



## Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru

Union Bank of India,  
Department of Information Technology  
1/1A, Technology Center, Adi Shankaracharya Marg,  
Opp. Powai Lake, Powai, Andheri East, Mumbai - 400072

### Disclaimer

The information contained in this Request for Proposal (RFP) is provided to the Bidder(s) on the terms and conditions set out in this RFP document. The RFP document contains statements derived from information that is believed to be true and reliable at the date obtained but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with Bank in relation to the provision of services.

The RFP document is not a recommendation, offer or invitation to enter into a contract, agreement or any other arrangement, in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between the Bank and any successful Bidder as identified by the Bank, after completion of the selection process as detailed in this document. 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 Bidder. The purpose of this RFP is to provide the Bidder(s) with information to assist the formulation of their proposals. This RFP does not claim to contain all the information each Bidder may require. Each Bidder should conduct their own investigations and analysis and should check the accuracy, reliability and completeness of the information in this RFP and where necessary obtain independent advice. Union Bank of India makes no representation or warranty and shall incur no liability under any law, statute, rules or regulations as to the accuracy, reliability or completeness of this RFP. Union Bank of India may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information in this RFP.

## GENERAL INSTRUCTIONS TO BIDDERS

All bidders must note that this being E-tender, bids received only through online on E-tendering portal <https://ubi.abcprocure.com> shall be considered as an offer. ***Any bid submitted in physical form will not be received or opened and shall be summarily rejected.***

### Procedure for submission of E-tender by bidder:

Interested bidders who wish to participate should visit website <https://ubi.abcprocure.com> which is the ONLY website for bidding their offer. Further, the procedure is as follows:

1. Register your company in website <https://ubi.abcprocure.com> for obtaining a Login ID and Password.
2. Using the login ID, password and digital signature, login in to the tender portal to download the tender document. It is mandatory for the Bidders to have a valid Digital Signature Certificate - Signing and Encryption (Class - II or Class - III) issued by any of the valid Certifying Authority approved by Govt. of India as per IT Act, 2000. DSC on **Organization name** is required, if bidder want to participate on behalf of his/her Company.
3. Pay Earnest Money Deposit (i.e EMD) through Demand Draft (i.e DD)/Bank Guarantee (BG) and upload the scan copy in the website.
4. Upload supporting documents by clicking “Mapped Documents”. Then submit the tender. Take a print screen of “Bid successfully submitted” message for reference.
5. Primary Contact Numbers:- +91-9081000427, 9904406300, email id: [support@procuretiger.com](mailto:support@procuretiger.com)
6. Alternate Contact No.:- Mr. Nandan Valera :- 079-68136809/6815/6824, M:9081000427, nandan.v@eptl.in.
7. System requirement for online bid submission:
  - a. Computer / Laptop (Notebook) with internet connection of minimum 256 kbps speed.
  - b. Operating system - Windows XP Service pack -3 / VISTA/ Windows 7 or above.
8. Bidder must submit the offer before online closing date & time. The website will automatically stop accepting the offer after online closing date and time.

**NOTE:** Submission of any bid document through offline mode will not be accepted except Bid Security (EMD) and Pre-Contract Integrity Pact (on plain paper) signed by authorized signatory and should be submitted on or before last date or at the time of bid submission.

## Abbreviations

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

SN	Abbreviations	Description
1	Information System	This is Bank's hardware (servers, workstations, printers, scanners, etc.), software, network infrastructure and the data stored/ associated with them.
2	Bank/ Purchaser/ Union Bank	Reference to the "the Bank", "Bank" and "Purchaser" Shall be determined in context and may mean without limitation "Union Bank of India, i.e. amalgamated entity consisting of Union Bank of India, erstwhile Corporation Bank (eCB) and erstwhile Andhra Bank (eAB) combined and it's Foreign Offices, Foreign Subsidiaries and Domestic Subsidiaries".
2	BFSI	Banking, Financial Services and Insurance
4	BG	Bank Guarantee
5	Bidder/ Service Provider/ System Integrator	An eligible entity/ firm submitting a Proposal/ Bid in response to this RFP.
6	DC	Data Center
7	DIT	Department of Information Technology, UBI
8	DR	Disaster Recovery
9	IP	Internet Protocol
10	MAF	Manufacturer Authorization Form
11	MSME	Micro, Small & Medium Enterprises
12	NDA	Non-Disclosure Agreement
13	NSIC	National Small Industries Corporation
14	OEM	Original Equipment Manufacturer or OEM is the organization which have developed/ created the product/ software and hence is entitled to distribute the same.
15	PBG	Performance Bank Guarantee
16	PO	Purchase Order
17	Project Cost	Project cost would be Licensing Cost/ Initial cost/ Onetime cost/ Fees/ Development Cost/ Installation cost/ Implementation and Commissioning cost/ Integration cost with Existing systems/ Training cost/ Technical assistance.
18	Proposal/ Bid	The Bidder's written reply or submission in response to this RFP.
19	PSB	Public Sector Bank
20	PSU	Public Sector Undertaking
21	RFP	The request for proposal (this document) in its entirety, inclusive of any addenda that may be issued by the Bank.
22	SLA	Service Level Agreement
23	Solution/ Services/ Work/ System	"Solution" or "Services" or "Work" or "System" or "IT System" means all services, scope of work and deliverables to be provided by a Bidder as described in the RFP and include services ancillary to the development of the solution, such as installation, commissioning,

SN	Abbreviations	Description
		integration with existing systems, provision of technical assistance, training, certifications, auditing and other obligation of the Supplier covered under the RFP.
24	Supplier/ Contractor/ Vendor	Selected Bidder/ Service Provider/ System Integrator under this RFP.
25	TCO	Total Cost of Ownership
26	The Bank	Amalgamated entity i.e. consolidated entity consisting of Union Bank of India, erstwhile Andhra Bank (e-AB) and erstwhile Corporation Bank (e-CB) combined.
27	TO	Technical Offer
28	UBI or Union Bank	Union Bank of India (Pre-amalgamated Union Bank of India)

**Schedule of Events & Bid Details**

Ref. No. UBI/DIT/2022-23/15

<b>Start Date&amp; Time of issue of RFP/ Document Download</b>	21.06.2022 at 11:00 Hours
<b>Date and time of Online Prebid Meeting</b>	28.06.2022 by 11:00 Hours
<b>Last date and time for submission of query</b>	29.06.2022 by 17:00 Hours
<b>Last date and time of Downloading of RFP</b>	12.07.2022 by 15:00 Hours
<b>Last date and time for submission Of Bidding Document</b>	12.07.2022 by 16:00 Hours
<b>Date and Time of Technical Bid Opening</b>	12.07.2022 by 16:15 Hours
<b>Place of opening of Bids (Online)</b>	Union Bank of India, Information Technology (5thFloor), 1/1 A, Technology Centre, Adi Shankaracharya Marg, Opp. Powai Lake, Andheri (East), Mumbai-400072.
<b>Address &amp; Contact Numbers</b>	As above Tel:(022) 25710507/528
<b>Cost of RFP (Non-Refundable)</b>	Cost of RFP is waived off if bidder prefers to download the RFP document online. However, bidder is required to pay Rs. 2,500/- in the form of Demand Draft in favor of Union Bank of India, payable at Mumbai for purchasing hardcopy from DIT.
<b>Security Deposit/Earnest Money Deposit (EMD)</b>	Rs.18,00,000/- (Rupees Eighteen Lac Only) in the form of Demand Draft in favor of Union Bank of India, payable at Mumbai. EMD can also be paid in the form of Bank Guarantee (BG) of any scheduled commercial Bank other than Union Bank of India and should be valid for 6 months from the date of bid submission with a claim period of 45 days.
<b>Contact details</b>	Interested Bidders are requested to send the email to: kislaysinha@unionbankofindia.bank, sanjiiev@unionbankofindia.bank & kmsalam@unionbankofindia.bank containing below mentioned information, so that in case of any clarification same may be issued: <b>Name of company, contact person, Mailing address with Pin Code, Telephone No., Mobile No., email address etc.</b>

**Note:** Bids once submitted will be treated as final and no further correspondence will be entertained on this. No bid will be modified after submission of bids. No bidder shall be allowed to withdraw the bid.

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## Union Bank of India

### 1. Introduction

Union Bank of India, a Public Sector Bank has its Head Office at 239, Vidhan Bhavan Marg, Union Bank Bhavan, Nariman Point, Mumbai - 400021, having Department of Information Technology at 1/1A, Adi Shankaracharya Marg, opp. Powai Lake, Powai, Andheri East, Mumbai-400072. The Bank has 9400+ branches, 18 Field General Manager Offices and 125 Regional Offices spread across the country.

### 2. Adoption of Integrity Pact (IP)

Venders/bidders/sellers, only those who commit themselves to Integrity Pact (IP) with the Bank, would be considered competent to participate in the bidding process. In other words, entering into this pact would be the preliminary qualification. IP shall cover all phases of contract i.e. from the stage of Notice Inviting Tenders (NIT)/Request for Proposals (RFP) till the conclusion of the contract i.e. final payment or the duration of warranty/guarantee. Format of IP is attached as [Annexure M](#) for strict compliance.

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

- a. Dr. Meeran Chadha Borwankar, IPS (Retd.),  
e-mail- [mcborwankar@gmail.com](mailto:mcborwankar@gmail.com)
- b. Smt. Bharathi Sivaswami Sihag, IAS (Retd.),  
e-mail- [bsihag@hotmail.com](mailto:bsihag@hotmail.com)

### 3. Objectives of the RFP

Union Bank of India (hereinafter called as “UBI” or “Bank”) invites proposals from experienced and eligible entities (hereinafter referred to as “Respondent” or “Bidder” or “Vendor”) for Supply, configuration, implementation, integrations and Maintenance of 8 numbers of Next Generation Firewall at DC and DR locations with 3 years onsite warranty and 2 years AMC for a contract period of 5 years.

### 4. Definitions

- 4.1. ‘Bank’ means unless excluded by and repugnant context or the meaning thereof, shall mean ‘Union Bank of India’, described in more detail in paragraph 1 above and which has invited bids under this Request for Proposal and shall be deemed to include its successors and permitted assigns.
- 4.2. ‘RFP’ means this Request for Proposal prepared by Union Bank of India for Selection of System Integrator for Supply, configuration, implementation,

integrations and Maintenance of 8 Next generation Firewall appliances at DC and DR locations.

- 4.3. 'Bidder' means a vendor submitting the proposal in response to this RFP.
- 4.4. 'Contract' means the agreement signed by successful bidder and the Bank at the conclusion of bidding process, wherever required.
- 4.5. 'Proposal' means that Technical/Financial proposal including any documents submitted by the bidder as per the formats prescribed in the RFP.
- 4.6. 'Solution' means Supply, configuration, implementation, integrations and Maintenance of 8 Next generation Firewall appliances at DC and DR locations.

## 5 Project Overview

- 5.1. Bank has a on-premise Cyber-Security Operation Centre (C-SOC) to monitor, assess and defend Bank's information systems. The C-SOC is equipped with set of tools such as Security Information and Event Management Tool (SIEM), Anti-DDOS, Incident Management tool, Anti-APT, PIM, DAM, etc. and Security Intelligence services for better security monitoring and response capabilities. Bank is now intended to deploy new firewalls for new expanded infrastructure after amalgamation of Bank and considering the increased bandwidth at DC and DR locations. Bidder is expected to deliver, design, implement and provide support for the appliances.
- 5.2. Bank invites bids from System Integrators (SIs)/ OEMs for deliver, design and implement 4 set of Next generation firewalls. Bidder would be responsible for implementing firewalls at both DC Mumbai and DR site Bengaluru locations.

## 6. Invitation of Tender Bids

This RFP is an invitation for bidder's responses. No contractual obligation on behalf of the Bank whatsoever shall arise from the RFP process unless and until a formal contract is signed & executed by duly authorized officers of the Bank and the successful bidder. However, until a formal contract is prepared and executed, this offer together with Bank's written acceptance & notification of award shall constitute a binding contract with the successful bidder.

Bidders are expected to examine all instructions, forms, terms, specifications, and other information in the RFP document. Failure to furnish any information required by the RFP document or to submit a bid not substantially responsive to the RFP document in every respect will be at the Bidder's risk and shall result in the rejection of its bid. The procedure and terms & conditions for submission of bid are enumerated in this RFP.

All offers of the bidders shall be unconditional and once accepted whether with or

without modifications by the Bank shall be binding between the Bank and such Bidder.

The RFP Document can be downloaded from Bank's Website [www.unionbankofindia.co.in](http://www.unionbankofindia.co.in) or from Government portal [eprocure.gov.in](http://eprocure.gov.in) or e-Procurement Portal [ubi.abcprocure.com](http://ubi.abcprocure.com). The response should be uploaded online at the e-procurement Portal <https://ubi.abcprocure.com>.

## 7. Eligibility Criteria

7.1. Eligibility criteria for the Bidder to qualify this stage is clearly mentioned in [Annexure C](#). The technical bids of only those bidders who qualify in the eligibility criteria will be evaluated. Document/s in support of eligibility criteria are required to be submitted along with the Technical Bid. Offers received from the bidders who do not fulfill any of the following eligibility criteria are liable to be rejected. Document/s in support of eligibility criteria are required to be submitted along with the Technical Bid.

**Note: Vendor must comply with the above-mentioned criteria. Non-compliance to any of the criteria can entail rejection of the offer. Photocopies of relevant documents/certificates should be submitted as proof in support of the claims made for each of the above-mentioned criteria. The Bank reserves the right to verify/evaluate the claims made by the vendor independently. Any misrepresentation will entail rejection of the offer.**

7.2 The participating bidders are required to submit unambiguous documentary evidences, in support of their meeting the above eligibility criteria. The bidder must comply with all above mentioned criteria. Non-compliance of any criteria will entail rejection of the bid summarily.

7.3 Bank reserves the right to verify/evaluate the claims made by the bidder independently. Any decision of the Bank in this regard shall be final, conclusive and binding upon the bidder. The Bank may accept or reject an offer without assigning any reason what so ever.

All documentary evidence/certificates confirming compliance criteria should be part of eligibility criteria.

## 8. Broad Scope of Work

The Scope of work for firewall solution including design, supply, configuration, implementation, integrations, documentation, training, warranty support, post warranty maintenance support and any other activities if contracted related to or connected to proposed firewalls at DC and DR locations.

