS Transfer of funds from Hub Pool Account to customers account will also be triggered by CMS It is proposed to increase the cheque collection branches to 1600.
E-collection	
Source	Cash Management System at individual Branches
Target	Finacle
Mode	Manual
Frequency	Daily
Data / Message Format	Manual
Protocol	--
Transaction Volume	300 per day
Existing Process:	There is no process at present to receive payments on behalf of the customers through RTGS, NEFT, cheque, cash etc. and provide the necessary MIS to the customers.
Proposed Process	It is proposed that data of all payments received on the behalf of the customers will be directly uploaded to the corporate customer's ERP system. E.g. X who is a Petroleum Distribution company and holds a Cash Management account with the Bank. The petrol pump owners will raise a request for supply of petrol with X. They will also credit the payment to the account with the Bank by payment thru Cash/Cheque/RTGS/NEFT. This information will be sent

	to X ERP. X will then authorize their local depot to send the petrol to the petrol pumps.
Cheque Return	
Source	Finacle
Target	Cash Management System at individual Branches
Mode	Manual
Frequency	Daily
Data / Message Format	Manual
Protocol	--
Transaction Volume	100 per day
Existing Process:	Returned Cheques are manually marked off in Finacle.
Proposed Process	In case of return cheques the marking should also happen in the CMS application. Clearing schedules should be maintained in CMS and transfer of funds from Parking Account at the branch to Hub Pool Account should be triggered by CMS Transfer of funds from Hub Pool Account to customers account will also be triggered by CMS It is proposed to increase the cheque collection branches to 1600.
Integration with Customer's ERP	
Source	ERP Systems of UBI Customers
Target	Finacle
Mode	Not available
Frequency	Not available
Data / Message Format	iDoc file or any SAP supported format
Protocol	FTP
Transaction Volume	8000
Existing Process:	There is no facility to accept financial transactions from any ERP system of the customer and upload to Finacle directly.
Proposed Process	In the proposed process, adapters are required to accept ERP files, convert to financial transactions and upload to Finacle. There should be provision to report back the failed transactions to the ERP system in the respective ERP formats. To start with, SAP adapter is required.
B2B Invoice Processing for Customers	
Source	Bank's B2B Portal
Target	Finacle
Mode	Manual
Frequency	Ad hoc
Data / Message Format	Invoice form filled online
Protocol	FTP
Transaction Volume	Not known
Existing Process:	There is no current process.
Proposed Process	Suppliers of the Bank's Customers will raise the invoice on the Bank's portal. EAI will send the data to the Bank's customer either through ERP connectivity

	or through file transfer. Customer will verify and authenticate the invoice data and send back the authorization. EAI will debit the customer's account and credit the suppliers account in our Bank or transfer funds through RTGS/NEFT.
MIS Reporting to Customers / Correspondent Banks	
Source	Finacle
Target	Correspondent banks
Mode	Manual
Frequency	Ad hoc
Data / Message Format	Not known
Protocol	
Transaction Volume	Not known
Existing Process:	At present, at the day end, the collection and payout reports are generated from CMS application and sent to the customers through E-mail.
Proposed Process	It is proposed to encrypt the reports and send to the customers without any manual intervention. The data of the reports can also be sent to the customer's ERP system or in the file format required by the customer.
Finacle to Swift Transactions - Outward Remittances / LC Advices / Payment Advices / etc. Messages like MT 100, 200, 700	
Source	Finacle
Target	SWIFT
Mode	Manual
Frequency	Every 1/2 hour manual upload into Swift
Data / Message Format	SWIFT Format
Protocol	FTP
Transaction Volume	2000 per day
Existing Process:	This involves outward remittances of funds. Transaction is created in Finacle by debiting the customers' account and funds transferred to Treasury through Authority Cheque. The data is also directly entered in Swift by 'B' Category branches and money is remitted. Similar process is followed for LC advices and other non fund based messages.
Proposed Process	The EAI will interface between Finacle and Swift. All transactions entered in Finacle will directly be loaded to Swift without manual data entry. Simultaneously data will also be updated in Kastle. If GL of Kastle is also maintained in Finacle as envisaged above, this will further eliminate the authority cheques between branches and Treasury.
Swift to Finacle Transactions - Inward Remittances / LC Advices / etc.	
Source	SWIFT
Target	Finacle
Mode	Manual
Frequency	Every 1/2 hour manual upload into Swift
Data / Message Format	SWIFT Format
Protocol	FTP

Transaction Volume	2000 per day
Existing Process:	The inward remittances received through Swift for credit of Customers account are received at the 'B' Category branches. Customers' account is credited and POB raised on Treasury. In Treasury, data of POB claims is entered in Kastle and Authority Cheques generated for the branches. Similar process is followed for LC advices and other non fund based messages from Swift which are received by the 'B' Category branches.
Proposed Process	The EAI will receive the Swift messages and create the required transactions in Finacle. It will also update Kastle simultaneously. As envisaged above, if GL of Treasury is also maintained in Finacle, authority cheques between Treasury and branches will be eliminated.
ECS	
Source	ECS
Target	Finacle
Mode	Manual
Frequency	Ad hoc
Data / Message Format	SFMS format
Protocol	FTP
Transaction Volume	5000 per day (Is expected to increase substantially once NECS is introduced by RBI and provided solution must be scalable to meet these requirements)
Existing Process:	The ECS file is downloaded from RBI site on a server. The file is converted to Finacle format and the file is uploaded to Finacle manually. Transactions which fail are downloaded back from Finacle to the ECS server, converted to RBI format and uploaded to RBI site.
Proposed Process	The ECS file will be downloaded from RBI site. EAI will make the necessary file conversion, upload to Finacle, receive back the failed transactions from Finacle and prepare a returns file for RBI which will be uploaded back to RBI site
Invoice Processing for Customers	
Source	Channel Finance Server
Target	Finacle
Mode	Not available
Frequency	Ad hoc
Data / Message Format	Manual upload
Protocol	
Transaction Volume	Not known
Existing Process:	There is no current process.
Proposed Process	Suppliers of the Bank's Customers will raise the invoice on the Bank's portal. EAI will send the data to the Bank's customer either through ERP connectivity or through file transfer. Customer will verify and authenticate the invoice data and send back the authorization. EAI will debit the customer's account and credit the suppliers account in our Bank or transfer funds through RTGS/NEFT.
E-remittance	

Source	E-Remit
Target	Finacle
Mode	Batch
Frequency	Ad hoc
Data / Message Format	Text file / Manual entry
Protocol	FTP
Transaction Volume	1000 per day
Existing Process:	Exchange Houses upload a file on an internet site of the Bank. The file is manually downloaded and uploaded to Finacle. If the account to be credited is of the Bank, direct credit is given, else an RTGS or NEFT message is sent. If no account number is given, DD/PO is generated and mailed to the beneficiary.
Proposed Process	Exchange Houses will upload the file on the Bank's site. EAI will pick up the file and directly upload to Finacle. The file upload may be from Exchange Houses or any other customer of the Bank (for example the Bank's customer may want to pay salaries to its employees). If the customer has an ERP, EAI should have the facility to accept the file in the format sent by the ERP.
Credit Card	
Source	Finacle
Target	Credit Card System
Mode	Batch
Frequency	Daily
Data / Message Format	Flat file
Protocol	FTP
Transaction Volume	2000 per day
Existing Process:	The payments received from the credit card holders, either by debit of the card holders account or by cheque/cash are credited to a suspense account. This data is downloaded from Finacle manually every day and sent to Venture Infotech through E-mail.
Proposed Process	The EAI is expected to download the required file from Finacle and send to Venture Infotech with proper security.
Salary information	
Source	HRMS
Target	Finacle
Mode	Manual entry
Frequency	Monthly (Last 3-4 days in the month)
Data / Message Format	Branch wise Flat File sent to the Branches by their RO
Protocol	FTP
Transaction Volume	85,000 -100,000 transactions per month
Existing Process:	The Salary of all the employees is processed in Union Parivar and data files are generated for each branch separately. The Regional Offices download the files from Union Parivar for all branches in their Region and upload to Finacle. The transactions are in Entered stage in Finacle. The branches then verify the transactions, make corrections in any account numbers and authorize the

	transactions. Corrections made in account numbers are not conveyed back to Union Parivar. Hence the same mistakes are repeated every month. The transactions are not directly posted in Finacle, since data exchange is through unsecured ascii text files which can be changed at any time during the manual process.
Proposed Process	Once the EAI is implemented, the EAI will pick up the files from Union Parivar and upload directly to Finacle thus ensuring data security. Hence, transactions will be directly posted in Finacle without any further authorization. Transactions with wrong account numbers will require manual authorization by the branch. The changed account numbers will also be sent back to Union Parivar for updation so that such errors are not repeated in future.
Tax and TDS	
Source	HRMS
Target	Taxprint for eTDS / Form 16 generation
Mode	Batch
Frequency	Monthly
Data / Message Format	Manual
Protocol	
Transaction Volume	Only for Mumbai based employees, approximately 5000 transaction per month
Existing Process	For all the branches in Mumbai, tax deduction details are downloaded from Union Parivar and uploaded to Taxprint. This application generates Form 16 for staff in Mumbai. Tax print is not used by other Regions.
Proposed Process	After implementation of EM, the upload of tax data from Union Parivar to Taxprint will be automated and there will be no manual intervention.
Loan against PF	
Source	HRMS
Target	Finacle
Mode	Manually
Frequency	Monthtly
Data / Message Format	Text
Protocol	FTP
Transaction Volume	
Existing Process:	The loan account of the staff members is maintained in Union Parivar. Once the EMI table is generated, Union Parivar merely updates the credits received every month without confirming whether deduction has actually happened from the staff members' salary or whether the amount deducted is equal to the EMI. It was suggested that such account should be maintained in Finacle.
Proposed Process	The maintenance of PF account in Finacle needs to be discussed further by Personnel Department and DIT.
Remittances	
Source	HRMS
Target	Finacle
Mode	Manually

Frequency	Daily
Data / Message Format	Text
Protocol	FTP
Transaction Volume	Approx 10 Lakh transactions annually
Existing Process	At present staff members apply for reimbursement of allowances through more than 20 modules in Union Parivar. The data files for each branch for each module are generated at the end of each day. These data files are downloaded by the branches on the next day and uploaded to Finacle for crediting of the staff members account. Hence, there is not only a delay of one day but each branch has to download and upload the data for each module separately every day. To circumvent the manual work and also to give credit to the staff members account immediately branches are not using these modules and are paying the allowances without going through Union Parivar.
Proposed Process	Union Parivar will generate the data as soon as the allowance is sanctioned to the staff member. This EAI will pick up this data and upload to Finacle immediately or at a predetermined frequency of say every 15/30 minutes. The transactions will be directly posted in Finacle without any manual intervention. In case of errors in account numbers, transactions will be in entered stage and will require authorization of the branch.
Pension	
Source	Union Parivar - Pension
Target	Finacle
Mode	Manually
Frequency	Monthly
Data / Message Format	Text
Protocol	FTP
Transaction Volume	18000 per month
Existing Process	The pension of ex-staff of the Bank is processed through a separate application. Like salary, this application also generates a data file which is downloaded and uploaded to Finacle every month This is centralized at Personnel Department. The transactions uploaded to Finacle are authorized by the Personnel Department.
Proposed Process	The EAI will pick up the file directly from the pension application and upload to Finacle. Transactions will be directly posted in Finacle except for those with wrong account numbers which will require authorization.
Employee Status Updation	
Source	HRMS
Target	Finacle
Mode	Online
Frequency	Monthly
Data / Message Format	Manual
Protocol	
Transaction Volume	20000 annually
Existing Process	The User ids in Finacle are maintained separately and not linked to Union

	Parivar. Hence, if there is any change in the status of an employee due to various reasons like transfer, promotion, suspension, retirement or new recruits, the status is not updated in Finacle automatically. Only those updations are done which are informed to the CBS Data Centre.
Proposed Process	The EAI will track the changes on the status of the staff member. Change in status of staff member will be simultaneously updated in Finacle.
Incentive Calculation	
Source	Lead Management System
Target	HRMS
Mode	Batch
Frequency	Monthly
Data / Message Format	Not Available
Protocol	
Transaction Volume	Not known
Existing Process	There is no current process.
Proposed Process	Incentives for generating leads: The Bank is proposing to pay incentives to the staff members for lead generation, closure, etc. These incentives will be taxable in the hands of the staff members. Hence, this information has to flow from the lead management system to Union Parivar as and when the incentive scheme is implemented.
FCNR (B) Account Operations	
Source	Kastle
Target	Finacle
Mode	Manual
Frequency	Real Time
Data / Message Format	Text File
Protocol	FTP
Transaction Volume	
Existing Process	There is no current process.
Proposed Process	For FCNR accounts opened in Finacle, there will be a two-way transfer of operations between Kastle and Finacle.
Nostro Account Reconciliation between Kastle and SWIFT and for Hong Kong Branch. Messages such as MT950/ MT940	
Source	SWIFT
Target	Kastle
Mode	Manual
Frequency	Daily
Data / Message Format	Text File
Protocol	FTP
Transaction Volume	2000 per day
Existing Process	At the end of each day, Swift gives a list of balances in our Nostro Accounts. This data is uploaded in Kastle for reconciliation.

Proposed Process	The EAI will interface between Swift and Kastle to update the Nostro transactions in Kastle.
Reconciliation of Nostro Accounts	
Source	Kastle, SWIFT, Finacle, Nostro Accounts
Target	Kastle, SWIFT, Finacle, Nostro Accounts
Mode	Manually
Frequency	Daily
Data / Message Format	
Protocol	
Transaction Volume	Not known
Existing Process	At present Nostro Accounts are reconciled through a separate application which matches the entries received from Swift with internal transactions and lists out the unreconciled entries. This also includes differences in the amounts on account of errors.
Proposed Process	Since there will be Straight Thru Processing (STP) between Finacle, Swift and Kastle through EAI errors will be eliminated. The Nostro account transactions from Swift will also pass through EM. Hence reconciliation can be done in EAI itself. Ideally there should be no reconciliation differences since all transaction will pass through EM.
Reporting for Deals below USD 100,000	
Source	RET-AD
Target	Kastle
Mode	Manual Entry
Frequency	Ad hoc
Data / Message Format	
Protocol	
Transaction Volume	Not known
Existing Process	At present, AD Branches are inputting their reporting through RET-AD for deals below USD 1 Lakh equivalent. Information is manually entered into RETAD to create these reports.
Proposed Process	The EAI must create the report for these deals directly.
RBI Returns - NRD- CS & IBS	
Source	RBI Package
Target	Finacle
Mode	Manual Entry
Frequency	Ad hoc
Data / Message Format	
Protocol	
Transaction Volume	Not known
Existing Process	Manual Entries are made into the RBI Returns package using Finacle as the base data.
Proposed Process	The EAI should integrate the RBI Package with Finacle to enable the

	generation of the RBI Returns automatically.
FCS Settlement Accounts	
Source	Finacle
Target	Kastle
Mode	Manual Entry
Frequency	Daily
Data / Message Format	Text File
Protocol	FTP
Transaction Volume	Not known
Existing Process	At present, the foreign currency settlement account is maintained in Kastle and the 'B' category branches maintain theirs in Finacle. Manual re-conciliation is done between the two at the end of the day.
Proposed Process	The EAI must enable re-conciliation of the Foreign accounts between Finacle and Kastle.
NEFT/RTGS uploading by Vostro Branch	
Source	Finacle
Target	NEFT/RTGS
Mode	Manual
Frequency	Daily
Data / Message Format	
Protocol	
Transaction Volume	Not known, proposed solution must be scalable to allow for 24*7 NEFT transactions once the same is introduced by RBI.
Existing Process	The exchange houses who maintain their rupee drawing arrangement with the Bank, send their e-remittance, which is manually uploaded into Finacle. The 15 digit account number of the branch is automatically uploaded, whereas the remittance details of the beneficiary having an account with other banks are manually entered into the NEFT / RTGS server.
Proposed Process	The EAI must enable uploading of data pertaining to the beneficiaries of other banks to give feed back to exchange houses.
Auto conversion of MT 103 into e-remittances file	
Source	SWIFT
Target	NEFT/RTGS
Mode	Manual
Frequency	Ad hoc
Data / Message Format	
Protocol	
Transaction Volume	Not known
Existing Process	Some of the Exchange Houses are sending remittances by way of SWIFT message MT103. These messages are manually downloaded and credit given to the customers by sending NEFT / RTGS messages.
Proposed Process	The EAI must facilitate auto-conversion of the MT103 message into an e-remittance file for the credit to the customer's account. Incase of other bank

	customers, please refer to the details of the NEFT / RTGS uploading by Vostro account for further details. Feedback must also be sent to the Exchange House about the credit transaction.
SFMS Messages	
Source	SFMS
Target	Finacle
Mode	Manual Entry
Frequency	Ad hoc
Data / Message Format	SFMS Format
Protocol	FTP
Transaction Volume	2000-3000 per day
Existing Process	Branches are currently opening inland LCS through Finacle and send the advices by courier to other banks for security.
Proposed Process	The EAI must enable the direct sending of the advice to the other bank using SFMS
Cheque Truncation System	
Source	CTS
Target	Finacle
Mode	Batch/Manual
Frequency	Daily - 6 times
Data / Message Format	Text
Protocol	FTP
Transaction Volume	13000 - 3 batches, 700 - 2 batches per day
Existing Process	Not available
Proposed Process	Uploading of cheques clearing and returned file into Finacle.
Opening of new loan account through LAS`	
Source	LAS
Target	Finacle
Mode	On line
Frequency	Ad hoc
Data / Message Format	
Protocol	
Transaction Volume	Not available
Existing Process	Txn happens when new customer loan account needs to be created. LAS sends customer data to finacle to open a new account. This is applicable only to retail loans. For SME/Corporate, not done thru LAS as we can open only a single account for the proposal while these might require multiple limits
Proposed Process	
Finacle to LAS	
Source	Finacle
Target	LAS

Mode	Batch
Frequency	Daily (once)
Data / Message Format	
Protocol	
Transaction Volume	Not available
Existing Process	Every morning, transaction data from Finacle is downloaded into LAS, and the LAS engine works on it to segregate the payments for loan accounts (accounts opened thru LAS), and this is then used to generate account status reports and early warnings (AS1/AS2/AS3...)
Proposed Process	
Tax Applications	
Source	OLTAS/STAS/EASIEST
Target	Finacle
Mode	Batch at end of day
Frequency	Daily
Data / Message Format	Text File
Protocol	
Transaction Volume	4000 per day
Existing Process	The file containing all the tax payments from the various applications is downloaded and then uploaded into Finacle.
Proposed Process	The EAI should process the transactions on real time basis, that is the transaction should be loaded into Finacle as the transaction happens
Online NEFT	
Source	Online NEFT
Target	Finacle
Mode	Batch
Frequency	3 times a day
Data / Message Format	Text File
Protocol	FTP
Transaction Volume	1000 per day
Existing Process	
Proposed Process	
	Online Tax Payment (Future)
Source	Online Tax Payment (Future)
Target	Finacle
Mode	Uses OLTAS and other packages
Frequency	Daily
Data / Message Format	Text File
Protocol	
Transaction Volume	1000 per day
Existing Process	

Proposed Process	
Matched Fund Transfer Pricing	
Source	MFTP solution that the bank intends to procure
Target	Finacle
Mode	Manual
Frequency	Half-yearly
Data / Message Format	--
Protocol	--
Transaction Volume	Number of branches * 2
Existing Process	The vouchers are currently posted manually, with the branch either being credited or debited money with the corresponding debit or credit entry in the Branches
Proposed Process	The MFTP solution will calculate the cost of funds and the transactions need to be automatically posted in Finacle in the branch account.
Demat	
Source	DP Secure
Target	Finacle
Mode	Manual
Frequency	Daily
Data / Message Format	--
Protocol	--
Transaction Volume	--
Existing Process	The usage charges of the Demat account is currently debited manually from the customer accounts
Proposed Process	The Demat application will automatically debit the charges from the respective customer accounts on the pre-determined date. The transactions will be automatically posted in Finacle
Application Supported by Blocked Amount	
Source	ASBA
Target	Finacle
Mode	Manual
Frequency	Adhoc
Data / Message Format	--
Protocol	--
Transaction Volume	--
Existing Process	The lien marking, blocking of amounts and any transactions are posted in Finacle by files
Proposed	The ASBA application will automatically block the funds and post any

Process	transactions required. The transactions will be automatically posted in Finacle
IDBI/ShareKhan/TM Religare	
Source	IDBI/ShareKhan/TM Religare
Target	Finacle
Mode	Manual
Frequency	Daily
Data / Message Format	--
Protocol	--
Transaction Volume	--
Existing Process	The lien marking, blocking of amounts and any transactions are posted in Finacle through files and/or through payment gateways(online)
Proposed Process	The posting in Finacle through files needs to be automated, as specified previously.