The Bank, now, proposes to purchase 8 numbers of appliance based Next Generation Firewalls System for detecting and stopping malicious traffic as a preventive control solution. The appliances must be implemented in HA at DC Mumbai and DR site, Bengaluru.

The successful bidder will take total responsibility for providing and seamless commissioning the Firewalls into Banks network, as per the given configuration of existing devices.

- a. Supply of appliance based Next Generation Firewalls with provision of version upgrades/patches.
- b. Design, validate, installation, implementation as per Bank's security architecture design & pattern of traffic; this will include device rules / device policy definition and enforcement on the appliances proposed in this RFP.
- c. Installation of the proposed appliance will include migration of policies and configuration from existing Checkpoint, FortiGate and Cisco ASA, firewalls etc.
- d. Proposed firewall OEM/make should be other than make/OEM of Perimeter Firewall currently deployed in the Bank. This RFP is to procure alternate make/OEM firewalls other than Perimeter firewall considering the best security practices of not using same make of firewall in adjacency in a row. Therefore, current OEM of perimeter firewall won't be eligible in this RFP. Names of make/OEM of firewalls currently deployed at perimeter would be shared during the pre-bid meeting.
- e. Performance tuning- Performance tuning so that the solution operates as proposed on the production network.
- f. Rule/signature tuning- Maximizing the number of rules which can be run in full blocking mode. Our plan is to run all rules in monitor mode at first and turn on blocking over time to minimize downtime and risk to our production environment.
- g. To provide licenses/subscriptions like appliance, management Server, Operating System, Database (if required), up-gradation etc.
- h. Comprehensive onsite warranty of 3 year for all the hardware/software under the project.
- i. Bidder shall deliver, deploy, integrate and maintain firewalls in Bank's premises to improve security posture of Bank. While Bank's SI shall perform regular day to day firewall operation part and manage the same.
- j. Bidder shall provide the latest model in the class as per RFP requirement and the model should not be declared end of sale within 12 months of delivery to the Bank. If the model gets declared end of sale within 12 months, then bidder has to provide latest firewall appliance with similar specification without any additional cost to Bank.

## 9. Detailed Scope

- 9.1 Bidder shall propose firewalls that should be capable of retrieving the archived logs for analysis, correlation, reporting and forensic purposes. Appliance shall be capable of retaining the logs locally for minimum period of 3 months.
- 9.2 Bidder must ensure that once the logs are written to the disk/ database no one including SIEM or database / system administrator should be able to modify or delete the stored raw logs.
- 9.3 Assist Bank's SI if needed during cyber security drills / audits as and when conducted.
- 9.4 Bidder should develop a Standard Operating Procedure (SOP) for alert management, incident management, forensics, report management, log storage and archiving, Business Continuity. SOP should also cover log monitoring tool management including configuration, backup, and recovery.
- 9.5 Bidder should provide knowledge transfer and training on the technology, functionality, and operations of the proposed firewall solution to current service integrator and Bank officials.
- 9.6 Any Team Lead change during implementation of the project should be carried out only after mutual consent and must comply with the RFP Eligibility criteria.
- 9.7 Solution should be capable of integration with SIEM, MFA and Capacity monitoring tools

## 10. Training

- 10.1. Training to the identified bank personnel/C-SOC team on the product architecture, functionality and the solution design shall be provided before the implementation of solution by OEM. Training will be arranged by the selected Bidder/ OEM in Bank's premises. Bank will provide training room along with required no. of PCs and projector. Rest all expenses will be borne by Bidder. In case there is need to conduct training at OEM/Bidder premises, Bank will provide only logistics.
- 10.2. The Bidder shall train the Bank's personnel/ C-SOC yearly once during contract period for independent operation, creation of policies/rules, generation of reports, and analysis of the reports, Troubleshooting and familiarization of features and functionalities etc.
- 10.3. Bidder shall provide comprehensive training manual, presentations, videos, lecture notes, hand-outs and other training documentation for all trainings.

## 11. Firewall solution Capabilities

The current requirement of the Bank is given in the following table 1(a).

Table 1(a) Current Requirements of Bank

Sr.	Description	Qty
1.a	Appliance based Firewalls with High Availability /Load balancing, IPS, Antivirus, web content filtering with centralized management inclusive of subscriptions and licenses, 24x7 support and same day replacement in case of any hardware or software failure and need replacement.	8 nos.

The Technical Requirements given in this section of the RFP in Table1 (b) are minimum acceptable configurations. However, the bidder has the option of quoting optional features available in the product.

The bidder should quote for only one product/solution. If a bidder for any one of the stated technical requirements quotes multiple products/solutions, the Bank may disqualify the entire response to the RFP of the bidder.

- The proposed appliances should be as per the minimum configurations given in table 1 (b).
- The appliances and hardware should include necessary licenses for Operating Systems and Data bases, if any.
- The proposed appliance must support standard log co-relation SIEM tool such as Arcsight, Netforensic, RSA etc.

TECHNICAL FEATURES OF THE FIREWALLS	
Hardware and Interface Requirements	
1.	Firewall appliance should have Console port and USB Ports.
2.	The platform must be supplied with minimum 4x40GE QSFP, 16x25 GE/10GE/1GE SFP, & 8x1GE RJ 45 ports
3.	Appliance should be rack mountable and support side rails if required
4.	Firewall should have Hardware Sensor Monitoring capabilities
5.	Solution should have dual power supplies, redundant hard disk and cooling fans on the firewall appliances as well as on centralized monitoring, management and Log server if required separately.
6.	The platform should support VLAN tagging (IEEE 802.1q)
7.	The firewall should support ISP link load balancing
8.	The firewall must support stateful active-active load balancing and high availability for redundancy.
9.	Firewall should support Link Aggregation functionality to group multiple ports as single port.
10.	Firewall should support Ethernet Bonding functionality for Full Mesh deployment architecture
11.	Solution should have minimum 800 GB onboard storage
12.	40GE QSFP+ transceivers, short range for all systems with QSFP+ Slots, 25/10GE SFP+ transceiver module, short range for all systems with SFP+ and SFP/SFP+ slots
Performance Requirements	



1.	Firewall threat prevention throughput must be minimum of 17 Gbps or higher after enabling all the security features in production environment. Bank, at its own discretion may enable various security features on firewall at different point of time. In such cases if the threat prevention throughput of the firewall goes under 15 Gbps then it will be considered as under performance. In case of underperformance, vendor must upgrade or replace firewall/components to the next higher configuration without any additional cost to Bank.
2.	The Firewall must support minimum 20 million concurrent connections with NGFW features enabled.
3.	The Firewall must support minimum 450k new connections per second processing with NGFW features enabled.
4.	Appliance should have a capability to support for more than 500 VLAN.
	<b>Architecture Features</b>
1.	The communication between all the components of Firewall System (firewall module, logging & policy management server, and the GUI/WebUI Console) should be encrypted with SSL or PKI.
2.	Firewall Appliances should be deployed for Active - Active or Active-Passive failover architecture for both Firewall & VPN functions as and when required.
3.	It should support the IPSec VPN for both Site-Site & Remote Access VPN.
4.	The firewall appliance/management server should be able to store configuration and Logs locally and the Solution should also be capable to take backup of the configuration and logs on periodical intervals.
5.	It should support the system authentication with TACACS+/ RADIUS.
6.	Firewall Appliance should have a feature of holding multiple OS images to support resilience & easy rollbacks during the version upgrades.
	<b>Network Protocols/Standards Support Requirements</b>
1.	It should support at least 200 protocols.
2.	Firewall Modules should support the deployment in Routed as well as Transparent Mode.
3.	The Firewall must provide state engine support for all common protocols of the TCP/IP stack.
4.	The Firewall must provide NAT functionality, including dynamic and static NAT translations.
5.	All internet based applications should be supported for filtering like Telnet, FTP, SMTP, http, DNS, ICMP, DHCP, ARP, RPC, SNMP, Lotus Notes, Ms-Exchange etc .
6.	Local access to the firewall modules should support authentication protocols - RADIUS/TACACS+.
7.	IPSec VPN should support the Authentication Header Protocols - MD5 & SHA (SHA1 and SHA2)
8.	IPSec ISAKMP methods should support Diffie-Hellman Group 1,2,5,14 & 19, MD5 & SHA (SHA1 and SHA2) Hash, RSA & Manual Key Exchange Authentication, 3DES/AES-256 Encryption of the Key Exchange Material and algorithms like RSA-1024 / 1536 or higher
9.	IPSec encryption should be supported with 3DES, AES-128 & AES-256 standards or higher
10.	IPSec should have the functionality of PFS and NAT-T
11.	Firewall should support the authentication protocols RADIUS, LDAP, TACACS, and PKI methods
12.	Firewall should support PKI Authentication with PCKS#7 & PCKS#10 standards or higher



13.	It should support BGP, OSPF, Multicast Tunnels, Multicast protocols like DVMRP, PIM etc.
<b>Firewall Filtering Requirements</b>	
1.	It should support the filtering of TCP/IP based applications with standard TCP/UDP ports or deployed with customs ports
2.	The Firewall must provide state engine support for all common protocols of the TCP/IP stack
3.	The Firewall must provide filtering capability that includes parameters like source addresses, destination addresses, source and destination port numbers, protocol type
4.	The Firewall should be able to filter traffic even if the packets are fragmented
5.	It should support the VOIP Applications Security by supporting to filter SIP, H.323, MGCP and Skinny flows.
6.	It should be able to block Instant Messaging like Yahoo, MSN, ICQ, Skype (SSL and HTTP tunnelled)
7.	It should enable blocking of Peer-Peer applications, like Kazaa, Gnutella, Bit Torrent, IRC (over HTTP)
8.	The Firewall should support authentication protocols like LDAP, RADIUS and have support for firewall passwords, smart cards, & token-based products like SecurID, LDAP-stored passwords, RADIUS or TACACS+ authentication servers, and X.509 digital certificates.
9.	The Firewall should support database related filtering and should have support for Oracle, MS-SQL, and Oracle SQL-Net .
10.	The Firewall should provide advanced NAT capabilities, supporting all applications and services
11.	Should support CLI & GUI based access to the firewall modules
12.	Local access to firewall modules should support role based access
13.	QoS Support [Guaranteed bandwidth, Maximum bandwidth, Priority bandwidth utilization, QOS weighted priorities, QOS guarantees, QOS limits and QOS VPN]
<b>Integrated IPS Feature Set</b>	
1.	Integrated IPS functionality should be available as a software module that can be activated and de-activated as and when required.
2.	The IPS should be constantly updated with new defences against emerging threats.
3.	IPS updates should have an option of Automatic downloads and scheduled updates so that it can be scheduled for specific days and time.
4.	Should have flexibility to define newly downloaded protections will be set in Detect or Prevent mode.
5.	IPS Engine should support Vulnerability and Exploit signatures, Protocol validation, Anomaly detection, Behavior-based detection, Multi-element correlation.
6.	IPS Profile should have an option to select or re-select specific signatures that can be deactivated.
7.	Intrusion Prevention should have option to add exceptions for network and services.
8.	IPS should have the functionality of Geo Protection to Block the traffic country wise.
9.	IPS Policy to Block the traffic by country should have an option to configure in incoming direction, Outgoing direction or both.

10.	IPS events/protection exclusion rules can be created and view packet data directly from log entries with RAW Packets and if required can be sent to Wireshark for the analysis.
11.	Application Intelligence should have controls for Instant Messenger, Peer-to-Peer, Malware Traffic etc.
12.	Instant Messenger should have options to Block File Transfer, Block Audio, Block Video, Application Sharing and Remote Assistance .
13.	IPS should have an option to create your own signatures with an open signature language.
14.	IPS should provide detailed information on each protection, including: Vulnerability and threat descriptions, Threat severity, Performance impact, Release date, Industry Reference, Confidence level etc
	<b>Identity Awareness Features</b>
1.	Firewall Should support Identity Access for Granular user, group and machine based visibility and policy enforcement.
2.	Firewall should support the Identity based logging .
3.	Identity Access should be able to distinguish between employee and other like guests and contractors.
4.	Should have an option of time duration for Guests Login.
5.	Should provide seamless AD Integration with multiple deployment options like Clientless, Captive Portal or Identity Agent.
6.	Should support and obtain the user identity in case user is behind a proxy.
7.	Identity awareness licensing should be passed per gateway and not restrict on the basis on users.
8.	Should support redundancy High Availability and Load Sharing .
9.	Identity Awareness should work in conjunction with Application Control
	<b>Web Control [Application Control +URL Filtering] Features</b>
1.	Solution should support Application Detection and Usage Control.
2.	Should enable securities policies to identify, allow, block or limit application regardless of port, protocol etc.
3.	Application Control Databases should have application control list.
4.	Should have more than 60+ predefined Categories based on Urls, Application types, Security Risk level etc. However solution should be able to create custom categories for URL and application.
5.	Should have Categories like Business Applications, Instant Messaging, File Storage and Sharing, Mobile Software, Remote Administration, SMS Tools, Search Engine, Webmail etc Should support User and Group based policies.
6.	Solution should have an option of allow/block/Monitor/Authentication a user before allowing access to website.
7.	Solution should support Actions like allow, Block inform etc.
8.	Should be integrated with Identity Awareness for granular control of application by specific users, group of users and machine they are using.
9.	Should provide Seamless and Agent-less integration with Active Directory
10.	Active Directory user's identification may be done either through querying Active Directory, through a captive portal or through installing a one-time, thin client-side agent .
11.	Should be Managed Centrally from Single Dashboard via user friendly interface.
	<b>Antimalware Feature Set (Antivirus+ Bot Attacks)</b>

1.	Solution should be able to identify malwares coming from incoming files and malwares downloaded from Internet
2.	Solution should be able to Discover bot outbreaks, infected machine, prevent Bot damage.
3.	Solution should have an Multi tier bot discovery i.e. Detect Command and Control IP/URL and DNS.
4.	Solution should be able to detect Unique communication patterns used by BOTs i.e. Information about Botnet family.
5.	Solution should be able to block traffic between infected Host and Remote Operator and not to legitimate destination.
6.	Solution should be able to provide with Forensic tools which give details like Infected Users/Device, Malware type, Malware action etc.
7.	Anti-virus scanning should support proactive and stream mode.
8.	Solution should be able to create a protection scope for the inspection.
9.	Solution should give information related to Performance impact and confidence level of protections while creating profiles.
10.	Solution should have an option of configuring Exception.
11.	Solution should be able to Scan by File direction and IP address.
12.	File type recognition along with following actions i.e. Scan, Block, Pass.
13.	Should be able to scan any file irrespective of it size.
14.	Antivirus protection protocols for HTTP,HTTPS, FTP, POP3, SMTP.
15.	Anti-spyware for pattern based blocking at the gateway.
16.	Centralized daily, automatic and manual updates.
17.	Granular scanning of more than 50 different file types.
18.	Solution should have an option of packet capture for further analysis of the incident.
	<b>Administration, Management, &amp; Logging / Reporting Functionality</b>
1.	Firewall Real-Time Monitoring, Management & Log Collection (with storage) should not be distributed to more than ONE server/appliance.
2.	DC Firewalls should be manageable from the centralised management framework.
3.	Any changes or commands issued by an authenticated user should be logged to a database.
4.	Firewall Management system should also provide the real time health status of all the firewall modules on the dashboard for CPU & memory utilization, state table, total # of concurrent connections and the connections/second counter.
5.	Firewall must send mail or SNMP traps to Network Management Servers (NMS) in response to system failures or threshold violations of the health attributes.
6.	The Firewall must provide simplified provisioning for addition of new firewalls where by a standard firewall policy could be pushed into the new firewall.
7.	The Firewall administration station must provide a means for exporting the firewall rules set and configuration.
8.	Support for role based administration of firewall.
9.	The Firewall administration software must provide a means of viewing, filtering and managing the log data.
10.	The Firewall logs must contain information about the firewall policy rule that triggered the log.
11.	The Firewall must provide a minimum basic statistics about the health of the firewall and the amount of traffic traversing the firewall.
12.	Management should provide detailed Event analysis for Firewall, IPS, Application Control, Data filtering with reporting of all the components.