Annexure A – Covering letter

[Format of letter to UBI on the SI's letterhead]

Union Bank of India
Technology Centre,
Department of Information Technology,
Shri Adi Shankaracharya Marg,
Opp. Powai Lake, Powai,
Mumbai – 400 072

Dear Sir,

Sub: Response to RFP for Enterprise Application Integration Solution.

With reference to the above RFP, having examined and understood the instructions, terms and conditions forming part of the RFP, we hereby enclose our offer for the Enterprise Application Integration Solution, as detailed in your above referred RFP.

We acknowledge having received the following addenda to the bid document:

Addendum No.	Dated

If selected, we shall provide the services comprised in the contract within timeframe specified, starting from the letter confirming the handover of the hardware by UBI.

We understand that UBI is not bound to accept the offer and that UBI has the right to reject the offer without assigning any reasons whatsoever.

We enclose a Bank Guarantee / Demand Draft / Banker's Cheque bearing No..... dated / / 20.... drawn byBank.....Branch, in favor of Union Bank of India payable at Mumbai for a sum of Rs..... (Rupees.....Only) towards the Earnest Money Deposit (EMD).

We confirm that the offer is in conformity with the terms and conditions as mentioned in RFP and it shall remain valid for 180 days from the last date of the acceptance of this bid.

Yours Faithfully,

Authorized Signatories

(Name & Designation, Seal of the firm)

Annexure B - SI / PSP Profile

Sr. No.	Description	Details	Document attached as proof
1)	Name of the Company/Organization		
2)	Constitution (Individual / Sole-Proprietorship/ Partnership/ Private Ltd/ Public Ltd/ Trust/ Government owned)		
3)	Date of Incorporation / Year of commencing operation		
4)	Corporate Office Address		
5)	Mumbai Office Address		
6)	Name of Contact Person		
7)	Phone Number of Contact Person		
8)	Mobile Number of Contact Person		
9)	Fax Number		
10)	Email Address		
11)	Names and Addresses of Directors/ Promoters		
12)	Details of Organizational Structure		
13)	Turnover for the year 2006-2007 (Rs. Crores)		
14)	Profit of the year 2006-2007 (Rs. Crores)		
15)	Turnover for the year 2007-2008 (Rs. Crores)		
16)	Profit of the year 2007-2008 (Rs. Crores)		
17)	Turnover of the year 2008-2009 (Rs. Crores)		
18)	Profit of the year 2008-2009 (Rs. Crores)		

Annexure C - Supporting Documents for Eligibility Criteria

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
1	SI must be a company incorporated in India and operating for the past 5 years	Letter of Incorporation	SI					
2	The SI must have minimum annual turnover of Rs. 25.00 Crores for each of the last three (3) financial years as on March 31st, 2009 and should have been profitable in each of those 3 years	Certified/ Audited P & L and Balance Sheets for last 3 years.	SI	Year 1				
				Year 2				
				Year 3				

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
3	SI must have been in business of Software Implementation for Enterprise Application Integration Solutions at least for the last 2 years and support for Enterprise Application Integration Solutions for last 2 years as on Mar 31 st , 2009	Letter awarding contract/ memo/ copies of invoice to prove the experience	SI	Reference 1	Customer Name		(Add more references as required)	
				Date of	Document			
				Brief Scope			Please highlight the scope in the documents	
4	The SI should have implemented the proposed EAI for at least 3 large customers (Annual turnover	Letter awarding contract/ memo/ copies of invoice	SI	Reference 1	Customer Name		(Add more references as required)	
				Date of	Document			

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
	greater than Rs. 100 crores) which involved integrating at least 3 applications. At least one of these references must be on the proposed solution for a Banking customer in India.	to prove the experience		Brief Scope			Please highlight the scope in the documents	
				Project Cost				
				Implementation Service Cost				
5	The SI must have SEI CMM Level 5 Certification	Relevant Certificate	SI					
6	The SI vendor should have a support centre in India	Declaration on company's letterhead with seal.	SI					Self Signed Affidavit

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
7	The Principal Solution Provider must have a annual turnover of Rs. 50.00 crores for the last three years as on March 31st 2009 and should be profitable for each of those 3 years	Certified/ Audited P & L and Balance Sheets for last 3 years.	PSP	Year 1				
				Year 2				
				Year 3				
8	The PSP must have supplied the proposed solution to: (i) At least two banks in India of which at least one Bank must have Finacle as Core	Letter awarding contract/ memo/ copies of invoice to prove the	PSP	Reference Customer Name			(Add more references as required)	

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
	Banking Solution OR (ii) at least five Commercial Banks out of which one Bank having Finacle as Core Banking Solution or used ISO 8583 as the messaging standard for integrating with the Core Banking System	experience		Date of Document				
				Brief Scope			Please highlight the scope in the documents	
				Project Cost				
9	PSP must have adaptors readily available for at least four of the five Packaged Applications 1. PeopleSoft 2. SAP ECC 6.0 / R/3	Declaration on company's letterhead with seal.	PSP					Self Signed Affidavit

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
	3. J D Edwards 4. Oracle e-Business Applications 5. SWIFT							
10	Must have a readily available adaptor for ISO 8583 and for any four of the following five Technologies. 1. XML 2. HTTPS 3. SFTP 4. SOAP - Web Services 5. Email (SMTP)	Declaration on company's letterhead with seal.	PSP					Self Signed Affidavit
11	Reference of at least one customer in the	Letter awarding	PSP	Reference Customer			(Add more references as	

Sr. No.	Eligibility Criteria	Documents Requested	Requested From		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
	BFSI industry where the solution was implemented and the solution handling more than 10000 financial transactions per day	contract/ memo/ copies of invoice to prove the experience		Name			required)	
				Date of Document				
				Brief Scope			Please highlight the scope in the documents	
				Project Cost				
12	PSP must have a support center in India.	Declaration on company's letterhead with seal.	SI					Self Signed Affidavit

Annexure D - References

Please provide references duly filled in with photocopies of required certificates / documents as proof.

References for EAI Implementation

Particulars	Response
Name of the Organization	
Industry	
Address of the Organization	
Annual Turnover of the Organization for the Financial Year 2008-2009	
Date of commencement of Application Integration Project	
End Date of project	
EAI Tool used	
Number of applications integrated using the EAI tool	
Name of the contact person for reference	
Was one of the application systems integrated a CBS? Please provide details of the same.	
Were any standard / third party adaptors used? Please provide details of the same.	
Phone number of the contact person	
E-Mail ID of the contact person	
Documents submitted as proof	

References for EAI Tool

Particulars	Response
Name of the Organization	
Industry	
Address of the Organization	
Annual Turnover of the Organization for the Financial Year 2008-2009	
Date and period of implementing the EAI	
Number of applications being integrated	
Name of the contact person for reference	
Was one of the application systems integrated a CBS? Please provide details of the same.	
Please provide details of the scope of the project and if any adaptors were also purchased	
Phone number of the contact person	
E-Mail ID of the contact person	
Documents submitted as proof	
Name of the Implementation Partner	

Annexure E – Supporting Documents for Evaluation Criteria

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
1	Functional Requirements - The marks will be based on the proposed solution meeting the functional requirements as specified in Annexure I. The maximum marks that can be obtained are 156 which will be prorated to 150 for the purpose of this evaluation.						
2	Technical Requirement - The marks will be based on the proposed software meeting the technical requirements as specified in Annexure H – Product						

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
	Details; Product features. Each technical requirement carries marks as specified in the Annexure H - Product Details; Product features						
3	Implementation Experience - SI						
3.1	Number of consecutive years the SI has provided Enterprise Application Integration solution services	Declaration on company's letterhead with seal.					Self Signed Affidavit
3.2	References where SI has implemented the proposed Enterprise Application Integration solution in Banks	Letter awarding contract/ memo/ copies	Reference 1 Customer Name			(Add more references as required)	

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
		of invoice to prove the experience	Date of Document ary Evidence			Please highlight the scope in the documents	
			Brief Scope				
3.3	References where SI has implemented an Enterprise Application Integration solution integrating with Finacle as the CBS.	Letter awarding contract/ memo/ copies of invoice to prove the experience	Reference 1 Customer Name			(Add more references as required)	
			Date of Document ary Evidence			Please highlight the scope in the documents	
			Brief Scope				

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
3.4	References where SI has implemented the proposed Enterprise Application Integration software having integrated at least 7 systems and one of which must be Financial Transaction System.	Letter awarding contract/ memo/ copies of invoice to prove the experience	Reference 1	Customer Name		(Add more references as required)	
			Date of Document	ary Evidence		Please highlight the scope in the documents	
			Brief Scope				
3.5	Number of Banks under SI's post implementation support for EAI being provided for the last 2 years	Letter awarding contract/ memo/ copies	Reference 1	Customer Name		(Add more references as required)	