## 12. Implementation Instructions and Extended Scope

Scope includes providing complete solution including hardware, software and other required components, supply, implementation, integration, and configuration of Next generation firewall.

- a. The selected service provider is required to supply & Implement next generation firewalls for Bank's IT Infrastructure deployed at DC (Mumbai) & DR (Bengaluru).
- b. A comprehensive strategy and Standard Operating Procedure (SOP) should be provided by the Bidder on implementing the Next generation firewall solution.
- c. Bidder must develop the project plan, get it approved from the Bank and then implement the project based on timelines given in the RFP.
- d. Implementation of solution must follow various standards such as ISO 27001:2013, PCI DSS, ISO 22301 etc. Bidder should assist to close observations in various audits of the proposed solution in co-ordination with current CSOC service provider of the Bank.
- e. Preparation of all documents related to deployment architecture, operation, maintenance including the Standard Operating Procedures (SOP) for all the underlying processes, roles and responsibilities of the personnel. Provide the complete set of Operation and System Manuals in 3 sets of Hardcopies as well as in Softcopies of all the systems/components provided as part of Next generation firewall solution.
- f. A comprehensive onsite support should be provided on all the Hardware and Software supplied to/purchased by the Bank during contract period of 5 years (3 years warranty & 2 Years of AMC/ATS). Warranty will commence from the implementation sign off date from Bank.
- g. The Bidder should provide the latest version of the Solution. The bidder would be responsible for replacing the out-of-support, out-of-service, end-of-life, undersized, infrastructure elements at no extra cost to the Bank during the entire contract period of 5 Years. Replacement to be done before due date of the product/service and the intimation to be given to Bank at least one month before in case of any of the above scenario.
- h. The Bidder would be responsible for installation, testing, commissioning, configuring, warranty and maintenance of the system.
- i. Initial installation, configuration and integration should be vetted by the OEM only, through the Bidder. The Bidder would be the single point of contact. The Bidder should have necessary agreement with the OEM for all the required onsite support for entire contract period of five years. Bidder should have back-to-back support with OEM during the total contract period for necessary support. Bidder would submit a letter by OEM issued to bidder in this regard.
- j. If the Bidder lacks the expertise for proposed solution then the OEM can provide implementation service and support for its own solution only on behalf of the Bidder without any extra cost to Bank or the Bidder will be held accountable for OEM's inaction and penalty charges would be levied as per the SLA terms to Bidder/ SI.

- k. Bank will have the right to use the tools for the functions provided by the tools in any manner and at any of offices, subsidiary units, joint ventures, RRBs, irrespective of the number of users, geographical location of the devices being monitored. Bank will also have a right to relocate any one or all the Next generation firewall appliances to different locations. Bidder is expected to provide necessary support.
- l. Bidder shall provide list and details of licenses to be procured and also maintain the inventory database of all the licenses and the updates installed. All licenses should be in the name of Union Bank of India.
- m. The period of support coverage would be for 5 years from the date of implementation sign off of firewalls covered under this RFP.
- n. All phase installation/ configuration till sign-off would be done by the Bidder's engineers. However, for Designing and deployment validation, sign-off would be done by both OEM and Bidder's engineers. It will be the Bidder's responsibility to liaison with the OEM to provide full technical support to the satisfaction of the Bank for the complete tenure of agreement i.e. project.
- o. Bidder has to provide the documentation for the project including but not limited to references regarding scope, functional and operational requirements, resource requirements, project design/plan, product description, guidance for best practices, implementation guidelines, user acceptance test plan, operation manual, security implementation, training materials, evaluation scoreboards and matrices etc.
- p. Proposed firewalls and its implementation maybe subjected to audit from Bank and/or third party and/or regulatory body. It shall be responsibility of the Bidder to co-operate and provide necessary information and support to the auditors with co-ordination with onsite team. The Bidder must ensure that the audit observations are closed on top priority and to the satisfaction of the Bank, regulator, and its appointed auditors. Extreme care should be taken by the Bidder to ensure that the observations do not get repeated in subsequent audits. Such non-compliance by Bidder shall attract penalty as defined in SLA.
- q. Bench Marking: The bidder will demonstrate the benchmarking tests to confirm compliance with the stated functionalities.
- r. Solution Acceptance: The Bank/appointed consultant in coordination with the bidder shall conduct an Acceptance test wherein the bidder has to demonstrate the implementation of the solution as per the requirement of the bank. The bidder shall submit detailed reports of the test outcomes to the bank.
- s. SLA Compliance: The bidder shall ensure compliance with SLAs as defined in the RFP.
- t. Post completion of the contract/ or in the event of early termination, the bidder is expected to provide support for transition of the services to the nominated members of the bank (or) to a third party nominated by the bank.

### 13. Project Implementation Plan

Bidder should adhere to the following timelines for completion of the scope of work. The Firewall appliances (including design and framework, system

architecture and design documents, SOPs, SLA / KPI measurement methodology etc.) should be completed as per project scope within overall period of 14 weeks in totality from the date of acceptance of Purchase order. Order will be deemed accepted on 7th day of purchase order date in case bidder does not convey formal acceptance to Bank.

- 13.1. Appliances and software licenses must be delivered within 8 weeks from the issue of purchase order to the successful Bidder.
- 13.2. The Bidder shall complete the configuration, implementation, integrations within 6 weeks from date of delivery. Any delay beyond stipulated period will attract additional penalty, as mentioned in the LD clause. Part of the week will be considered as full week.
- 13.3. The bidder should develop the detailed Project implementation architecture including the components that are presently installed and the components that need to be installed. It should include the following details:
  - a) Network Diagram
  - b) Software Specifications required for carrying out the above project scope
  - c) Implementation plan that comprises of the following:
    - i. Project Implementation timelines
    - ii. Project Team Composition
    - iii. Escalation Matrix
    - iv. Mutually agreeable Acceptance Criteria
- 13.4. The bidder should provide post implementation support plan to capture the details of the support framework that Vendor is proposing to meet the desired objectives and the SLA Matrix.
- 13.5. The bidder should give detailed administrators training contents and Schedule for training as mentioned in the scope for training.
- 13.6. Bidder shall deploy & manage proposed project in Bank's premises to improve security posture of Bank. Bidder shall perform the following tasks as part of deployment, as mentioned below:

Phase	Activities	Deliverables
<b>Phase I- Planning</b>	<ul style="list-style-type: none"> <li>• Conduct Kick-off meeting</li> <li>• Identify project point(s) of contact</li> <li>• Identify Bank resources required to assist in deployment, policy walkthrough, testing, and installation.</li> <li>• Identify business requirements</li> <li>• Identify technical requirements</li> <li>• Project Planning</li> <li>• Plan the schedule</li> </ul>	<ul style="list-style-type: none"> <li>• Project Plan and Gap Analysis</li> </ul>
<b>Phase II- Design</b>	<ul style="list-style-type: none"> <li>• OEM should be involved in this phase.</li> <li>• Develop and/ or review and validate solution design/ architecture documents which will include:</li> </ul>	<ul style="list-style-type: none"> <li>• Design &amp; Architecture Document</li> </ul>



Phase	Activities	Deliverables
	<ul style="list-style-type: none"> <li>➤ Solution overview and conceptual design</li> <li>➤ Detailed design and connectivity parameters</li> <li>• Create a User Acceptance Test Document</li> </ul>	<ul style="list-style-type: none"> <li>• Prerequisite Document</li> <li>• User Acceptance Test Plan</li> </ul>
<b>Phase III- Installation, Configuration &amp; Integration</b>	<ul style="list-style-type: none"> <li>• Deploy solution/firewall appliances</li> <li>• Complete initial configuration, if any</li> <li>• Completed Integration with applicable applications</li> <li>• Documentation of installation and configuration</li> </ul>	<ul style="list-style-type: none"> <li>• Successful deployment solution</li> <li>• Installation and Configuration Document</li> <li>• Gap Assessment</li> </ul>
<b>Phase IV- Optimize/ Fine tuning</b>	<ul style="list-style-type: none"> <li>• Fine-tuning of firewalls and management solution</li> <li>• Monitor and resolve issues</li> <li>• Provide an information knowledge-transfer workshop</li> </ul>	<ul style="list-style-type: none"> <li>• Tuning policies.</li> <li>• Policies override SOP</li> <li>• Transfer of Information session</li> </ul>
<b>Phase V- Deployment Validation</b>	<ul style="list-style-type: none"> <li>• This phase will comprise of deployment validation to be conducted by OEM.</li> <li>• In case OEM is not satisfied with the installation and configuration of the solution, they will submit their recommendation in form of a report to UBI accordingly. OEM will also verify the licenses usage review so that Bank is compliant with OEM's Licensing policies.</li> </ul>	<ul style="list-style-type: none"> <li>• Validation Report by OEM</li> </ul>
<b>Phase VI- Monitoring, Management &amp; Sustenance</b>	<ul style="list-style-type: none"> <li>• Post-deployment (after sign-off) bidder will monitor firewall performance for 3 months .</li> <li>• Facilitation &amp; operation for all change management, upgradation, updates, etc. during contract period</li> </ul>	<ul style="list-style-type: none"> <li>• Reports and Dashboards as per defined SLAs</li> <li>• Go Live Operations</li> </ul>

#### 14. Locations to be Covered

Firewall appliances are required to be installed at Mumbai and Bengaluru.

The exact locations to be supplied and installed will be shared with successful bidders. However, the Bank reserves the right to change locations/add new locations as per Bank's requirement before delivery of the order.

#### 15. Project Validity

The validity of this project including procurement of licenses, implementation and maintenance is for 5 years. Duration of validity of the project will be calculated starting from the date of obtaining sign-off from the Bank after installation & successful deployment of licenses specified in this document to Bank's satisfaction and verification of the same by OEM.

#### 16. Right to Alter Quantities and Price freezing

16.1. The Bank reserves the right to alter quantities as also to delete/add some items specified in this offer. The Bank may, at its discretion, place orders based on the requirement of the Bank within 12 months from the date of first Purchase Order.

16.2. The Bank also reserves right to place further/repeat order (up to 25% of the actual quantity) on same terms and conditions within a period of 12 months from the date of purchase order.

16.3. The prices discovered shall be frozen for one year and Bank may, at its discretion may place repeat orders in case of requirement of additional devices.

## **17. Cost of Bidding**

The Bidder shall bear all the costs associated with the preparation and submission of its bid and the bank, will in no case be responsible or liable for these costs, regardless of the conduct or outcome of the bidding process.

## **18. Language of Bid**

The language of the bid response and any communication with the Bank 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 purpose of evaluation of the bids, the English translation will govern.

## **19. Instructions for Bid Submission**

### **19.1 Cost of RFP**

19.1.1 Cost of RFP is waived off if bidder prefers to download the RFP document online. However, bidder is required to pay Rs.2,500/- for purchasing hardcopy from DIT.

19.1.2 RFP document can be downloaded from the Bank's website [www.unionbankofindia.co.in](http://www.unionbankofindia.co.in) or from Government tender portal [www.eprocure.gov.in](http://www.eprocure.gov.in) or from E-procurement site [ubi.abcprocure.com](http://ubi.abcprocure.com).

19.1.3 All costs and expenses (whether in terms of time or material or money) incurred by the Recipient/Bidder in any way associated with the development, preparation and submission of responses, including but not limited to attendance at meetings, discussions, demonstrations, etc. and providing any additional information required by the Bank, will be borne entirely and exclusively by the Bidder.

### **19.2. Bid Security/EMD (Refundable)**

19.2.1 The bidder should deposit bid security of Rs.18,00,000/- (Rupees Eighteen Lac Only) in the form of a demand draft favoring Union Bank of India, payable



at Mumbai or Bank Guarantee issued from Scheduled Commercial Bank other than Union Bank of India. Bank Guarantee should be valid for minimum 6 months from the date of submission of bids with claim period of 45 days. IFSC Code for issuance of EMD is UBIN0556688.

19.2.2 In case of bidders registered with NSIC/Udyog Aadhaar as MSME or a Start-up Company, they are eligible for waiver of EMD. However, SME bidders need to provide valid NSIC/MSME Certificate clearly mentioning that they are registered with NSIC under single point registration scheme or Udyog Aadhaar. Start-up bidders are required to submit Certificate of Recognition issued by Department for Promotion of Industry and Internal Trade (DPIIT), Ministry of Commerce & Industry, Government of India. In addition, SME bidders have to submit [Annexure S](#) in physical form (Hard copy) duly signed by Chartered Accountant before last date and time of submission of bid.