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
		of invoice to prove the experience	Date of Document ary Evidence			Please highlight the scope in the documents	
			Brief Scope				
4	Implementation Experience - PSP						
4.1	Number of consecutive years the PSP has provided Enterprise Application Integration Solution services	Declaration on company's letterhead with seal.					Self Signed Affidavit
4.2	References where PSP's EAI has been implemented in a Bank.	Letter awarding contract/ memo/ copies	Reference 1 Customer Name			(Add more references as required)	

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
		of invoice to prove the experience	Date of Document ary Evidence			Please highlight the scope in the documents	
			Brief Scope				
4.3	References where PSP's proposed EAI solution has been implemented to integrate with Finacle as the CBS.	Letter awarding contract/ memo/ copies of invoice to prove the experience	Reference 1 Customer Name			(Add more references as required)	
			Date of Document ary Evidence			Please highlight the scope in the documents	
			Brief Scope				
5	SI Resources						

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
5.1	Number of Implementation experts & Consultants available in India with the SI having more than 2 years of experience in the proposed EAI	Declaration on company's letterhead with seal.					Self Signed Affidavit
6	Commercial Strength and Viability of the SI						
6.1	Business Turnover of the SI	Certified/ Audited P & L and Balance Sheets for last 3 years.				(Please attach P & L statements and Balance Sheets signed by the auditor for each year)	
7	Visit to Reference Site						
8	Response from Reference Sites						

Sr. No.	Evaluation Criteria	Documents Requested		Details	Ref Page No.	Remarks	Supporting Document Provided by SI / PSP
8.1	Adhering to the implementation time lines fixed by Customer						
8.2	Application meeting the functional requirements of the Bank						
8.3	Post Implementation Support						
9	Presentation and Evaluation by Internal Committee						

Annexure F - Form of Self Affidavit/ Declaration

[To Be Submitted on Agency's/Firm's/Company's Letter Head Only]

We, M/s _____, are the bidders for providing services for “**Enterprise** Application Integration **Solution**”.

We hereby declare that our Firm/Company does not have any inquiries or investigations threatened, commenced or pending against us, by any regulatory or statutory or investigative body/agency or any lending institutions, nor do we have any pecuniary liability or judicial proceedings against us.

We further declare that in case UBI finds that our averments are not true or are and incorrect, UBI can initiate necessary action against us, as deemed fit.

AUTHORISED SIGNATORY
(WITH SEAL)

Annexure G - Hardware and Network Recommendations

Sl. No.	Description	Quantity	Configuration Proposed
1	Web Server		
2	Application Server		
3	Database Server		
4	Storage		
5	Operating System required by the EAI		
6	RDBMS		
7	Any other Hardware Item		
8	Network Requirements		

Annexure H - Product Details

Please provide detailed responses to the following for the proposed Enterprise Application Integration solution:

1. Product Details

Sr. No.	Particulars	Response
1.	Name of the Product	
2.	When was the first version launched	
3.	When was the latest version launched	
4.	Present version	

1. Published performance benchmark reports for the middleware tool on multiple hardware platforms – Txn per sec, load- stress test. Please give details of rankings / rating qualifying the sectors.
2. What is the basis of pricing (e.g. CPU based/ user based)?
3. Training

Sr. No.	Particulars	Response
1.	Availability of tool training in India	
2.	Availability of Computer Based training material	

2. Product Feature

The tool will be evaluated as per the matrix below. Against each product feature, please indicate one of the following. Marks will be awarded for the features as follows:

Code	Description	Marks to be Awarded
"S"	Standard – Standard features as contained and operational in the proposed solution.	4
"X"	Not Available – EAI requirement is not currently available in the standard proposed solution. No customization can be done within the desired timeframe of the EAI implementation.	0

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
1. <u>Supported Protocols & Standards</u>				5 %
1.	JMS			
2.	XML			
3.	SOAP			
4.	WSDL			
5.	WMQ			
6.	UDDI			
7.	JCA			
8.	XSLT			
9.	HTTP			
10.	JDBC			
11.	TCP/IP			
12.	FTP, FTPS			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
13.	HTTP, HTTP/S			
14.	X.25			
15.	File			
16.	SNA			
17.	BPEL			
18.	Does the solution support any other Protocols which are not listed above?			
2. Level of Connectivity and Functionality for Adapters				5 %
1.	Ability to support standard formats			
a.	ISO 8583			
b.	SWIFT			
c.	RTGS			
d.	NEFT			
e.	SFMS			
f.	XML			
g.	Tab de-limited			
2.	Availability of Standard Adapters			
a.	PeopleSoft			
b.	SAP			
c.	Oracle ERP			
d.	JD Edwards			
e.	Siebel			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
f.	Integration Middleware Adapters			
3.	Does the solution support any other readily available Adapters from third party SIs which might be relevant for UBI based on the scoped defined in this RFP?			
4.	Does the solution have the scope for the development of custom adapters or extensions to “out-of-the-box” adapters?			
5.	Does the solution provide support for all the listed Databases within the scope of this RFP?			
6.	Can an adapter be configured to communicate with an application that resides on a platform that is not natively supported by the solution’s adapters?			
7.	Can the solution support custom integration for proprietary and/or legacy systems?			
3. Utility Tools Available				3 %
1.	Business Process Modeling Tool supported?			
2.	J2EE Support			
3.	.NET Support			
4.	Multi-Language Support			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
5.	Adapter Development Tool			
6.	Data Mapping/Transformation Tool			
7.	Functional Library			
8.	Workflow Engine			
9.	Data Quality/Cleansing Tool			
4. Platforms Supported				3 %
1.	Operating System supported:			
a.	All flavors of Unix			
b.	Windows			
c.	Linux			
d.	AIX			
e.	Sun			
2.	Databases Supported for Repository purposes:			
a.	DB2			
b.	Oracle			
c.	SQL Server			
5. Administrative Tools Available				5 %
1.	Business Process Activity Monitoring			
2.	System Monitoring			
3.	Audit Trailing, tracking			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
4.	Transactional tracking			
5.	Business process and component version support			
6.	Does the solution support automatic updating of components and processes across the network?			
6. Security Features				7 %
1.	Does the solution allow the administrator to control access at the application level?			
2.	Does the solution allow authorized users to change previously entered data with changes captured in audit trail?			
3.	Does the solution generate audit trails for all systems activities and allow system admin to enable/disable audit trail on selected transactions?			
4.	Does the solution allow access to any component on a read-only, read-write or execute level?			
5.	Does the system centrally manage all user information, credentials and permission (e.g. user name, address, password, phone number, email address, language, role, title, organization unit, etc.) in a Lightweight Directory Access Protocol			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	(LDAP) system - version 3 or higher?			
6.	Does the solution have support for the following authentication modes:	Client authentication		
		Source authentication (i.e. application-to-application)		
		Source authentication encryption and non-repudiation in a B2B environment?		
7.	Does the solution have the mechanism of message delivery to ensure that the receiver is authorized to receive information when required? For example, if financial data is being published or sent, is there checking available on the receiving side.			
8.	Does the system allow an access lock out state (i.e. for a configurable time period), upon which the system automatically releases the lock in case of failure to authenticate successfully after a pre-determined number of times?			
9.	Does the solution support remote access capability through secured channels (i.e. VPN, CITRIX, etc.)?			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
10.	Does the solution preserve message/ data integrity and provide evidence that transaction data is not accidentally or maliciously modified, altered, or destroyed while in transit or in storage?			
11.	Does the solution support transmission of messages securely over the network?			
12.	Does the solution allow encryption of electronic communications and transmission of information with external trading partners?			
13.	Does the solution have a secured message store?			
14.	Does the system support industry based security and directory schemes (i.e. LDAP, PKI, SSL, Digital Certificates, Digital Signatures, etc.)?			
15.	Does the solution use encryption when transmitting passwords over the network?			
16.	Does the system prevent the direct execution of any input to the systems along with preventing the entrance of viruses and malware to the systems?			
17.	Does the solution validate all input by both the client and server for size and malicious patterns to prevent service attacks?			
18.	Has the solution undergone rigorous runtime application security test by an			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	independent third party to ensure there are no malicious or accidental security flaws?			
19.	Does the solution enable strict control of access to program source code and associated items (such as designs, specifications, verification plans and validation plans)?			
20.	Does the solution preserve message/ data integrity and provide evidence that transaction data is not accidentally or maliciously modified, altered, or destroyed while in transit or in storage for instance, using electronic signatures and standard cryptographic standards such as AES, DES, MD5 hash, etc.?			
21.	Does the solution allow for quick lock-out of transactions for administrative purposes?			
7. User Management				5 %
1.	Does the system integrate with Microsoft Active Directory, eDirectory and Peoplesoft User Database, or other similar applications?			
2.	Does the system allow for role based rights assignment & management?			
3.	Does the solution provide transport and services level security?			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
8. Performance				5 %
1.	Does the system provide performance monitoring tools to proactively identify and notify system administrators of performance degradations?			
2.	Does the solution have facilities to allow for performance troubleshooting, bottleneck identification, as also the ability to trace and measure performance at the interface and component level?			
3.	Does the system dynamically allocate resources for higher-priority services from lower-priority services?			
4.	Does the solution provide performance tools for all aspects of performance tuning, which includes but is not limited to alerts, collecting, analyzing, configuring, and testing performance?			
5.	Does the solution support different testing environments such as load test, stress test and regression test, and simulation for end-to-end performance testing?			
6.	Does the solution design and utilize load balancing and fail-over techniques to			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	prevent performance degradation as a result of extra loads and to provide additional reliability?			
7.	Does the solution have any inherent solution requirements on the number of interfaces, data formats, fields, etc.?			
8.	Does the solution support standard optimization techniques (e.g. caching query results, support for various indexing techniques, parallel processing, support the creating of relational views, support partitioning techniques, etc.)?			
9.	Does the solution have the capacity to manage simultaneous adapters?			
10.	Does the solution have the capacity to manage simultaneous orchestration scenarios?			
9. Manageability				3 %
1.	Is the solution modular, with components that can be independently installed and updated?			
2.	Can the solution be managed from a single central point?			
3.	Does the solution have the ability to integrate with any third party management			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	software/ tools for systems administration?			
4.	Does the solution include the ability to monitor the enterprise as a whole, gathering detailed statistics, message queues, adapter failures, scheduled outages, etc.?			
5.	Does the solution provide the option to translate system error messages into predefined formats and made available as a standard configurable message output type in response to defined system attributes, to support error handling and management by third-party systems management utilities?			
6.	Does the solution support local and remote visibility of all integration infrastructure components, subject to security?			
7.	Does the solution have management capabilities for remediation and preventative actions?			
8.	Does the solution support detailed tracking/ audit facilities?			
9.	Does the solution support change management and configuration management			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	tools?			
10.	Does the solution support parameterized record retention mechanism appropriate to a banking environment such as duration of record retention, data to be managed, etc.? This should include, but not be limited to the following: • Security log • Application log			
11.	Do all the components of the solution, including adapters, have a consistent logging framework?			
10. Messaging				5 %
1.	Does the solution include a Messaging Oriented Middleware (MOM)?			
2.	Does the solution have the ability to provide dynamic intelligent Message Routing (i.e. rules-based message broking)?			
3.	Can the solution support	a. Publish-and-subscribe		
		b. Request-and-reply models?		
4.	Can the solution support	Multicast / broadcast based communicatio		