19.2.3 Other terms & conditions relating to Bid security is as under:

19.2.3.1 No interest will be payable on the Bid Security amount.

19.2.3.2 Unsuccessful Bidders' Bid security will be returned after completion of tender process. Unsuccessful Bidders should submit the Letter for Refund of EMD/Bid Security for returning of the bid security amount as per [Annexure Y](#).

19.2.4 Bid Security will be forfeited in the following cases:

19.2.4.1 If a bidder withdraws its bid during the period of bid validity; or

19.2.4.2 If a Bidder makes any statement or encloses any form which turns out to be false / incorrect at any time prior to signing of Contract.

19.2.4.3 In case of a successful Bidder, if the Bidder fails:

a) To execute Contract within the stipulated time or

b) To furnish Performance Bank Guarantee as mentioned in Performance Bank Guarantee herein.

19.2.5 The successful Bidders Bid security will be discharged upon the Bidder signing the Contract Agreement and against submission of performance bank guarantee (other than Union Bank of India) with the claim period of one year as per the format mentioned in [Annexure X](#), for 3% of TCO, valid for the entire contract period.

19.2.6 Bidder who is claiming waiver of EMD should submit an undertaking in lieu of Bid security deposit. Bidder should submit bid security declaration as per [Annexure T](#).

## 20. Performance Bank Guarantee

The successful bidder shall provide a Performance Bank Guarantee within 30

days from the date of receipt of the order or signing of the contract whichever is earlier in the format as provided in [Annexure X](#), for 3 % of TCO for the entire period of the contract i.e.5 years, with a claim period of one year and such other extended period as the Bank may decide for due performance of the project obligations. The PBG should be of that of scheduled commercial Bank, other than Union Bank of India.

In the event of non-performance of obligation or failure to meet terms of this tender the Bank shall be entitled to invoke the performance guarantee without notice or right of demur to the successful bidder.

The Bank reserves the right to recover any dues payable by the selected bidder from any amount outstanding to the credit of the selected bidder, including the pending bills and/or invoking Performance Guarantee, if any, under this contract.

If the Performance bank guarantee is not submitted within the stipulated time, the Bank reserves the right to cancel the order / contract and the earnest money deposit taken from the successful bidder, will be forfeited and the bidder is liable to be suspended from participation in any future tenders of the Bank for 2 years.

## 21 Period of Validity of Bids

Bids should remain valid for the period of at least 180 days from the last date for submission of bid prescribed by the Bank. In case the last date of submission of bids is extended, the Bidder shall ensure that validity of bid is reckoned from modified date for submission. Further extension of the validity of the bid will be decided by the bank in case of need. The price quoted in Final Commercial Offer will be valid for at least 180 days from the date of offer.

## 22 Amendment of Bidding Documents

Prior to the last date for bid-submission, Bank may, for any reason, whether at its own initiative or in response to clarification(s) sought from the prospective Bidders, modify the RFP contents/ covenants by amendment. Clarification /amendment, if any, will be notified on Bank's website. No individual communication would be made in this respect. In order to provide, Bidders, reasonable time to take the amendment into account for preparing their bid, the purchaser may, at its discretion, extend the last date of submission of bids.

## 23 Authorization to Bid

The proposal/ bid being submitted would be binding on the Bidder. As such, it is necessary that authorized personnel of the firm or organization sign the bid documents. The designated personnel should be authorized by a senior official of the organization having authority.

- 23.1. All pages of the bid shall be initialed by the person or persons signing the bid.

- 23.2. Required Annexures shall be digitally signed/signed in full & official seal affixed.
- 23.3. Any inter-lineation, erasure or overwriting shall be valid only if they are initialed by the person or persons signing the Bid.
- 23.4. All such initials shall be supported by a rubber stamp impression of the bidders firm.
- 23.5. The proposal must be accompanied with an undertaking letter duly signed by the designated personnel providing a bid commitment. The letter should also indicate the complete name and designation of the designated personnel.

## 24 Two-part Bid

The Bid should be submitted online at the e-Procurement site <https://ubi.abcprocure.com> by the Bidder. It should comprise the following components:

- 24.1 **Technical bid - Part I:** “Technical Bid for Selection of System Integrator for Supply, configuration, implementation, integrations and Maintenance of Next generation firewall”.
- 24.2 **Commercial bid - Part II:** “Indicative Commercial Bid for Selection of System Integrator for Supply, configuration, implementation, integrations and Maintenance of Next generation firewall”.
- 24.3 Any bid document not conforming to any one of the above terms will be rejected.
- 24.4 In the first stage, EMD/security deposit and Integrity Pact (IP) signed by authorized signatory submitted by bidder will be reviewed and if these are as per prescribed format/RFP document then only TECHNICAL BID will be evaluated. Bidders satisfying the technical requirements as determined by the Bank and accepting the terms and conditions of this document only shall be short-listed for commercial evaluation.
- 24.5 After evaluation of indicative commercial bids, the L1 bidder will be selected using Reverse Auction process. Reverse Auction Rules are given in [Annexure L](#).
- 24.6 The indicative commercial bid will be used for finalizing the starting bid for reverse auction. After completion of the reverse auction, selected bidder should submit the price break-up as per the [Annexure G](#).

## 25. Technical Bid

- 25.1. The Technical Bid - Part I should be complete in all respects and contain all information asked for in this document. It should not contain any price information.
- 25.2. The Technical Bid - Part I must be submitted online.
- 25.3. The following documents are to be submitted in original (Union Bank of India, Technology Centre, 1/1A, Adi Shankaracharya Marg, Opp. Powai Lake, Powai, Mumbai - 400072) at the Bank as well as online mode on or before last date & time of bid submission:

- 25.3.1. Bid security of Rs.18,00,000/- (Rupees Eighteen Lac only) in the form of a demand draft issued by a Scheduled commercial bank favoring Union Bank of India, payable at Mumbai or Bank Guarantee from scheduled commercial Bank other than Union Bank of India and should be valid for six months with claim period of 45 days.
- 25.3.2. Integrity Pact (IP) as provided in [Annexure M](#) is to be submitted physically. It should be on plain paper duly signed by authorized signatories of the company/Firm/Organization.
- 25.4. In case of bidders registered with NSIC/Udyog Aadhaar as MSME or a Start-up Company, they are eligible for waiver of EMD. However, SME bidders need to provide valid NSIC/MSME Certificate clearly mentioning that they are registered with NSIC under single point registration scheme or Udyog Aadhaar. Start-up bidders are required to submit Certificate of Recognition issued by Department for Promotion of Industry and Internal Trade (DPIIT), Ministry of Commerce & Industry, Government of India. In addition, SME bidders have to submit [Annexure S](#) in physical form (Hard copy) duly signed by Chartered Accountant before last date and time of submission of bid.
- 25.5. Non-submission of above documents i.e. Bid Security and Integrity Pact at the time of bid submission will be liable for rejection of bid.
- 25.6. Bidders are expected to examine all terms and instructions included in the documents. Failure to provide all requested information will be at bidder's own risk and may result in the rejection of the bid.
- 25.7. The following documents are to be submitted online at the e-procurement site <https://ubi.abcpurchase.com>:
- 25.7.1. [Annexure A](#) - Letter of Acceptance
  - 25.7.2. [Annexure B](#) - Bidder's Profile Format
  - 25.7.3. [Annexure C](#) - Eligibility Criteria
  - 25.7.4. [Annexure D](#) - Technical Specifications
  - 25.7.5. [Annexure E](#) - Compliance to RFP Terms & Conditions
  - 25.7.6. [Annexure F](#) - Un-priced Commercial Bid
  - 25.7.7. [Annexure H](#) - Declaration for Compliance
  - 25.7.8. [Annexure I](#) - Undertaking by Bidder
  - 25.7.9. [Annexure J](#) - Confidentiality / Non Disclosure Agreement
  - 25.7.10. [Annexure K](#) - Reference Site Details
  - 25.7.11. [Annexure L](#) - Business Rules for Reverse Auction
  - 25.7.12. [Annexure L\(A\)](#) - Compliance Statement for Reverse Auction
  - 25.7.13. [Annexure L\(B\)](#) - Letter of Authority for Participation in Reverse Auction
  - 25.7.14. [Annexure L\(C\)](#) - Undertaking of Process Compliance for RA
  - 25.7.15. [Annexure N](#) - Know Your Employee (KYE) Clause

- 25.7.16. [Annexure O](#) - Restriction on Procurement due to National Security
- 25.7.17. [Annexure P](#) - Undertaking of Information Security
- 25.7.18. [Annexure Q](#) - Undertaking for Authenticity of Computer Hardware
- 25.7.19. [Annexure R](#) - Certificate of Local Content
- 25.7.20. Signed & Sealed copy of all the pages of RFP and corrigendum if any, to be submitted online along with the technical bid.
- 25.7.21. The Bid should be signed by the authorized signatory of the bidder. A power of attorney/Board Resolution to that effect shall be submitted by the bidders and should be uploaded online on portal along with technical bid.
- 25.7.22. Photocopies of relevant documents / certificates as proof in support of various information submitted online in aforesaid annexure and other claims made by the bidder.
- 25.8. The Bank would like to expressly state that any assumption, presumptions, modifications, terms, conditions, deviation etc., which the bidder includes in any part of the Bidder's response to this RFP, will not be considered either for the purpose of evaluation or at a later stage, unless such assumptions, presumptions, modifications, terms, conditions deviations etc., have been accepted by the Bank and communicated to the bidder in writing. The Bidder at a later date cannot make any plea of having specified any assumption, terms, conditions, deviation etc. in the Bidder's response to this RFP document. No offer can be modified or withdrawn by a Bidder after submission of Bid/s.
- 25.9. All the annexure should be submitted online in letter head of bidder duly signed with seal of the company. Photocopies of relevant documents / certificates as proof in support of various information submitted in aforesaid annexure and other claims made by the vendor.
- 25.10. Detailed Architecture of the proposed solution with various features/functions of the system/sub-system including fail-over methodology/strategy at both Primary & DR Site.
- 25.11. Documents and brochures pertaining to product that will be deployed in the proposed solution including testing plan, road map, workflow and procedures etc.
- 25.12. The bidder should ensure that all the annexure is submitted as prescribed by the Bank. In case it is not in the prescribed format, it is liable to be rejected.
- 25.13. The Bank reserves the right to resort to re-tendering without providing any reason whatsoever. The Bank shall not incur any liability on account of such rejection.

25.14. The Bank further reserves the right to reject any or all offers based on its own evaluation of the offers received, or on the basis of stability, capabilities, track records, reputation among users and other similar features of a bidder.

25.15. The Bank reserves the right to disqualify the bidder/(s) if bidder/(s) have not completed any project successfully in Union Bank of India in stipulated time i.e. supply, Installation, Implementation, migration, upgradation, support etc.

25.16. The Bank reserves the right to modify any terms, conditions or specifications of RFP before date of submission of bids. Bidder has to submit bid documents as per the changes/modifications while submitting the bid. Notification of amendments/corrigendum will be made available on the Bank's website ([www.unionbankofindia.co.in](http://www.unionbankofindia.co.in)), Govt. Tender Site and e-procurement site <https://ubi.abcpurchase.com> and will be binding on all bidders and no separate communication will be issued. In order to allow prospective bidders reasonable time in which to take the amendment into account in preparing their bids, the Bank, at its discretion, may extend the deadline for a reasonable period as decided by the Bank for the submission of bids. No post bid clarification of the bidder shall be entertained.

## 26. Indicative Commercial Offer

The commercial offer must not contradict the Technical offer in any way and should include the cost of all the items offered. The suggested directive for Commercial offer is as follows:

26.1. The Indicative Commercial Bid - Part II should be submitted online at the e-Procurement site as per [Annexure G](#) by way of entering the values in the format provided at the site. This must contain all prices in Indian rupees (INR).

26.2 The vendors should not offer any options or any conditional offers to the Bank while giving the price information. The offer should strictly be in conformity with the items as specified by the Bank. Any deviations may lead to disqualification of the bid.

## 27. Online Prebid Meeting and RFP Clarifications

For the purpose of clarifications of doubts of the bidders on issues related to the RFP, Bank will hold a pre-bid meeting on the date & time as indicated in the RFP. It may be noted that no query of any bidder shall be entertained / received after the mentioned date. Queries raised by the prospective bidders and the Bank's response will be available at Bank's web site. Only authorized representative of bidder (maximum two) will be allowed to attend the online Pre-bid meeting. Interested bidders are required to submit a letter from



authorized signatory of the organization through the emails mentioned in this RFP along with details including name, organization, designation, Mobile number, etc. one day prior to scheduled Prebid meeting date by 5.00 pm with subject mentioning as “**Prebid Meeting for RFP for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru**”. URL for joining the online Prebid meeting will be sent to those who submitted authorization letter within the scheduled date and time. The Prebid meeting is conducted through Microsoft Teams.

Non- attendance at the Pre-bid Meeting will not be a cause for disqualification of a bidder.

Queries / clarifications will not be entertained over the phone. All queries and clarifications must be sought by email to [kislaysinha@unionbankofindia.bank](mailto:kislaysinha@unionbankofindia.bank), [sanjiiev@unionbankofindia.bank](mailto:sanjiiev@unionbankofindia.bank) and [kmsalam@unionbankofindia.bank](mailto:kmsalam@unionbankofindia.bank) with subject “**Queries to RFP for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru**” as per [Annexure V](#).

The Bidder is requested to collate and submit queries together to seek clarifications / responses from Bank. The Bidder should ensure that all the queries and clarifications are communicated in email on or before the date given as per schedule of events of this RFP document. Bidders are requested to visit Bank’s website for clarifications and other communications.

Any modification of the RFP, which may become necessary as a result of the Pre-bid Meeting, queries, shall be made public by the Bank exclusively through the issue of an Addendum/Corrigendum on Bank’s website [www.unionbankofindia.co.in](http://www.unionbankofindia.co.in), government tender portal [www.eprocure.gov.in](http://www.eprocure.gov.in) and e-Procurement site <https://ubi.abcpurchase.com>.

## 28. Other Terms and Conditions of RFP

- 28.1 Responses to this RFP should not be construed as an obligation on the part of the Bank to award a purchase contract for any services or combination of services. Failure of the Bank to select a bidder shall not result in any claim whatsoever against the Bank. The Bank reserves the right to reject any or all bids in part or in full, without assigning any reason whatsoever.
- 28.2 By submitting a proposal, the successful bidder agrees to promptly contract with the Bank for the work awarded to the successful bidder. Failure on the part of the awarded bidder to execute a valid contract with the Bank will relieve the Bank of any obligation to the bidder, and a different bidder may be selected based on the selection process.
- 28.3 The bidder shall represent and acknowledge to the Bank that it possesses necessary experience, expertise and ability to undertake and fulfill its obligations, involved in the performance of the provisions of this RFP. If any services, functions or responsibilities not specifically described in this RFP

are an inherent, necessary or customary part of the deliverables or services and are required for proper performance or provision of the deliverables or services in accordance with this RFP, they shall be deemed to be included within the scope of the deliverables or services, as if such services, functions or responsibilities were specifically required and described in this RFP and shall be provided by the bidder at no additional cost to the Bank. The bidder also acknowledges that the Bank relies on this statement of fact, therefore neither accepting responsibility for, nor relieving the bidder of responsibility for the performance of all provisions and terms and conditions of this RFP, the Bank expects the bidder to fulfill all the terms and conditions of this RFP. The modifications, which are accepted by the Bank, shall form a part of the final contract.

- 28.4 All terms and conditions, payments schedules, time frame for expected service levels as per this tender will remain unchanged unless explicitly communicated by the Bank in writing to the bidder. The Bank shall not be responsible for any judgments made by the bidder with respect to any aspect of the Service. The bidder shall at no point be entitled to excuse themselves from any claims by the Bank whatsoever for their deviations in confirming to the terms and conditions, payments schedules, expected service levels etc. as mentioned in this tender document.

## **29. Miscellaneous RFP Requirement**

This tender document may undergo change by either additions or deletions or modifications before the actual award of the contract by the Bank. The Bank also reserves the right to change any terms and conditions including eligibility criteria of the tender document and its subsequent addendums as it deems necessary at its sole discretion.

- 29.1 No Commitment to Accept Lowest bid or Any Tender - The Bank shall be under no obligation to accept the lowest price bid or any other offer received in response to this Tender notice and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever. The Bank reserves the right to make any changes in the terms and conditions of purchase. The Bank will not be obliged to meet and have discussions with any Bidder, and / or to listen to any representations unless there is change in the terms and conditions of purchase. The Bank further reserves the right to reject any or all offers based on its own evaluation of the offers received, or on the basis of stability, capabilities, track records, reputation among users and other similar credentials of a bidder. When the Bank makes any such rejection, the Bank will not be bound to give any reason and/or justification in this regard to bidder.
- 29.2 Erasures or Alterations - The offers containing erasures or alterations will not be considered. There should be no hand-written material, corrections or alterations in the offer. Technical details must be completely filled up. Correct technical information of the product being offered must be filled in.



Filling up of the information using terms such as “OK”, “accepted”, “noted”, “as given in brochure manual” is not acceptable. The Bank may treat the offers not adhering to these guidelines as unacceptable.

- 29.3 The price payable to the Bidder shall be inclusive of carrying out any modifications changes / upgrades to the application and other software that is required to be made in order to comply with any statutory or regulatory requirements or any industry-wide changes arising during the subsistence of the contract/ agreement, and the Bank shall not pay any additional cost for the same. The Bidder needs to provide with the details about all such items considered in the RFP.

### 30. Technical Bid Evaluation

- 30.1 During the period of evaluation, bidders may be asked to provide more details and explanations about information provided in the proposals. Bidders should respond to such requests seeking explanation through e-procurement portal within 3 days or any such extended time frame indicated in the portal, if the bidder does not comply or respond by the date, their bid will be liable to be rejected. It is the responsibility of bidder to monitor the e-Procurement portal every now and then in order to ascertain any exceptions are raised or clarifications are sought by bank post last date of bid submission. No separate intimation will be made by bank to the participated bidders for responding to the clarification sought. If any part of the technical specification offered by the bidder is different from the specifications sought in our RFP, the bidder has to substantiate the same in detail the reason of their quoting a different specification than what is sought for, like higher version or non-availability of the specifications quoted by us, invariably to process the technical offer and it should be compatible to our application.
- 30.2 Setting of evaluation criteria for selection purposes shall be entirely at the discretion of the Bank. The decision of the bank in this regard shall be final and no correspondence shall be entertained in this regard.
- 30.3 The Bank may, at its discretion, waive any minor informality, nonconformity, or irregularity in a bid which does not constitute a material deviation and financial impact, provided such waiver does not prejudice or affect the relative ranking of any bidder. Wherever necessary, observations on such ‘minor’ issues (as mentioned above) Bank may be conveyed to the bidder, asking them to respond by a specified date also mentioning therein that, if the bidder does not respond by the specified date, their bid will be liable to be rejected.

### 31. Commercial Bid Evaluation through Reverse Auction

- 31.1 For finalization of the most competitive offer, the Bank will conduct 'Reverse auction'. The detailed procedure and Business rules for the Reverse auction is given as per [Annexure L](#) and are also available on Bank's web site.
- 31.2 The indicative commercial proposals of only those bidders who are qualified in the technical evaluation would be opened and the lowest indicative prices may be taken as the starting bid for conducting reverse auction under E-procurement process. The detail of reverse auction under e-procurement process is given as per [Annexure L](#). The L-1 bidder emerging from reverse auction process will submit a detailed breakup of total cost as per the indicative commercial offer ([Annexure G](#)).
- 31.3 The technically qualified bidders will participate in the Reverse auction process that will be conducted by an Auction company authorized by the 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 bidders before the event. The bidders should furnish indicative prices for the project in their Indicative Commercial Bid to facilitate finalizing the start bid for 'Reverse auction' under E-Procurement process.
- 31.4 The indicative commercial offer must not contradict the Technical offer in any way and should include the indicative cost of all the items offered as per [Annexure G](#). This must contain all price information in Indian rupees (INR).
- 31.5 The lowest Indicative commercial offers (total cost) may be taken as the starting bid or Bank may decide starting bid of Reverse Auction based on past experience. Bidders should note that the indicative commercial bid is considered for the purpose of conducting Reverse Auction process only. The L-1 bidder will be decided only later, on finalization of prices through Reverse auction.
- 31.6 The L-1 bidder emerging at the end of the Reverse Auction process shall be required to submit the break-up of Final price (last bid price) again in [Annexure G](#). Failure or refusal to offer the services/goods at the price committed through Reverse Auction shall result in suspension from participation in any future tenders of the Bank for 2 years, which please be noted.
- 31.7 The final decision on the bidder will be taken by Union Bank of India. Union Bank reserves the right to reject any or all proposals. Similarly, it reserves the right not to include any bidder in the final short-list.
- 31.8 The Bank shall follow all the guidelines/notifications for public procurement.

## 32. Rules for Re-Reverse Auction

32.1 Bank may consider the option of a Re-reverse Auction in following circumstances:

32.1.2 During the process of reverse auction if there are no bids or bid (s) by a single bidder in the Reverse Auction, Bank may decide Re-Auction with or without further amending the start price.

32.1.3 Reverse auction will be valid if bid is received from at least one bidder and subject to Government guidelines.

32.1.4 In all the above circumstances, the decision shall taken by Bank on re-auction.

## 33. Restriction on Procurement due to National Security

Government of India order F. No. 7/86/2020/BOA-I dated 07.08.2020 and No.F.18/37/2020 dated 08.02.2021 on restrictions on procurements from bidders from a country or countries, on grounds of defense in India, or matters directly or indirectly, related thereto, including national security is applicable for this RFQ.

33.1. Any bidder from a country which shares a land border with India will be eligible to bid in this tender only if the bidder is registered with the Competent Authority.

33.2. "Bidder" (including the term 'tenderer', 'consultant' or 'service provider' in certain contexts) means any person or firm or company, including any member of a consortium or joint venture (that is an association of several persons, or firms or companies), every artificial juridical person not falling in any of the descriptions of bidders stated hereinbefore, including any agency branch or office controlled by such person, participating in a procurement process.

33.3. "Bidder from a country which shares a land border with India" for the purpose of this Order means: -

- a. An entity incorporated, established or registered in such a country; or
- b. A subsidiary of an entity incorporated, established or registered in such country; or
- c. An entity substantially controlled through entities incorporated, established or registered in such a country; or
- d. An entity whose beneficial owner is situated in such a country; or
- e. An Indian (or other) agent of such an entity; or

- f. A natural person who is a citizen of such a country; or
- g. A consortium or joint venture where any member of the consortium or joint venture falls under any of the above

33.4. The beneficial owner for the purpose of (33.3) above will be as under:

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

#### Explanation

- a. "Controlling ownership interest" means ownership of or entitlement to more than twenty-five per cent. of shares or capital or profits of the company;
- b. "Control" shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements;
- (ii) In case of a partnership firm, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of entitlement to more than fifteen percent of capital or profits of the partnership;
- (iii) In case of an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of the property or capital or profits of such association or body of individuals;
- (iv) Where no natural person is identified under (i) or (ii) or (iii) above, the beneficial owner is the relevant natural person who holds the position of senior managing official;
- (v) In case of a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with fifteen percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.
- (vi) An Agent is a person employed to do any act for another, or to represent another in dealings with third person.

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

33.6. A bidder is permitted to procure raw material, components, sub-assemblies etc. from the vendors from countries which shares a land border with India.

Such vendors will not be required to be registered with the Competent Authority, as it is not regarded as “sub-contracting”.

33.7 However, in case a bidder has proposed to supply finished goods procured directly/indirectly from the vendors from the countries sharing land border with India, such vendor will be required to be registered with the Competent Authority.

### 34. Preference to make in India

34.1 Guidelines on Public Procurement (Preference to Make in India), Order 2017 (PPP-MII Order) and revised order issued vide GOI, Ministry of Commerce and Industry, Department of Industrial Policy and Promotion letter No. P-45021/2/2017(BE-II) dated 04.06.2020 will be applicable for this RFP and allotment will be done in terms of said Order as under:

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

### 34.2 Definitions

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

- b. “Class-I local supplier” means a supplier or service provider, whose goods, services or works offered for procurement, has local content equal to or more than 50%, as defined under this order.
- c. “Class-II local supplier” means a supplier or service provider, whose goods, services or works offered for procurement, has local content more than 20% but less than 50%, as defined under this Order.
- d. “Margin of purchase preference” means the maximum extent to which the price quoted by a local supplier may be above the L1 for the purpose of purchase preference. The margin of purchase preference shall be 20%.

It is mandatory to submit [Annexure R](#) - Certificate of Local Content as per Preference to Make in India. Bidder must be Class I or Class II or Class III local supplier for participating in this tender.

### 35. Verification of local content

- a. The 'Class-I local supplier' / 'Class-II local supplier' at the time of tender, bidding or solicitation shall be required to indicate percentage of local content and provide self-certification as per [Annexure R](#) that the item offered meets the local content requirement for 'Class-I local supplier' / 'Class-II local supplier', as the case may be. They shall also give details of the location(s) at which the local value addition is made.
- b. The Bank shall follow all the guidelines/notifications for public procurement.

### 36. Award of contract

On completion of evaluation of commercial bids, Bank will determine the L1 bidder and contract will be awarded to lowest bidder after reverse auction process as per [Annexure L](#).

However, the Bank shall be under no obligation to accept the lowest price bid or any other offer received in response to this Tender notice and shall be entitled to reject any or all offers including those received late or incomplete offers without assigning any reason whatsoever. The Bank reserves the right to make any changes in the terms and conditions of purchase. The Bank will not be obliged to meet and have discussions with any Bidder, and / or to listen to any representations unless there is change in the terms and conditions of purchase.

### 37. Price Composition

- 37.1. TCO is for contract period of 5 years for Supply, configuration, implementation, integrations and Maintenance of 8 nos. of Next generation

firewall including 3 years of warranty and 2 years post warranty AMC/ATC charges. The price quoted should be inclusive of all charges as per Banks requirement mentioned in [Annexure G](#) - Indicative Commercial Bid.

- 37.2. The commercial bid should be quoted in the Indicative commercial bid format attached to this bid.
- 37.3. The prices should be firm and not dependent on any variable factors and expressed in Indian Rupees.
- 37.4. The Total cost should be inclusive of all other charges but exclusive of GST (CGST/SGST/IGST) which will be paid at actual at the time of invoicing.
- 37.5. If the cost for any line item is indicated as zero/nil/blank then it will be assumed by the Bank that the said item is provided to the Bank without any cost.
- 37.6. Bidder has to show the bifurcation/details of GST (CGST/SGST/IGST) in every invoice.
- 37.7. Bank will not pay any labour charges for transportation, installation of software, miscellaneous charges separately. All such costs, if any, should be absorbed in the TCO.
- 37.8. The Bidder shall be liable to pay all applicable corporate taxes and income tax that shall be levied according to the laws and regulations applicable from time to time in India.
- 37.9. Wherever the laws and regulations require deduction of such taxes at the source of payment, Purchaser shall make such deductions from the payment due to the Bidder. The remittance of amounts so deducted and issuance of certificate for such deductions shall be made by Purchaser as per laws and regulations in force. Nothing in the Contract shall relieve the Bidder from his responsibility to pay any tax that may be levied in India on income and profits made by the Bidder in respect of this contract.

### **38. Taxes and Duties**

The Bidder shall solely be responsible for all payments (including any statutory payments) to its employees and shall ensure that at no time shall its employees, personnel or agents hold themselves out as employees or agents of the Bank, nor seek to be treated as employees of the Bank for any purpose, including claims of entitlement to fringe benefits provided by the Bank, or for any kind of income or benefits. The Bidder alone shall file all applicable tax returns for all of its personnel assigned hereunder in a manner consistent with its status as an independent contractor of services; and the Bidder will make all required payments and deposits of taxes in a timely manner.

Payment of all taxes i.e. GST (CGST/SGST/IGST) will be made at actual, on production of suitable evidence of payment by the Bidder.

The Bidder shall be liable to pay all applicable corporate taxes and income tax



that shall be levied according to the laws and regulations applicable from time to time in India.