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
		n		
		Distributed/ federated architecture		
		Centralized architecture		
		Point-to-point architecture		
5.	Can the solution support both schedule-driven (batch) and real-time message delivery models including, but not limited to the following:	Asynchronous Real-Time - messages that must be processed immediately upon receipt, but does not necessarily require generating a response immediately to the sending system / application		

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
		Synchronous Real-Time – messages that must be processed immediately upon receipt, and must be able to maintain a conversational channel with the sending system/application		
		Asynchronous Batch – messages that can be queued and processed at a specific point in time, multiple times over a given period		
		Triggered Delivery – messages that must be processed immediately upon initiation of a triggered event		
6.	Do the messaging components have the ability to guarantee			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	and/ or certify message delivery, maintain the integrity of messages, and are able to detect duplicate incoming records?			
7.	Does the system support automatic restart and recovery (i.e. for failed transmissions, in case the recipient is down when the message/ response is being sent)?			
8.	Does the messaging component support the ability to retransmit incomplete data?			
9.	Does the messaging component have support for defining and assigning message priorities?			
10.	Does the messaging component support the ability for message/ process persistence (i.e. when the solution is down and comes back up)?			
11.	Does the solution support for applications to participate in standard 2-phase commit transactions under the control of Transaction Process Monitors (TPM), or other transaction management software?			
12.	Does the solution support for Transaction Management			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	standards (e.g. JTS, XA, WS-Atomic Transactions, WS-TXM, etc.)?			
13.	Does the solution have the support for incorporating business rules, such as data validation logic, within the translation process?			
14.	Does the solution also have the capability to handle common business rules to optimize performance in a modular and customizable nature?			
15.	Does the solution support for XML transformation (i.e. XSLT, XQuery or XPath)?			
16.	Does the solution have the ability to support the features, including but not limited to the following:	Message transformation and mapping across multiple disparate platforms		
		Standardization of data through look-up functionality		
17.	Does the solution support the following (but not limited	Formatting at the attribute level, including data type		

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	to):	Conversions and basic calculations		
		Attribute ordering and re-labeling between source and target records		
		Attribute ordering and re-labeling between source and target records		
		Collection of multiple input records for summarizing, filtering and sorting		
18.	Does the solution support the ability to call external services or databases to enrich messages from within the solution and the types of invocations allowed (e.g. SQL, Java, etc.)?			
19.	Does the solution support for multi-step enrichment (i.e. interim results are stored whilst additional external calls are made)?			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
20.	Does the solution have support for including but not limited to the following?	Checking on validity of references within domains and ranges Checking on validity of references within domains and ranges		
		Syntactic validation		
		ISO 8583 and other formats used in the Banking sector		
		Validation of XML messages against Document Type Definitions (DTDs)/ schemas		
21.	Does the solution offer a facility to store and re-process transactions? Indicate whether the following scenarios are	User revises the rules and resubmits the failed data		
		User amends the failed data and resubmits it		

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	supported:			
22.	Does the system allow NO limitations on message size and/ or format?			
23.	Does the solution provide an open repository to store transformation rules?			
11. Data Management				5 %
1.	Can the solution support all common business document formats (e.g. XML, EDI, etc)?			
2.	Does the solution have the ability to perform complex data transformations between the input and output schemas, respectively? The transformation functions should include, but not limited to the following:	Data-type conversion (e.g. integer to real)		
		Standard numerical operations (e.g. +, *, round, etc.)		
		Character and string manipulation		
		Static and dynamic table cross-referencing		

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	Assigning system variables (e.g. system date, SQL error code, ISA qualifier) to fields and elements			
	Changing case of strings			
	Changing justification of strings			
	Concatenating strings			
	Conditional logic			
	Determining lengths of strings			
	Finding and replacing within a string			
	HTML/XML I/O operations			
	Passing data through cross-reference tables			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	Robust SQL functionality, including select, fetch, commit, roll-back, and stored procedure calls			
	Sequential file I/O operations			
	User exits			
	XSLT and XPATH			
	Unicode			
3.	Is the solution portable to any RDBMS and not be dependent on the use of facilities specific to a particular RDBMS (i.e. triggers, non-standard data types, stored procedures, etc.)?			
4.	Does the solution allow for external objects to be imported into the solution (i.e. UML, DDL, etc.)?			
5.	Does the solution have the facility for building, enhancing or extending data transformation logic and/ or routing logic?			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
6.	Does the solution support (but is not limited to) the following without the need for custom programming:	Table look-ups (for data enhancement and/or validation)		
		Nested conditional logic		
		Content based routing of messages		
		Error capturing and re-transmit		
7.	Does the solution support for leveraging on a Metadata repository?			
12. Scalability				5 %
1.	Does the solution have the scalability to deal with increased transaction volumes?			
2.	Does the solution have the scalability to deal with increased number of applications?			
3.	Does the solution have the scalability to deal with increased number of interfaces?			
4.	Does the solution support active-active clustering and			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	load-balancing capabilities?			
13. Registry Services				2 %
1.	Does the solution support all the types of service registries available (e.g. UDDI v2, UDDI v3, custom, etc.)?			
2.	Does the solution have the ability to partition or federate the repository, either physically or based on user access/ roles?			
14. Flexibility				3 %
1.	Does the solution have a migration path for new standards implementation within its composite suite and in deployment architecture, along with support to the integration requirements of UBI in to the future? Can the solution address the following?	Regulatory changes in which UBI complies		
		Emerging web services functionality or J2EE specification changes		
		Compliance with current and future UDDI and Metadata repositories		
		Updated Adapter Library		

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	Support for XML DTD's, Schemas and XML RDBMS Storage			
2.	Can the system have appropriate flexibility to support a phased implementation approach?			
3.	Does the system allow for migration between platforms (e.g. hardware, OS upgrades, etc.)?			
15. Business Process Management				5 %
1.	Are business process automation and workflow modeling completely supported by the solution?			
2.	Does the solution support business process modeling standards (e.g. BPEL, WS-BEPL, BPEL4WS, UML, etc.)?			
3.	Does the solution support an automated business rule engine with conditional logic capabilities?			
4.	Does the solution provide support for Events and Triggers?			
5.	Does the solution support Business Process Exception Handling?			
6.	Does the solution have			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	support for business processes that require multiple sub-processes to complete successfully in parallel / near parallel before process completion?			
7.	Does the solution support version control capabilities for business process flow models?			
16. Architecture				5 %
1.	Does the solution embrace SOA principals in presenting business processes as reusable services and decoupling them from their underlying implementation?			
2.	Does the solution provide modular functionality that can be licensed separately (e.g. workflow engine may be licensed separately if required)?			
3.	Does the solution provide an established upgrade path to accommodate new versions/ releases of the system?			
4.	Does the solution allow for software hot-fixes when upgrading the entire core EAI solution?			
5.	Can the system ensure that there is no situation in which a part of / the entire EAI solution would need to be brought down for maintenance, even when clustered or in a high availability configuration?			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
17. Presentation				5 %
1.	Is the solution designed on a Graphical User Interface (GUI)?			
2.	Does the solution provide graphical tools to simplify linking of sources, rules and transformers?			
3.	Does the solution provide non GUI based configuration tools?			
4.	Does the solution have 'Wizard' capabilities (guided setup) to facilitate development/ configuration?			
5.	Can the solution be integrated into a consistent work-bench or front-end?			
6.	Does the solution provide feedback to the user regarding system performance and availability (e.g. expected time to completion, system downtime, etc.) where applicable?			
7.	Does the front-end UI rely on applications installed on individual workstations, web browsers, or other technologies?			
8.	Does the solution provide user roles (e.g. business analyst, developer, deployment specialist, system administrator, etc.)?			
9.	Can the solution support the capability to drill down into the details of connected systems?			
10.	Can a workflow be integrated as an option in the solution?			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
18. Web Services				5 %
1.	Does the solution support?	Simple Object Access Protocol (SOAP)		
		Web Services Description Language (WSDL)		
		Universal Description, Discovery and Integration (UDDI) standards		
		RPC based Web Services		
		Synchronous/asynchronous integration		
2.	Does the solution provide support for exposing existing application functionalities as a Web Service?			
5.	Will the solution provide support for current and future e-commerce standards?			
19. Service Lifecycle Management				4 %
1.	Does the solution have the ability to have multiple versions of the same service running concurrently, including the ability to match the correct versions of new			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	and in-flight requests and responses?			
2.	Does the solution have the ability to dynamically deploy new services to the EAI without affecting the execution of other services in the EAI?			
3.	Does the solution have the ability to control versioning of services including rollback?			
20. Development and Configuration				5 %
1.	Does the solution support multiple user development environments?			
2.	Does the solution support debugging, including any real-time/ inline debuggers?			
3.	Does the solution have the ability to import external definitions in to the IDE (e.g. data definitions, UML, XSLT, WSDL, XSD)?			
4.	Does the solution have functional features of the IDE with regards to versioning, deployment and configuration?			
5.	Does the solution allows core solution configuration changes while running and also indicate what kind of configuration changes does it not allow?			
6.	Does the solution support the types of configuration stores that are used for the solution configurations (e.g. XML files, flat files, databases, environment parameters,			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	etc.)?			
7.	Does the solution have the ability for the components in the solution to be distributed and re-distributed across all supported platforms without code changes?			
8.	Does the solution support interactive debugging?			
21. Availability				7 %
1.	Is there 24x7 availability for each component in the proposed solution?			
2.	Does the solution allow components to fail and return without any requirement to re-initialize other components?			
3.	Will the solution support the ability to work offline (in the event of network failure) and synchronize later in case of a telecommunications fault?			
4.	Does the solution support fault tolerance and high availability mechanisms?			
5.	Does the solution have the ability to set policies for auditing relevant information (service interactions, exceptions, security violations, etc.) and the mechanisms and storage that enable this functionality?			
6.	Does the solution include tools to monitor system availability in a proactive manner and alert in the event			

Sr. No.	Description	Response (S/X)	Remarks	% Marks Allotted towards Total
	of sudden unavailability?			
7.	Does the solution integrate alerting and status mechanisms with System Management tools via SNMP, JMX or log files?			
8.	Does the solution support for automatic fail-over and recovery (DR)?			
9.	Does the solution support no single point of failure?			
Miscellaneous				3 %
1.	Does the solution work on a common universal transformation logic?			
2.	Does the solution have native connectivity mechanisms for Vertical and Horizontal clustering for high volume and scalability?			
3.	Does the solution have full support Pub-sub functionality?			
4.	Does the solution have Client identification facility?			
5.	Does the solution have Auto Reconciliation functionality?			
6.	Does the solution have Reporting of Cancelled message?			
7.	Does the solution have Advanced Enterprise Service Bus?			

Please also provide detailed responses to the following.

3. Platform Installation and Administration

Please provide the requested details

1. Describe the platform system requirements for each component.

2. List the administrative functions included in your product.
3. How do administrators detect when the product requires additional resources?
4. How are any changes in front-end screens (existing/new) deployed across the users on the network?
5. Does product support multi-level priority allocation for critical data extraction processes from different data sources? Can the system react dynamically in case of any deadlocks, etc.?
6. Does the product support MIS reporting on the Integration components?

4. Updates & Upgrades

Given that the Enterprise Application Integration solution will consist of a number of software components, it is expected that over the life of the solution, improvements, additions and enhancements to functionality will occur. An update is a bug fix or patch for the software. An upgrade is a major change or software release. An upgrade can also be an increase in system capacity based on an increased amount of data, activity, or storage.

1. Please describe the practice of upgrading the core components of the solution. Information should include how upgrades are decided, frequency of issue, and how upgrades are supplied?
2. If the upgrades can be implemented with zero downtime, please describe how this is done?
3. Are software upgrades supplied through a maintenance contract? If not, please state how upgrades are priced?
4. What is the practice in the case of an upgrade of system capacity?
5. What is the practice in the case of adding a new application to the EAI?
6. How is the upgrade of applications integrated with the EAI taken care off?

5. Disaster Recovery

Please provide details on how the solution will cater to UBI's requirements for Disaster Recovery based on the requirements specified in Section 9.6.

6. Warranty Service

Please provide details on how the solution will cater to UBI's requirements for Warranty and Post-Warranty Services based on the requirements specified in Section 9.7.

7. Data governance

Please provide details on the framework to be adopted for managing the quality, consistency, reliability, usability, security and availability of the solution.

8. Product and System Training Details

Please provide details on how the training requirements of UBI as defined in Section 9.10 will be fulfilled.

Annexure I - Response to Integration Requirements

A set of guidelines are provided to assist SIs in responding to this section as follows:

Code	Description	Marks to be Awarded
"S"	Standard – Integration requirement can be met through standard adapters / components proposed with the solution.	4
"N"	Non Standard* – Integration requirement cannot be met through standard adapters/ components. However, SI has the resources and expertise to customize or build the adapters/ components to meet UBI's integration requirement. SI must provide details on the customization proposed.	0

***Note:** The "Non Standard" integration requirements will also need to be implemented as part of the RFP scope.

The integration requirements provided are existing requirements. Any suggestions for alternative integration approaches or technologies, within the general framework of these requirements, that improves efficiency, will be given due consideration.

Sr. No	Process Name	Source Application	Target Application	Response (S/N)	Remarks
1.	Clearing Cheques Processing	Cash Management System at individual Branches	Clearing Cheques Processing		

Sr. No	Process Name	Source Application	Target Application	Response (S/N)	Remarks
2.	E-collection	Cash Management System at individual Branches	E-collection		
3.	Cheque Return	Finacle	Cheque Return		
4.	Integration with Customer's ERP	ERP Systems of UBI Customers	Integration with Customer's ERP		
5.	B2B Invoice Processing for Customers	Bank's B2B Portal	B2B Invoice Processing for Customers		
6.	MIS Reporting to Customers / Correspondent Banks	Finacle	MIS Reporting to Customers / Correspondent Banks		
7.	Finacle to Swift Transactions - Outward Remittances / LC Advices / Payment Advices / etc. Messages like MT 100, 200, 700	Finacle	Finacle to Swift Transactions - Outward Remittances / LC Advices / Payment Advices / etc. Messages like MT 100, 200, 700		
8.	Swift to Finacle Transactions - Inward Remittances / LC Advices / etc.	SWIFT	Swift to Finacle Transactions - Inward Remittances / LC Advices / etc.		

Sr. No	Process Name	Source Application	Target Application	Response (S/N)	Remarks
9.	ECS	ECS	ECS		
10.	Invoice Processing for Customers	Channel Finance Server	Invoice Processing for Customers		
11.	E-remittance	E Remit	E-remittance		
12.	Credit Card	Finacle	Credit Card		
13.	Salary information	Union Parivar (PeopleSoft)	Salary information		
14.	Tax and TDS	Union Parivar (PeopleSoft)	Tax and TDS		
15.	Loan against PF	Union Parivar (PeopleSoft)	Loan against PF		
16.	Remittances	Union Parivar (PeopleSoft)	Remittances		
17.	Pension	Union Parivar – Pension	Pension		
18.	Employee Status Updation	Union Parivar (PeopleSoft)	Employee Status Updation		
19.	Incentive Calculation	Lead Management System	Incentive Calculation		
20.	FCNR (B) Account Operations	Kastle	FCNR (B) Account Operations		
21.	Nostro Account	SWIFT	Nostro Account		

Sr. No	Process Name	Source Application	Target Application	Response (S/N)	Remarks
	Reconciliation between Kastle and SWIFT and for Hong Kong Branch. Messages such as MT950/ MT940		Reconciliation between Kastle and SWIFT and for Hong Kong Branch. Messages such as MT950/ MT940		
22.	Reconciliation of Nostro Accounts	Kastle, SWIFT, Finacle, Nostro Accounts	Reconciliation of Nostro Accounts		
23.	Reporting for Deals below USD 1 Lakh	RET-AD	Reporting for Deals below USD 1 Lakh		
24.	RBI Returns - NRD- CS & IBS	RBI Package	RBI Returns - NRD- CS & IBS		
25.	FCS Settlement Accounts	Finacle	FCS Settlement Accounts		
26.	NEFT/RTGS uploading by Vostro Branch	Finacle	NEFT/RTGS uploading by Vostro Branch		
27.	Auto conversion of MT 103 into e-remittances file	SWIFT	Auto conversion of MT 103 into e-remittances file		
28.	SFMS Messages	SFMS	SFMS Messages		
29.	Cheque Truncation System	CTS	Finacle		

Sr. No	Process Name	Source Application	Target Application	Response (S/N)	Remarks
30.	Lending Automation System	LAS	Finacle		
31.	Finacle to LAS	Finacle	LAS		
32.	Tax Application	OLTAS	Tax Application		
33.	Allocation of cost, TPM voucher posting	MFTP	Allocation of cost, TPM voucher posting		
34.	Lien Marking and Transaction Posting	DEMAT	Lien Marking and Transaction Posting		
35.	Transaction Posting	SFMS	Transaction Posting		
36.	Lien Marking and Transaction Posting	ASBA	Lien Marking and Transaction Posting		
37.	Lien Marking and Transaction Posting	TM Religare	Lien Marking and Transaction Posting		
38.	Lien Marking and Transaction Posting	IDBI	Lien Marking and Transaction Posting		
39.	Lien Marking and Transaction Posting	ShareKhan	Lien Marking and Transaction Posting		

Annexure J - Methodology for Enterprise Application Integration Implementation

Please provide details of the methodology to be used for the Enterprise Application Integration Solution Implementation including a list of the deliverables to be submitted to UBI.

Annexure K - Project Plan and Schedule

Please provide details of the project plan clearly stating the project milestones.

Please also provide the dependency if any on the Bank in terms of SME time, network requirements, etc.

Annexure L - Team composition and Task Assignment for the Enterprise Application Integration Project

Please provide details of the team composition and the individual task assignments for Enterprise Application Integration Solution Implementation and Post Implementation support. Please also provide details of the Staff required from UBI and the roles to be played by these individuals.