### **39. Rejection of Bid**

The Bid is liable to be rejected if:

- 39.1. The document does not bear signature of authorized person in each page and duly stamp.
- 39.2. It is received through Fax/E-mail.
- 39.3. It is received after expiry of the due date and time stipulated for Bid submission.
- 39.4. Incomplete Bids, including non-submission or non-furnishing of requisite documents/ Conditional Bids/ Bids not conforming to the terms and conditions stipulated in this Request for proposal (RFP) are liable for rejection by the Bank.
- 39.5. It is evasive or contains incorrect information.
- 39.6. Any form of canvassing/ lobbying/ influence/ query regarding shortlisting, status etc. will be a disqualification.
- 39.7. Bidder should comply with all the points mentioned in the scope of work. Noncompliance of any point will lead to rejection of the bid.
- 39.8. Bids dropped in tender box or submitted in physical hard copy format.
- 39.9. Non-submission of Integrity Pact (IP)/EMD/waiver certificate.
- 39.10. Unpriced Commercial Offer is not submitted along with Technical Offer.
- 39.11. Format of Commercial Offer differs from unpriced commercial Offer.

### **40. Modification and Withdrawals of Bid**

The bidder may modify its bid's submission anytime by logging in to the website <https://ubi.abcpocure.com> and uploading the documents again till final submission at last date and time of bid submission.

No bid can be modified or withdrawn by the bidder subsequent to the closing date and time for submission of bids.

No bid shall be withdrawn in the intervening period between deadline for submission of bids and expiration of period of bid validity specified by bidder in the submitted bid. In the event of withdrawal of the bid by bidders, the bidder is liable to be suspended from participation in any future tenders of the Bank for 2 years or EMD will be forfeited.

No bidder shall be allowed to withdraw the bid, if bidder happens to be successful bidder.

### **41. RFP Response**



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

Bid properly documented should be submitted by uploading at <https://ubi.abcpocure.com> on or before stipulated date & time mentioned in the RFP.

EMD and Integrity Pact must be submitted physically in sealed cover at the address provided at “place of opening of bids” on or before last date and time of bid submission.

## 42. Patent Rights

In the event of any claim asserted by a third party of infringement of copyright, patent, trademark, industrial design rights, etc. arising from the use of the procurement of this RFP or any part/ component thereof in India, the Supplier shall act expeditiously to extinguish such claim. If the Supplier fails to comply and the Bank is required to pay compensation to a third party resulting from such infringement, the Supplier shall be responsible for the compensation including all expenses, court costs and lawyer fees. The Bank will give notice to the Supplier of such claim, if it is made, without delay.

## 43. Payment Terms

43.1. No advance payment will be released against purchase order.

43.2. The payment will be made against Performance reports and invoices duly signed by the Bank officials.

43.3. Payment will be released within 30 days from the date of the receipt of the invoice after obtaining sign-off given by the bank officials.

43.4. The terms of payment will be as follows:

Sr. No.	Item description	TCO excluding AMC/ATS in %
1	On delivery of Hardware with System Software at Both DC and DR sites.	50%

2	On completion of installation, configuration, integrations and commissioning of Next generation firewall appliances at Both DC and DR sites.	30%
3	On activation of licences with 3 years warranty	10%
4	On Project sign off and against Performance Bank Guarantee (PBG)	10%

43.5. AMC/ATS Cost will be released on quarterly basis in arrears subject to submission of preventive maintenance report/service report and invoices.

43.6. Any penalties / liquidated damages imposed on the bidder for non-performance will be deducted from the payment as deemed necessary.

43.7. Bidder has to show the bifurcation/details of GST (CGST/SGST/IGST) in every invoice.

43.8. In case of non-submission of PBG Bank will withhold 10% of order value till completion of contract period of 5 years.

43.9. Payment of stamp duty would be as per laws applicable in the State of Maharashtra/Karnataka.

43.10. The Bidder shall bear all costs and expenses for the execution, stamp duty and submission of the contract and agreements. Union Bank of India shall not be responsible or liable for reimbursing / compensating these costs and expenses.

#### 44. Order Cancellation

44.1 The Bank reserves its right to cancel the Purchase Order at any time by assigning appropriate reasons and recover expenditure incurred by the Bank in addition to recovery of liquidated damages in terms of the contract, in the event of one or more of the following conditions:

44.1.1. Delay in commencement of the project beyond two weeks after the assignment order or beyond the date given by the bank in the purchase order.

44.1.2. Delay in completion of project.

44.1.3. Serious discrepancies noted in the inspection.

44.1.4. Breaches in the terms and conditions of the Order.

44.2 The Bank reserves the right to cancel the contract placed on the selected bidder and recover expenditure incurred by the Bank on the following circumstances:

44.2.1. Non-submission of acceptance of order within 7 days of order.

44.2.2. Excessive delay in execution of order placed by the Bank.

44.2.3. The selected bidder commits a breach of any of the terms and conditions of the bid.

44.2.4. The bidder goes in to liquidation voluntarily or otherwise.

- 44.2.5. The progress made by the selected bidder is found to be unsatisfactory.
- 44.2.6. Bidder provides evasive or incorrect information.
- 44.3 After the award of the contract, if the selected bidder does not perform satisfactorily or delays execution of the contract, the Bank reserves the right to get the balance contract executed by another service provider of its choice by giving one month notice for the same. In this event, the selected bidder is bound to make good the additional expenditure, which the Bank may have to incur to carry out, for the execution of the balance of the order/contract. Such additional expenditure shall be incurred by the bank within reasonable limits & at comparable price prevailing in the market. This clause is also applicable, if for any reason, the contract is cancelled.
- 44.4 The Bank reserves the right to recover any dues payable by the selected bidder from any amount outstanding to the credit of the selected bidder, including the pending bills and security deposit, if any, under this contract.
- 44.5 In addition to the cancellation of purchase order, the Bank reserves its right to invoke the Bank Guarantee or foreclose the Security Deposit given by the bidder towards non-performance/non-compliance of the terms and conditions of the contract, to appropriate towards damages.

#### 45. Adherence to Cyber Security Systems

Bidders are liable for not meeting the security standards or desired security aspects of all the ICT resources as per Bank's IT/Information Security / Cyber Security Policy. The IT /Information Security/ Cyber Security Policy will be shared with successful bidder. Bidders should ensure Data Security and protection of facilities/application managed by them.

The deputed persons should aware about Bank's IT/IS/Cyber security policy and have to maintain the utmost secrecy & confidentiality of the bank's data including process performed at the Bank premises. At any time, if it comes to the notice of the bank that data has been compromised / disclosed/ misused/misappropriated then bank would take suitable action as deemed fit and selected vendor would be required to compensate the bank to the fullest extent of loss incurred by the bank.

Bidder has to agree and provide undertaking not to disclose any Bank information and will maintain confidentiality of Bank information as per policy of the Bank and will sign "Non-Disclosure Agreement" document provided by Bank.

The resources onboard to Bank's work need to provide declaration as per [Annexure N](#) - Know Your Employee (KYE) Clause as per bank's outsourcing policy.

The legal and regulatory requirements, including data protection, intellectual property rights, copy right, all the relevant regulations for sub-contracting; including the controls that need to be implemented shall be included in the supplier agreement.

All information resources (online/in-person) of the vendors and its partners shall be made accessible to reserve Bank of India as and when sought. Credentials of vendor/third party personnel accessing and managing the bank's critical assets shall be maintained and shall be accordance with Bank's policy.

The Bank shall evaluate, assess, approve, review, control and monitor the risks and materiality of vendor/outsourcing activities and bidder shall ensure to support baseline system security configuration standards. The Bank shall also conduct effective due diligence, oversight and management of third-party vendors/service providers & partners.

Vendor criticality assessment shall be conducted for all partners & vendors. Appropriate management and assurance on security risks in outsources and partner arrangements shall be ensured.

#### **46. Annual Technical Support / Annual Maintenance Contract**

- 46.1 Bidder is expected to provide unconditional warranty for Next generation firewall Hardware and licenses for 3 years and post-warranty (AMC/ATS) for 2 years comprehensive on-site 24x7 maintenance support for problem resolution commitment for 5 years.
- 46.2 Warranty and AMC/ATS terms & conditions shall cover the total hardware & software, including spare replacements along with OS, changes to be done in configuration as per bank requirement, system software etc. procured from the bidder. Warranty terms shall also cover the task of configuring/re-configuring the hardware & software, other hardware/software resources, Operating System hardening, Performance tuning, Loading & configuring operating system updates, integrating with the other hardware procured by Bank and any other tasks related to Hardware & System Software Management. Besides general warranty support, critical support details should be furnished.
- 46.3 At the same time, the Bidder is also expected to make available the spare parts for the systems for at least two years after the expiry of warranty period. If any of the peripherals, components etc. are not available or difficult to procure or if the procurement is likely to be delayed, the replacement shall be carried out with equipment of equivalent capacity or higher capacity at no additional charges to the Bank, during the currency of warranty period and AMC/ATS.
- 46.4 Any regulatory /statutory changes or updates or guidelines as required under the directive of Government of India, Reserve Bank of India or any other regulatory/statutory authority must be provided/ upgraded to the Bank free of cost by bidder during warranty or AMC tenure.
- 46.5 Bidder is expected to provide unconditional warranty and post-warranty comprehensive on-site 24x7 maintenance support commitment for 5 years.

- 46.6 The AMC charges per annum should be minimum 10% of the cost of Next generation firewall Appliances.

**Note:** Bidders need to provide report for support for Bank's review and approval after the contract is awarded to them during the warranty and AMC period.

#### 47. Warranty

- 47.1 The offer must include comprehensive on-site warranty of 3 years from the date of complete sign off by the bank official which will be given after go-live of the solution to the satisfaction of the Bank.
- 47.2 All the products supplied should be licensed and carry a minimum warranty of 3 years from the date of sing-off to the satisfaction of the Bank. On-site, comprehensive and back-to-back contract from Original Equipment Manufacturer (OEM) for a total contract period of 5 years should be arranged by the successful bidder from the date of sign-off. The warranty also includes all system software/software subscriptions (critical hot fixes, service packs, and major upgrades). Remote access to the systems supplied will not be permitted. Date of start of Warranty/Annual Maintenance/software license support of all the items supplied will be treated as started from the completion of successful implementation and sign-off from the Bank for the solution. The penalty for any non-compliance defined under section of SLA.
- 47.3 Any corruption in the OS/software/tools or any services shall be rectified during the full period of the contract including warranty, if contracted, at no extra cost to the Bank.
- 47.4 The executions of the service(s) herein are and shall be strictly in accordance and in compliance with all Applicable Laws, as amended from time to time, the regulatory framework governing the same and the Good Industry Practice. It has all permissions, consents, approvals and license from all authorities, regulatory /statutory and non-regulatory, for executing the Service(s).
- 47.5 The successful bidder warrants that Deliverables and the Services provided by the successful bidder shall be as per the terms of this Agreement. The successful bidder should guarantee that the software supplied to the Bank is licensed and legally obtained. Software must be supplied with their original and complete printed documentation. The successful bidder shall be fully responsible for warranty of all the system components in respect of proper design, quality, material and workmanship of the software, accessories etc. covered by the offer.

#### 48. OEM Authorization

In case the successful bidder is not ready to provide support during the warranty/AMC/ATS period, support will be provided by OEM directly or through their authorized partners for the remaining period of warranty/AMC/ATS without any additional cost to the Bank. Bidders would provide copy of an agreement

entered into with OEMs to provide support during the warranty/AMC/ATS period without any additional cost to the Bank.

#### **49. Liquidated Damages (LD)**

If Successful bidder fails to deliver any or all of the Service(s) / Systems or perform the Services within the time period(s) specified in the RFP/Contract / Agreement, BANK shall, without prejudice to its other rights and remedies under and in accordance with the RFP/Contract / Agreement, levy Liquidated Damages (LD) from payments, which are due to the Successful bidder. For calculation of LD:

- 49.1 LD for delay in delivery/ installation/implementation/ deployment of licenses for each week of delay beyond the scheduled commencing date or part thereof will be a sum equivalent to 0.5% of order value or unperformed Services. In case of undue delay beyond a period of 15 days after attaining the maximum penalty of 5% of total project cost excluding AMC/ATS cost, Bank may consider termination of the contract or purchase order.
- 49.2 Part of week will be considered as full week.
- 49.3 The overall LD during implementation will be to a maximum of 5% of the total cost of the project.
- 49.4 Any delay by the bidder in performance of its delivery obligations shall render the bidder liable to the imposition of liquidation damages, unless extension of time is agreed upon without application of liquidation damages.
- 49.5 Bank can deduct the amount of liquidated damages from any money belonging to the Successful bidder in its hands (which includes BANK's right to claim such amount against Successful bidder's Performance Bank Guarantee) or which may become due to the Successful bidder.
- 49.6 Any such recovery or liquidated damages shall not in any way relieve the Successful bidder from any of its obligations to complete the works / service(s) or from any other obligations and liabilities under the Contract/Agreement/Purchase Order.
- 49.7 Bank reserves the right to condone the delay, if it is not attributable to the Successful bidder.

#### **50. Service Level Agreement**

- 50.1. The Bank notifies the successful Bidder that its Bid has been accepted, the Bidder shall enter into a Service Level Agreement (SLA) with the Bank, containing all the Terms and Conditions of this RFP, including confidentiality, non-disclosure and penalty clauses, and any other clause relevant to the services offered.
- 50.2. Penalty mentioned in this SLA will be levied on the Bidder based on uptime and compliance level delivered through the implemented solutions and/ or



services rendered by the bidder after successful implementation as specified in the Project Plan for Implementation.

- 50.3. The Bidder shall have to enter into a “Service Levels Agreement” with Bank covering all terms and conditions of this tender.
- 50.4. Supplier shall ensure that a minimum 99.95% uptime of the solution is maintained monthly (Calculated on a quarterly basis, which includes all of the solutions as a whole).

Uptime Percentage	Penalty Details
Uptime is greater than or equal to 99.95%	No Penalty
Uptime is less than 99.95% but greater than or equal to 99.60%	1% of cost of quarterly recurring payment
Uptime is less than 99.60 % but greater than or equal to 99.30%	2% of cost of quarterly recurring payment.
Uptime is less than 99.30 % but greater than or equal to 99.00%	5% of cost of quarterly recurring payment.
Uptime is less than 99.00%	Penalty at an incremental rate of 1% of cost of quarterly recurring payment for every 0.1% lower than the stipulated uptime.

**Note: Penalty will not be applicable, if the down time is caused due to any bank dependency. However, the successful bidder shall work in tandem with bank and its existing System Integrator (SI) to resolve such issues and make the solution up & running.**

- 50.5. The percentage uptime is calculated on a quarterly basis of each month in the said quarter using following formula:

$$\text{Uptime \%} = \frac{\text{Total minutes in a month} - \text{Downtime minutes in a month}}{\text{Total minutes in a month}} \times 100$$

- 50.6. The supplier shall provide uninterrupted services for ensuring implementation and maintenance of all solutions as per the requirements of the Bank in line with this RFP. Inability of the Supplier to either ensure deliverables as per the specifications within defined timelines or to meet the service levels as specified in this RFP shall be treated as breach of contract and would invoke the penalty clause. Service Levels should be complied with irrespective of the customizations that the applications would undergo during the tenure of the Contract. The expected Service levels and the corresponding penalties for non-compliance are given as under:
- 50.7. For any penalty during warranty period, the bidder should give a credit note in favour of Union bank of India within 30 days from the date of intimation of penalty by the Bank. If the bidder fails to give the credit note within 30 days of



intimation of penalty, Bank reserves the right to invoke the performance Bank guarantee submitted by the bidder.

- 50.8. Bank also has the right to deduct the penalties incurred during warranty period, while releasing the payment of AMC/ATS cost during 4<sup>th</sup> /5<sup>th</sup> years.
- 50.9. Notwithstanding anything contained above, no such penalty will be chargeable on the bidder for the inability occasioned, if such inability is due to reasons entirely attributable to the bank.
- 50.10. Wherever applicable as stated above while effecting any payment, deduction towards penalty payment will be made. Hence the bidder should raise the invoice deducting the penalty amount.
- 50.11. The penalty is capped at maximum 10 % of TCO.

### **51. Authorized Signatory**

The selected bidder shall indicate the authorized signatories who can discuss and correspond with the BANK, with regards to the obligations under the contract. The selected bidder shall submit at the time of signing the contract a certified copy of the resolution of their board, authenticated by the company secretary, authorizing an official or officials of the bidder to discuss, sign agreements/contracts with the BANK, raise invoice and accept payments and also to correspond. The bidder shall provide proof of signature identification for the above purposes as required by the BANK.

### **52. Confidentiality**

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

- 52.1 To maintain and use the Information only for the purposes of the Contract/Agreement and only as permitted by the BANK;
- 52.2 To only make copies as specifically authorized by the prior written consent of the Bank and with the same confidential or proprietary notices as may be printed or displayed on the original;
- 52.3 To restrict access and disclosure of Information to such of their employees, agents, strictly on a “need to know” basis, to maintain confidentiality of the Information disclosed to them in accordance with this Clause and
- 52.4 To treat all Information as Confidential Information.
- 52.5 The Selected Bidder shall be required to sign a Non-Disclosure Agreement with Bank as per prescribed format provided in [Annexure J](#) within thirty days of issuing the purchase order/letter of intent.

### 53. Indemnity & Limitation of Liability

- 53.1. Subject to Clause 53.4 below, the bidder (the "Indemnifying Party") undertakes to indemnify, hold harmless the Purchaser (the "Indemnified Party") from and against all claims, liabilities, losses, expenses (including reasonable attorneys' fees), fines, penalties, taxes or damages (Collectively "Loss") on account of bodily injury, death or damage to tangible personal property arising in favor of any person, corporation or other entity (including the Indemnified Party) attributable to the Indemnifying Party's negligence or willful default in performance or non-performance under this Agreement.
- 53.2. If the Indemnified Party promptly notifies Indemnifying Party in writing of a third-party claim against Indemnified Party that any Service provided by the Indemnifying Party infringes a copyright, trade secret or patents incorporated in India of any third party, Indemnifying Party will defend such claim at its expense and will pay any costs or damages, that may be finally awarded against Indemnified Party.
- 53.3. Indemnifying Party will not indemnify the Indemnified Party, however, if the claim of infringement is caused by:
- 53.3.1. Indemnified Party's misuse or modification of the Service;
  - 53.3.2. Indemnified Party's failure to use corrections or enhancements made available by the Indemnifying Party;
  - 53.3.3. Indemnified Party's use of the Service in combination with any product or information not owned or developed by Indemnifying Party; However, if any service, information, direction, specification or materials provided by Indemnified Party or any third party contracted to it, is or likely to be held to be infringing, Indemnifying Party shall at its expense and option either;
    - 53.3.3.1. Procure the right for Indemnified Party to continue using it
    - 53.3.3.2. Replace it with a non-infringing equivalent
    - 53.3.3.3. Modify it to make it non-infringing.
    - 53.3.3.4. The foregoing remedies constitute Indemnified Party's sole and exclusive remedies and Indemnifying Party's entire liability with respect to infringement.
- 53.4. The indemnities set out in this clause shall be subject to the following conditions:
- 53.4.1 The Indemnified Party as promptly as practicable informs the Indemnifying Party in writing of the claim or proceedings and provides all relevant evidence, documentary or otherwise;
  - 53.4.2 the Indemnified Party shall, at the cost of the Indemnifying Party, give the Indemnifying Party all reasonable assistance in the Defense of such claim including reasonable access to all relevant information, documentation and personnel provided that the Indemnified Party may,

- at its sole cost and expense, reasonably participate, through its attorneys or otherwise, in such Defense;
- 53.4.3 if the Indemnifying Party does not assume full control over the Defense of a claim as provided in this Article, the Indemnifying Party may participate in such Defense at its sole cost and expense, and the Indemnified Party will have the right to defend the claim in such manner as it may deem appropriate, and the cost and expense of the Indemnified Party will be included in Losses;
- 53.4.4 the Indemnified Party shall not prejudice, pay or accept any proceedings or claim, or compromise any proceedings or claim, without the written consent of the Indemnifying Party;
- 53.4.5 all settlements of claims subject to indemnification under this Clause will:
- be entered into only with the consent of the Indemnified Party, which consent will not be unreasonably withheld and include an unconditional release to the Indemnified Party from the claimant or plaintiff for all liability in respect of such claim; and
  - include any appropriate confidentiality agreement prohibiting disclosure of the terms of such settlement;
- 53.4.6 the Indemnified Party shall account to the Indemnifying Party for all awards, settlements, damages and costs (if any) finally awarded in favour of the Indemnified Party which are to be paid to it in connection with any such claim or proceedings;
- 53.4.7 the Indemnified Party shall take steps that the Indemnifying Party may reasonably require to mitigate or reduce its loss as a result of such a claim or proceedings;
- 53.4.8 in the event that the Indemnifying Party is obligated to indemnify an Indemnified Party pursuant to this Article, the Indemnifying Party will, upon payment of such indemnity in full, be subrogated to all rights and defenses of the Indemnified Party with respect to the claims to which such indemnification relates; and
- 53.4.9 if a Party makes a claim under the indemnity set out under Clause 53.1 above in respect of any particular Loss or Losses, then that Party shall not be entitled to make any further claim in respect of that Loss or Losses (including any claim for damages).

The liability of either Party (whether in contract, tort, negligence, strict liability in tort, by statute or otherwise) for any claim in any manner related to this Agreement, including the work, deliverables or Services covered by this Agreement, shall be the payment of direct damages only which shall in no event exceed one time the total contract value payable under this Agreement. The liability cap given under this Clause shall not be applicable to the indemnification obligations set out in this clause and

breach of Clause 52 (Confidentiality).

In no event shall either party be liable for any consequential, incidental, indirect, special or punitive damage, loss or expenses (including but not limited to business interruption, lost business, lost profits, or lost savings) nor for any third-party claims (other than those set-forth in Clause 53.1) even if it has been advised of their possible existence.

The allocations of liability in this clause represent the agreed and bargained-for understanding of the parties and compensation for the Services reflects such allocations. Each Party has a duty to mitigate the damages and any amounts payable under an indemnity that would otherwise be recoverable from the other Party pursuant to this Agreement by taking appropriate and commercially reasonable actions to reduce or limit the amount of such damages or amounts.

#### **54. Intellectual Property Rights**

The Bidder claims and represents that it has obtained appropriate rights to provide/use the Deliverables and Services upon the terms and conditions contained in this RFP.

- 54.1 The Bidder shall be responsible at its own cost for obtaining all necessary authorizations and consents from third party licensors of Software used by Bidder in performing its obligations under this Project.
- 54.2 If a third party's claim endangers or disrupts the Bank's use of the Deliverables, the Bidder shall at no further expense, charge, fee or cost to the Bank, (i) obtain a license so that the Bank may continue use of the Deliverables in accordance with the terms of this RFP.
- 54.3 Bidder shall indemnify and keep fully and effectively indemnified the Bank from all legal actions, claims, or damages from third parties arising out of use of software, designs or processes used by Bidder or his subcontractors or in respect of any other services rendered under this RFP.

#### **55. Non-Transferable Offer**

This Request for Proposal (RFP) is not transferable. Only the bidder who has submitted the bid will be eligible for participation in the evaluation process.

#### **56. Responsibility for Completeness**

Any supplies and services, which might not have been specifically mentioned in this tender but, are necessary for the installation, Configuration, testing, commissioning, performance or completeness of the order, shall be provided/made available as per the time schedule for smooth and efficient operation and maintenance of the system under Indian conditions.

The bidder shall be responsible for any discrepancies, errors and omissions in the

technical details submitted by him/them, irrespective of whether these have been approved, reviewed or otherwise, accepted by the Bank or not. The Bidder shall take all corrective measures arising out of discrepancies, errors and omissions in drawing and other information as mentioned above within the time schedule and without extra cost to the Bank.

## **57. Force Majeure**

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

- 57.1 Natural phenomena, including but not limited to floods, droughts, earthquakes, epidemics,
- 57.2 Acts of any Government, including but not limited to war, declared or undeclared, priorities, quarantines, embargoes,
- 57.3 Terrorist attacks, public unrest in work area;

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

## **58. Exit Clause**

The Bank reserves the right to cancel the contract in the event of happening one or more of the following conditions:

- 58.1 Failure of the successful bidder to accept the contract and furnish the Performance Bank Guarantee within 30 days from receipt of purchase contract.
- 58.2 Delay in delivery beyond the specified period.
- 58.3 Delay in completing testing/customization and acceptance tests/ checks beyond the specified periods;
- 58.4 Serious discrepancy in functionality to be provided or the performance levels which have an impact on the functioning of the solution.

In addition to the cancellation of contract, Bank reserves the right to appropriate the damages through encashment of Bid Security /Performance Guarantee given by the Bidder. Bank reserves right to exit at any time after giving notice-cum-cure period of one month during the contract period.

## **59. Termination of Contract**

If the Termination is on account of failure of the successful bidder to perform the obligations under this RFP contract, the Bank shall have the right to invoke the Performance Bank Guarantee(s) given by the selected bidder.

The Bank will be entitled to terminate this Contract, without any cost to the Bank and recover expenditure incurred by Bank, on the happening of any one or

more of the following:

- 59.1 The selected bidder commits a breach of any of the terms and conditions of the bid.
- 59.2 The Successful bidder goes into liquidation voluntarily or otherwise
- 59.3 An attachment is levied or continues to be levied for a period of 7 days upon effects of the Agreement.
- 59.4 The progress regarding the execution of the order accepted by the selected bidder is found to be unsatisfactory or delay in execution of the contract, the Bank reserves the right to get the balance contract executed by another party of its choice by giving one month's notice for the same. In this event, the selected bidder is bound to make good the additional expenditure, which Bank may have to incur in executing the balance contract. This clause is applicable, if for any reason, the contract is cancelled.
- 59.5 Non-satisfactory performance of the selected bidder during implementation and operation.
- 59.6 An act of omission by the Bidder, its employees, its agents, or employees of the consortium in the performance of the services provided by this contract.
- 59.7 Failure to integrate/implement the Project as per the requirements of the Bank as stated in this RFP.
- 59.8 Material discrepancies in the Deliverables and Services noted in the implementation/maintenance of the Project. Bank reserves the right to procure the same or similar product from the alternate sources at the risk, cost and responsibility of the selected bidder.
- 59.9 Bank shall serve the cure-cum-termination notice to the bidder at least 30 days prior, of its intention to terminate services. If the performance is not cured to the satisfaction of bank within 30 days, termination will be effected.
- 59.10 Selected bidder is found to be indulging in frauds.
- 59.11 The bank suffers a reputation loss on account of any activity of successful bidder penalty is levied by regulatory authority.
- 59.12 In the event of sub contract or assignment contrary to the terms of agreement.

## 60. Audit

The Bidder shall at all times whenever required furnish all information, records, data stored in whatsoever form to internal, external, Bank appointed and statutory/ RBI inspecting auditors and extend full cooperation in carrying out of such inspection. The Bidder will also undertake to co-operate with the RBI to carry out its supervisory functions and objectives and will furnish all records and other information as RBI may call for to carry out inspection and/ or other functions. The Bidder is required to facilitate the same at no additional cost and shall provide uninterrupted access to the documents required by the auditors. Further the Bidder has to ensure rectification of all the irregularities thus pointed out by the



auditor within a given time frame.

The bidder has to ensure compliance of Information Security according to policy of the Bank and mitigate the risk, if any, within the stipulated time without any additional cost to Bank.

In line of above, the selected bidder shall ensure that all regulatory, Statutory, Local Administration requirements are adhered to subsequently while undertaking deliverable and services over the period of contract without any additional cost to Bank.

Compliance with security best practices may be monitored by periodic computer/information security audit performed by or on behalf of the Bank. The periodicity of these audits will be decided at the discretion of the Bank. These audit plan to include, but are not limited to, a review of: access and authorization procedures, physical security controls, input/output controls, DB controls, backup and recovery procedures, network security controls and program change controls.

To the extent that the Bank deems it necessary to carry out a program of inspection and audit to safeguard against threats and hazards to the confidentiality, integrity, and availability of data, the Bidder shall afford the Bank's representative access to the Bidder's facilities, installations, technical resources, operations, documentation, records, databases and personnel. The Bidder must provide the Bank access to various monitoring and performance measurement system (both manual and automated). The Bank has the right to get the monitoring and performance measurement systems (both manual and automated) audited without prior approval / notice to the bidder.

Any license violation on the part of the outsourced vendor shall not put Bank at risk. Bank shall reserve the right to audit the license usage of the vendor or shall ask the vendor to take undertaking of non-violation of license.