Annexure M-1 - Unpriced Bill of Material

Requirement / Quantity	Basic price	Taxes, duties, levies, charges etc.	Total
Cost of the proposed application	XXXX	XXXX	XXXX
1. Software licenses	Yes/No	Yes/No	Yes/No
1.1 Account Name Check	Yes/No	Yes/No	Yes/No
1.2 Reconciliation	Yes/No	Yes/No	Yes/No
1.3 Business Activity Monitoring	Yes/No	Yes/No	Yes/No
1.4 Rules Engine	Yes/No	Yes/No	Yes/No
1.5 Database Tool	Yes/No	Yes/No	Yes/No
2. Environmental software	Yes/No	Yes/No	Yes/No
2.1.1.	Yes/No	Yes/No	Yes/No
3. DRC License Cost	Yes/No	Yes/No	Yes/No
4. Development License Cost	Yes/No	Yes/No	Yes/No
5. Training Cost	Yes/No	Yes/No	Yes/No
6. Cost of one adaptor for each of the following:	Yes/No	Yes/No	Yes/No
6.1 PeopleSoft	Yes/No	Yes/No	Yes/No
6.2 SAP R/3	Yes/No	Yes/No	Yes/No
6.3 JD Edwards	Yes/No	Yes/No	Yes/No
6.4 Oracle e-Business Applications	Yes/No	Yes/No	Yes/No
6.5 SWIFT	Yes/No	Yes/No	Yes/No
6.6 Finacle CBS	Yes/No	Yes/No	Yes/No
6.7 ISO 8583	Yes/No	Yes/No	Yes/No
7. Cost of customization, implementation etc., services (inclusive of all project services except training)	Yes/No	Yes/No	Yes/No
8. Onsite support of PSP during	Yes/No	Yes/No	Yes/No

Requirement / Quantity	Basic price	Taxes, duties, levies, charges etc.	Total
implementation			
9. Post Implementation AMC/ATS charges for one year*	Yes/No	Yes/No	Yes/No
10. Post implementation on-site support for 1 year **	Yes/No	Yes/No	Yes/No
11. Any other cost (Pl. specify)	Yes/No	Yes/No	Yes/No
TOTAL	Yes/No	Yes/No	Yes/No

Please provide heads for “Any other cost” below

Signature

* For the purpose of TCO, one year post warranty is considered. However the rates will be applicable for another 3 years

** For the purpose of TCO, one year post implementation on-site support is considered. However the rates will be applicable for another 4 years

* The Indicative Commercial Offer should be given in the above format only.

- There should be no conditions mentioned in the Commercial Offer.
- Commercial offers with conditions will be rejected.
- All costs should be only in Indian Rupees and all payments will also be only in Indian Rupees.

Annexure M-2 - Bill of Material

Requirement / Quantity	Basic price	Taxes, duties, levies, charges etc.	Total
Cost of the proposed application	XXXX	XXXX	XXXX
1. Software licenses			
1.1 Account Name Check			
1.2 Reconciliation			
1.3 Business Activity Monitoring			
1.4 Rules Engine			
1.5 Database Tool			
2. Environmental software			
2.1.1.			
3. DRC License Cost			
4. Development License Cost			
5. Training Cost			
6. Cost of one adaptor for each of the following:			
6.1 PeopleSoft			
6.2 SAP R/3			
6.3 JD Edwards			
6.4 Oracle e-Business Applications			
6.5 SWIFT			
6.6 Finacle CBS			
6,7 ISO 8583			
7. Cost of customization, implementation etc., services (inclusive of all project services except training)			
8. Onsite support of PSP during			

Requirement / Quantity	Basic price	Taxes, duties, levies, charges etc.	Total
implementation			
9. Post Implementation AMC/ATS charges for one year*			
10. Post implementation on-site support for 1 year **			
11. Any other cost (Pl. specify)			
TOTAL			

Please provide break-up of “Any other cost” below

Signature

* For the purpose of TCO, one year post warranty is considered. However the rates will be applicable for another 3 years

** For the purpose of TCO, one year post implementation on-site support is considered. However the rates will be applicable for another 4 years

* The Indicative Commercial Offer should be given in the above format only.

- There should be no conditions mentioned in the Commercial Offer.
- Commercial offers with conditions will be rejected.
- All costs should be only in Indian Rupees and all payments will also be only in Indian Rupees.

Annexure N - Bank Guarantee Form

Date:

To,

Union Bank of India,

Technology Center

Adi Shankaracharya Marg,

Opposite Powai Lake,

Andheri East, Mumbai 400072

Dear Sirs,

In response to your invitation to respond to your reference no. _____

Addressed to 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 procurement, installation, integration, customization and maintenance of the Enterprise Application Integration solution (EAI) and to provide training and initial handholding as listed in the RFP document.

Whereas the 'Vendor' has submitted the proposal in response to RFP, we, the _____ Bank having our head office _____ hereby irrevocably guarantee an amount of Rs. _____ Lakhs (Rupees _____ only) as bid security as required to be submitted by the 'Vendor' as a condition for participation in the said process of RFP.

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

- 1) If the Vendor withdraws his proposal during the period of the proposal validity; or
- 2) 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 Union Bank of India the said amount of Rupees Twenty Lakhs 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 Union Bank of India 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 Rs. _____ Lakhs (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 _____.

Annexure O - Resume Format

1. Core Team Members

Please provide a detailed resume of the core team members in the format specified below. Please restrict the resume to be one page long.

1	Name of Staff	
2	Proposed Position	
3	Education	
4	Experience Profile	
Industry: Project: Organization: Project Description: Role: Technical Environment: Service Line: Duration:		

Annexure P – Business Rules for Reverse Auction

1. *Applicability:*

- a. Reverse Auctions are carried out under the framework of rules that are called Business Rules.
- b. All vendors participating in Reverse Auction shall understand/accept and give an undertaking for compliance with the same to the Bank in the prescribed format Exhibit-A.
- c. Any SI not willing to submit such an undertaking shall be disqualified for further participation in respect of the procurement in question.

2. *Eligibility:*

- a. Only vendors who are technically qualified and who submit the prescribed undertaking to the Bank alone can participate in Reverse Auction relevant to the procurement for which RFP is floated.

3. *Compliance/Confirmation from Vendors:*

- a. The SI participating in Reverse Auction shall submit the following duly signed by the same Competent Authority who signs the offer documents in response to the RFP:
- b. Acceptance of Business Rules for Reverse Auction and undertaking as per format in Exhibit-A.
- c. Agreement between service provider and SI. (The service provider prior to announcement of Reverse Auction will give this format.)
- d. Letter of authority authorizing the name/s of official/s to take part in Reverse Auction as per format in Exhibit-B.

4. *Training:*

- a. The Bank will facilitate training for participation in Reverse Auction either on its own or through the service provider for the Reverse Auction.
- b. Where necessary, the Bank/service provider may also conduct a 'mock reverse auction' to familiarize the vendors with Reverse Auction process.
- c. Any SI/bidder not participating in training and/or 'mock reverse auction' shall do so at his own risk and it shall not be open for him to make any complaint/grievance later.

5. *Total Cost of Ownership (TCO):*

- a. TCO refers to the aggregate amounts payable by the Bank for transfer of ownership.
- b. TCO shall encompass but not be limited to the following:
 1. Cost of the equipment/product or services.
 2. License fee (Corporate or user specific as defined in RFP) including OS/Data Base/Application licenses).
 3. All existing taxes (including sales tax/VAT, service tax etc.), duties and levies
 4. Installation and commissioning charges, if any
 5. The prices should include the comprehensive on site warranty maintenance of the equipments covering all components, services, and visits to the concerned offices as specified in the RFP.
 6. Annual Maintenance Charges for the period as specified in the RFP.
 7. Transportation and Forwarding charges to respective sites
 8. Training costs for the product/service/equipment if and as defined in RFP.
 9. Service Level Agreement (SLA) costs as defined in RFP for applicable period.

- 10. Facility Management/infrastructure support costs as defined in RFP.
- 11. Insurance to cover the equipment for and from transit period till installation
- c. The TCO shall be arrived at after deducting 'buy back' costs involved and if/as defined in the RFP. TCO, however, shall not include variables of octroi and entry tax. These shall be paid as per actual and on production of receipts. However, the Bank shall pay no penalties in respect of octroi or entry tax and the SI shall bear such expenses.

6. *Date/Time for Training:*

- a. The Venue, Date, Time etc. for training in Reverse Auction shall be advised at the appropriate time.
- b. The Bank shall endeavor to fix such Date/Time at mutual convenience to the SI/s, service provider and the Bank.
- c. No request for postponement/fixing of Training Date/Time shall be entertained which in the sole view and discretion of the Bank might result in any avoidable delay to either the Reverse Auction or the whole process of selection of SI.

7. *Date/Time of Reverse Auction:*

- a. The Date and Time of commencement of Reverse Auction as also Duration of 'Reverse Auction Time' shall be communicated at least 7 working Days prior to such auction Date.
- b. Any force majeure or other condition leading to postponement of auction shall entitle the Bank to postponement of auction even after communication, but, the Bank shall be obliged to communicate to all participating vendors the 'Postponement' prior to commencement of such 'Reverse Auction'.

8. *Conduct of Reverse Auction:*

- a. The Reverse Auction shall be conducted on a specific web portal meant for this purpose.
- b. The Reverse Auction may be conducted by the Bank itself or through a service provider specifically identified/appointed/empanelled by the Bank.

9. *Service Provider's Role & Responsibilities:*

- a. In all Reverse Auctions conducted by the Bank through a Service Provider, the Bank shall enter into a separate agreement clearly detailing the role and responsibilities of the service provider hosting the web portal for the Reverse Auction.
- b. For creating necessary obligations and rights, the service provider will also enter into an agreement with each SI as per a format designed by him for this purpose. The Bank shall resolve any points/issues concerning such agreement of SI and service provider.
- c. While a Service Level Agreement (SLA) by the bank with the service provider is an arrangement for smooth and fair conduct of the Reverse Auction, the Bank shall be directly responsible to vendors for fair and transparent conduct of Reverse Auction.
- d. The service provider at the end of each Reverse Auction shall provide the bank with all details of the bids and reports of reverse auction.
- e. The service provider shall also archive the data pertaining to the Reverse Auction for a minimum period of 3 years.

10. *Training and Auction:*

- a. Service provider / auctioneer are responsible for conduct of adequate training to all technically qualified bidders representing the reverse auction and bidding process.
- b. Each SI / bidder shall participate in the training at his / their own cost.
- c. Wherever it is considered necessary and asked by the bidders or as decided by the auctioneer or by Bank a mock auction may also be conducted for the benefit of all concerned.
- d. Authorized representatives of the bidders named in the authorization letter given by the SI (Exhibit-B) shall be given unique user name, password by the service provider / auctioneer.
- e. Each bidder shall change the password and edit the information in the registration page after receipt of initial password.
- f. All the bids made from the login ID given to bidder shall ipso-facto be considered bid made by the SI / bidder, whom login ID and password were assigned by the service provider / auctioneer.
- g. Any bid once made through registered login ID / password by the SI / bidder cannot be cancelled. The bidder, in other words, is bound to sell the “Offering” as per the RFP at the bid price of TCO.
- h. Every successive bid by the bidder / SI being decremented bidding shall replace the earlier bid automatically and the final bid as per the time and log-in ID shall prevail over the earlier bids.
- i. The Bank shall conduct the reverse auction as per the Standard English reverse auction, that is, no two bids can have identical price from two different vendors. In other words, there shall never be a “Tie” in bids.

11. Proxy Bid:

- a. A proxy bid is one where SI can submit the lowest bid amount by him in strict confidence to the system directly. This obviates the need for him

- participating in the bidding process until other bidders decrementally reach the proxy bid amount.
- b. When proxy bid amount is reached, the SI has an option to revise the proxy bid amount or he can prefer to start participating in bidding process.
 - c. Since it is an English auction with no ties, two vendors submitting identical proxy bid amount and succeeding in auction simultaneously does not arise.
 - d. During training, the issue of proxy bidding will be clarified in detail by the service provider.

12. Transparency in Bids:

- a. All bidders will be able to view during the auction time the current lowest price in portal. Bidder shall be able to view not only the lowest bid but also the last bid made by him at any point of time during the auction time.

13. Masking of Names:

- a. Names of bidders/ vendors shall be anonymously masked in the Reverse Auction process and vendors will be given suitable dummy names.
- b. After completion of Reverse Auction, the service provider / auctioneer shall submit a report to the Bank with all details of bid and the original names of the bidders as also the L1 bidder with his / their original names.

14. Start Price:

- a. Bank shall determine the start price either on its own or through asking for information of price band on TCO from each SI at appropriate time during or at the conclusion of technical evaluation. Based on the price band so informed by vendors, Bank would determine the start price for reverse auction.

15. Decrement Bid Value:

- a. The vendors shall be able to bid only at a specified decrement value and not at any other fractions. The Bid decrement value shall be Rs 7500/- or 0.25% of the Start price of the Reverse Auction, whichever is higher.
- b. The bid decrement value shall be rounded off to the nearest thousands of rupees.
- c. For the sake of convenience of vendors, the web portal shall display the next possible decremental value of bid. It is not, however, obligatory on the part of vendors to bid at the next immediate lower level only. (That is, bids can be even at 2 or 3 lower levels than the immediate lower level.)

16. Copy of Business Rules:

- a. The Bank shall supply copy of the Business rules to any vendors / bidders, wishing to participate in the reverse auction. An authorized representative of the SI shall make such request in writing to the Bank.
- b. The Bank shall also handover a copy of the Business Rules with a covering letter duly signed by an authorized signatory of the Bank.
- c. For any dispute concerning the Business Rules, the hard copy of Business Rules supplied by the Bank for the reference of reverse auction process will alone be considered final and binding.

17. Splitting of Orders:

- a. If any RFP specifically authorizes splitting of orders for the sake of reducing dependency on single source of supply or provision of service, Bank is entitled to split the order in the order and as provided in RFP.

- b. While splitting the order, Bank shall specify the maximum quantum for L1, L2 etc. in RFP.
- c. In case L2 SI is not willing to supply at L1 price, Bank shall call L3, L4 etc. in order to arrive at the split quantum to be awarded.
- d. The Bank shall also be entitled to award the contract to L2, L3 or L4 etc. bidders in the event of L1 bidder backing out to honour the commitment, or for that matter not in a position to supply the offering as per RFP.

18. Reverse Auction Process:

- a. In order to reduce the time involved in the procurement process, Bank shall be entitled to complete the entire procurement process through a single Reverse Auction. For this purpose, Bank shall do all it can to award the contract to L1 bidder or in the circumstances where awarding of contract may have to be done to the L2, L3 bidder as provided for in the RFP.
- b. The Bank shall however, be entitled to cancel the procurement of Reverse Auction process, if in its view procurement or reverse auction process cannot be conducted in a fair manner and / or in the interest of the Bank.
- c. The successful SI shall be obliged to provide a Bill of Material at the last bid price at the close of auction.

19. Expenditure on Reverse Auction:

- a. All expenses of reverse auction shall be borne by the Bank.
- b. Vendors, however, shall attend the training or mock auction at their own cost.

20. Changes in Business Rules:

- a. Any change in Business Rules as may become emergent and based on the experience gained shall be made only by a Committee of Senior / Top executives of the Bank.
- b. Any / all changes made in Business Rules shall be uploaded in the Website immediately.
- c. If any reverse auction process has commenced and a change is made in Business Rules, it shall be informed immediately to each SI/ bidder and his concurrence to / acceptance of the change shall be obtained in writing by the Bank.

21. Don'ts Applicable to the Bidder/SI:

- b. No SI shall involve himself / itself or any of his / its representatives in any price manipulation directly or indirectly with other bidders. If any such practice comes to the notice, Bank shall disqualify the SI / bidders concerned from the reverse auction process.
- c. Bidder shall not disclose details of his bids or any other details concerning Reverse Auction process of the Bank to any other third party without specific permission in writing from the Bank.
- d. Neither Bank nor service provider / auctioneer can be held responsible for consequential damages such as no power supply, system problem, inability to use the system, loss of electronic information, power interruptions, UPS failure, etc. (Bank shall, however, entertain any such issues of interruptions, problems with open mind and fair degree of transparency in the process before deciding to stop or extend the auction.)

22. Grievances Redressal:

- a. Any aggrieved SI / bidder through Reverse Auction process can make complaint in writing within 48 hours of the Reverse Auction to the Chief Compliance Officer of the Bank.

- b. The Chief Compliance Officer along with the Chief Law Officer of the bank and Chief of Audit Dept. shall give personal hearing to the aggrieved bidder / SI and decide upon the complaint / grievance.
- c. Decision of the Grievance Redressal Committee shall be binding on the Bank as well as on all vendors participating in the Reverse Auction.

23. Errors and Omissions:

- a. On any issue or area of material concern respecting Reverse Auction not specifically dealt with in these Business Rules, the decision of the bank shall be final and binding on all concerned.

Exhibit

Exhibit A – Compliance Statement

(To be submitted by all the vendors participating in Reverse Auction)

Union Bank of India

Technology Centre, 4th Floor,

Department of Information Technology,

Shri Adi Shankaracharya Marg,

Opp. Powai Lake, Powai,

Mumbai – 400 072

DECLARATION

We _____ (name of the company) hereby confirm having submitted our bid for participating in Bank's RFP dated _____ for providing services of _____.

We also confirm having read the terms of RFP as well as the Business Rules relating to the Reverse Auction for this RFP process.

We hereby undertake and agree to abide by all the terms and conditions stipulated by Union Bank of India in the RFP document including all Annexure and the Business Rules for Reverse Auction.

We shall participate in the on-line auction conducted by _____ Ltd. (auction Company) and submit our commercial bid. We shall also abide by the procedures prescribed for online auction by the auction company.

We, hereby confirm that we will honour the Bids placed by us during the auction process, failing which we shall forfeit the EMD. We also understand that the bank may debar us from participating in future tenders.

We confirm having nominated Mr. _____, designated as _____ of our company to participate in the Reverse Auction on behalf of the company. We undertake that the company shall be bound by the bids made by him in Reverse Auction.

We undertake to submit the confirmation of last bid price by us to the auction company/Bank within 48 working hours of the completion of event. We also undertake to submit the Bill of Materials for the TCO (Total Cost of Ownership) in terms of RFP.

Signature with company seal

Company/ Organisation

Designation within Company / Organisation

Address of Company / Organisation

Date:

Name of Authorized Representative: _____

Signature of Authorized Representative: _____

Verified above signature

Signature of Competent Authority: _____

Date: _____

Exhibit B - Letter of Authority for Participation in Reverse Auction

To,

Union Bank of India

Technology Centre, 4th Floor,

Department of Information Technology,

Shri Adi Shankaracharya Marg,

Opp. Powai Lake, Powai,

Mumbai – 400 072

We _____ (name of the company) have submitted our bid for participating in Bank's RFP dated _____ for providing services of _____.

We also confirm having read and understood the terms of RFP as well as the Business Rules relating to the Reverse Auction for this RFP process.

As per the terms of RFP and Business rules, we nominate Mr. _____, designated as _____ of our company to participate in the Reverse Auction.

We accordingly authorize Bank and / or the Auction Company to issue user ID and password to the above named official of the company.

Both Bank and the auction company shall contact the above named official for any and all matters relating to the Reverse Auction.

We, hereby confirm that we will honor the Bids placed by Mr. _____ on behalf of the company in the auction process, failing which Bank will forfeit the EMD. We agree and understand that the bank may debar us from participating in future tenders for any such failure on our part.

Signature with company seal

Name -

Company/Organization-

Designation within Company / Organization -

Address of Company / Organization -

Date:

Name of Authorized Representative: _____

Designation of Authorized Representative: _____

Signature of Authorized Representative: _____

Verified by: _____

Signature of Verifying Authority: _____

Date: _____