## **61. Contract Period**

The successful bidder shall be required to enter into a contract with Bank within one month of the award of contract or within such extended period as may be specified by Bank. The contract period for this project is 5 years including 3 years warranty and 2 years ATS/AMC on appliances OS/software licenses post warranty. However, the contract period may be extended for additional 2 years at the same cost and terms & conditions on mutual consent of parties.

The extended contract period will be reviewed on yearly basis subject to satisfactory performance of the bidder. However, if in any case it is found that the services offered are not satisfactory, the Bank may consider termination of the contract and forfeiture of the performance Guarantee. If any support is required after the contract w.r.t. to logs, the bidder has to provide the same.



Bidder shall provide transition support, which amongst other shall include provision of logs, rules, technical architecture of solution as deployed, detailed description of the processes, etc. as part of the transition to subsequent SI or bank on completion or on termination of contract.

## **62. Conflict of Interest**

Bank requires that bidder provide professional, objective, and impartial advice and at all times hold Bank's interest paramount, strictly avoid conflicts with other Assignment(s)/ Job(s) or their own corporate interests and act without any expectations/ consideration for award of any future assignment(s) from Bank.

Bidder have an obligation to disclose any situation of actual or potential conflict in assignment/job, activities and relationships that impacts their capacity to serve the best interest of Bank, or that may reasonably be perceived as having this effect. If the Bidder fails to disclose said situations and if Bank comes to know about any such situation at any time, it may lead to the disqualification of the Bidder during bidding process or the termination of its Contract during execution of assignment.

## **63. RFP Ownership**

The RFP and all supporting documentation are the sole property of Union Bank and should NOT be redistributed without prior written consent of Union Bank. Violation of this would be a breach of trust and may, inter-alia cause the bidders to be irrevocably disqualified. The aforementioned material must be returned to Union Bank when submitting the proposal, or upon request; however, bidders can retain one copy for reference.

## **64. Proposal Ownership**

The proposal and all supporting documentation submitted by the bidders shall become the property of Union Bank of India unless the Bank agrees to the bidder's specific requests, in writing, the proposal and documentation to be returned.

## **65. Tender/RFP Cancellation**

The Bank reserves the right to cancel the Tender/RFP at any time without assigning any reasons whatsoever.

## **66. Publicity**

Any publicity by the Service Provider in which the name of the Bank is to be used, will be done only with the explicit written permission of the Bank.

## **67. Arbitration**

All disputes and differences of any kind whatsoever arising out of or in connection with the purchase order shall be referred to arbitration. The arbitrator may be appointed by both the parties or in case of disagreement each

party may appoint an arbitrator and such arbitrators shall appoint an Umpire before entering on the reference. The decision of the Umpire shall be final. Such arbitration shall be governed by the provisions of Indian Arbitration and Conciliation Act 1996. All arbitration proceedings shall be at Mumbai, Maharashtra State, India only.

#### **68. Dispute Resolution & Jurisdiction**

Notwithstanding anything contained herein above, in case of any dispute, claim and legal action arising out of this RFP, the parties shall be subject to the jurisdiction of courts at Mumbai, Maharashtra State, India only. Law of India will be applicable for Dispute Resolution.

#### **69. Availability of Spares**

Spares for the hardware/software offered should be available for at least 5 years from the date of project sign off at Bank's premises.

#### **70. Insurance**

The insurance is to be taken by Bidder for an amount equal to 110% of the CIF value of the goods delivered at the respective sites covering all risks (including fire, burglary, SRCC, natural calamities such as earth quake, flood etc.) up to installation and configuration of hardware after the delivery at both the sites.

#### **71. Submission of Bids**

The bidders have to submit responses to the RFP through Online. Only original documents viz. Bid security and Integrity Pact should be submitted in physical form. All response documents as per requirement of RFP must be uploaded on the site <https://ubi.abcprocure.com>. Original DD/BG for EMD and Integrity Pact (IP) must be submitted physically in sealed cover at the following address on or before scheduled date and time.

To

The General Manager,  
Union Bank of India,  
Department of Information Technology,  
1/1A, Technology Centre, Adi Shankaracharya Marg,  
Opposite Powai Lake, Powai, Andheri (East),  
Mumbai - 400072.

Bank may, at its discretion, extend this deadline for submission of bids by releasing corrigendum to this tender document.

## 72. Annexure A - Letter of Acceptance

(Letter to the bank on the bidder's letterhead)

To

Union Bank of India  
Department of Information Technology,  
1/1A, Technology Centre,  
Adi Shankaracharya Marg,  
Powai, Andheri (East),  
Mumbai-400072

Dear Sir,

**Sub: Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru with Ref. No. UBI/DIT/2022-23/15.**

With reference to the above subject, having examined and understood the instructions, terms and conditions forming part of it, we hereby enclose our offer for the desired solution as detailed in your above referred RFP.

We further confirm that the offer is in conformity with the terms and conditions as mentioned in the RFP and all required information as mentioned is enclosed.

We also confirm that the offer shall remain valid for 180 days from the date of the offer.

We hereby undertake that supporting software supplied, if required will be licensed, legally obtained and with latest version.

We understand that the Bank is not bound to accept the offer either in part or in full and that the Bank has right to reject the RFP in full or in part without assigning any reasons whatsoever.

We understand that

- a. You are not bound to accept the lowest or any bid received by you, and you may reject all or any bid.
- b. If our Bid for the above job is accepted, we undertake to enter into and execute at our cost, when called upon by the purchaser to do so, a contract in the prescribed form. Unless and until a formal contract is prepared and executed, this bid together with your written acceptance thereof shall constitute a binding contract between us.
- c. If our bid is accepted, we are to be responsible for the due performance of the contract.
- d. You may accept or entrust the entire work to one Bidder or divide the work to more than one Bidder without assigning any reason or giving any explanation whatsoever.
- e. Bidder means the bidder who is decided and declared so after examination of commercial bids.

- f. We enclose Demand Draft/Bank Guarantee for Rs.18,00,000/- (Rupees Eighteen Lac only) favoring Union Bank of India and payable at Mumbai, towards bid security, details of the same is as under

No. :

Date :

Name of Issuing Bank :

Dated at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 2022

Or

MSME/Udyog Aadhaar Certificate No.

We hereby declare that all the information & Statements made in this RFP are true and accept that any misinterpretation contained in it may lead to our disqualification. We agree to all terms & conditions of the RFP.

Yours faithfully,

Date:

For \_\_\_\_\_

Signature \_\_\_\_\_

Name \_\_\_\_\_

Authorized Signatories  
(Name & Designation, seal of the firm)

**73. Annexure B - Bidder's Profile Format**

(Ref. No. UBI/DIT/2022-23/15)

Serial No.	Parameters	Response	
1	Name of the Firm/Company		
2	Year of Incorporation in India		
3	Names of the Partners/Directors		
4	Name and Address of the Principal Banker		
5	Addresses of Firm/Company		
	a) Head Office		
	b) Local Office in Mumbai (if any)		
6	Authorized Contact person		
	a) Name and Designation		
	b) Telephone number/Mobile No.		
	c) E-mail ID.		
7	Financial parameters		
	Business Results (last three years)	Annual Turnover (Rs. In Crores)	EBITDA (Rs. In Crores)
	2020-21		
	2019-20		
	2018-19		
	(Only company figures need to be mentioned. Not to include group/subsidiary Company figures)	(Mention the above amount in INR only)	

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

Dated this..... Day of ..... 2022

(Signature)

(In the capacity of)

Duly authorized to sign bid with seal for &amp; on behalf of (Name &amp; Address of the Bidder)

## 74. Annexure C - Eligibility Criteria

Sl. No	Pre-Qualification Criteria	Detail of Proof to be Attached	Compliance (Yes/No)
1	The bidder has to submit Integrity Pact (IP) signed by authorized signatory as prescribed format mentioned in <a href="#">Annexure M</a> on plain paper in advance (not prior to issuance of RFP) or at the time of bid submission. Bidder shall be liable for rejection in case of non-submission of the same.	Integrity Pact (IP) as per <a href="#">Annexure M</a> on plain paper is to be submitted.	
2	The bidder should be a company registered in India as per Company Act 1956 /2013 or a partnership firm / a Limited Liability Partnership company under the Limited Liability Partnership Act 2008 in India and should be in existence for last 5 years from the date of issuance of RFP.	(Certificate of incorporation/certificate for commencement of business/other relevant documentary proof is to be submitted)	
3	The bidder should have minimum annual turnover of Rs.30.00 Crore in each of the last three financial years i.e., 2018-19, 2019-20 and 2020-21 as per the audited balance sheet available at the time of submission of tender. In case the audited financials for the year 2020-21 is not finalized, Provisional Balance Sheet of 2020-21 should be submitted. This must be the individual company turnover and not that of any group of companies. <b>Note:</b> Bank Shall Follow Govt Guidelines/Notifications for Public Procurement. As per Policy Circular No.1(2)(1)/2016-MA dated 10.03.2016 issued by GOI and F.20/2/2014-PPD (Pt) dated 20.09.2016, bank may relax condition of prior turnover and prior experience with respect to Micro and Small Enterprises and Startups subject to meeting of quality and technical specifications.	Copies of the audited balance sheet and Profit & Loss Statement of the company showing the same is to be submitted.	
4	Bidder should have positive operating Profit (as EBITDA i.e., Earnings Before Interest, Tax, Depreciation & Amortization) in the last three financial years i.e., 2018-19, 2019-20 and 2020-21 as per the audited balance	Copies of the audited balance sheet and Profit/Loss statement of the company is to be submitted.	

Sl. No	Pre-Qualification Criteria	Detail of Proof to be Attached	Compliance (Yes/No)
	sheet available at the time of submission of tender. In case the audited financials for the year 2020-21 is not finalized, Provisional Balance Sheet of 2020-21 should be submitted.		
5	The bidder should be providing IT security services / business (i.e. in the area of implementation, monitoring and management of proposed Next generation firewall solution during last five years.	Proof of purchase order/work order/sign off documents showing implementation of various security solutions stated above to be submitted indicating the company is providing such service for the past 5 years.	
6	Bidder should have implemented proposed Next generation firewall devices in at least Three corporates out of which one should be a PSB/ RBI/NPCI (excluding RRB and Co-operative Bank) during last 3 years.	The bidder has to submit Purchase Order/ Engagement letter/ Work Order/ Service agreement and Satisfactory letter	
7	Bidder should be either an Original Equipment Manufacturer (OEM) of devices/software solutions or authorized partner/SI of OEM. In case the bidder is an Authorized partner of the OEM, Bidder needs to provide Manufacturer Authorization Form (MAF) from OEM stating that bidder is authorized partner of OEM and authorized to participate in this tender and in case the bidder is not able to perform obligations as per contract during the contract period, contracted services will be provided by OEM or its authorized partner. OEM can quote directly or through authorized partners. However, both i.e. OEM & their authorized partner cannot participate in the RFP. In case, both (OEM & their authorized partner) participate, the bid of the OEM only will be considered.	Supporting document- Authorization letter from OEM.	
8	The proposed OEM firewalls must have at least 3 deployments in BFSI/Government	The bidder has to submit Purchase	



Sl. No	Pre-Qualification Criteria	Detail of Proof to be Attached	Compliance (Yes/No)
	organization/ Public Sector in India during last 5 financial years from the date of issuance of the RFP.	Order/ Engagement letter/ Work Order/ Service agreement and Satisfactory letter.	
9	The Bidder should have at least 5 IT Security professionals who are direct employees of the Bidder having degree equivalent to Bachelor of Engineering (B.E.)/Bachelor of Technology (B.Tech) or higher on their payroll with certification in CISA or CISSP or CISM.	Supporting document-undertaking to be submitted containing name, employee number, qualification, OEM Certification and experience (in years) in bidder's letter head	
10	Bidder should have minimum 4 engineers having OEM certification on proposed solution.	Supporting document-undertaking to be submitted containing name, employee number, qualification, OEM Certification in bidder's letter head	
11	The Bidder/OEM should have support offices at Mumbai and Bengaluru.	Undertaking to be submitted in Bidder/OEM's letter head, with address and contact details	
12	The bidder should provide undertaking that any of its subsidiary or associate or holding company or companies having common director/s or companies in the same group of promoters/management or partnership firms/LLPs having common partners has not participated in the bid process.	Undertaking should be submitted in bidder letter head.	
13	The companies or firms, bidding for the above tender, should have not be black listed by any of Government Authority or Public Sector Undertaking (PSUs) at the time of RFP. The bidder shall give an undertaking (on their letter head) that they have not been black listed by any of the Govt. Authority or PSUs. In case, in the past, the name of their Company was black listed by any of the Govt. Authority or PSUs, the same must have been removed from the black list	An undertaking to this effect must be submitted in their letter head as per <a href="#">Annexure I</a>	

Sl. No	Pre-Qualification Criteria	Detail of Proof to be Attached	Compliance (Yes/No)
	as on date of submission of the tender, otherwise the bid will not be considered.		

Place:

Date:

Authorized Signatory:

Name &amp; Designation:

Business Address & email id:  
\_\_\_\_\_

## 75. Annexure D - Technical Specifications

S. No.	TECHNICAL FEATURES OF THE FIREWALLS	Compliance YES / NO	Exact specification of proposed product/Comments
<b>Hardware and Interface Requirements</b>			
1	Firewall appliance should have Console port and USB Ports.		
2	The platform must be supplied with minimum 4X40 GE, 16x25 GE/10GE/1GE SFP, & 8x1GE RJ 45 ports		
3	Appliance should be rack mountable and support side rails if required		
4	Firewall should have Hardware Sensor Monitoring capabilities		
5	Solution should have dual power supplies, redundant hard disk and cooling fans on the firewall appliances as well as on centralized monitoring, management and Log server if required separately.		
6	The platform should support VLAN tagging (IEEE 802.1q)		
7	The firewall should support ISP link load balancing		
8	The firewall must support stateful active-active load balancing and high availability for redundancy.		
9	Firewall should support Link Aggregation functionality to group multiple ports as single port.		
10	Firewall should support Ethernet Bonding functionality for Full Mesh deployment architecture		
11	Solution should have minimum 800 GB onboard storage		
12	40GE QSFP+ transceivers, short range for all systems with QSFP+ Slots, 25/10GE SFP+ transceiver module, short range for all systems with SFP+ and SFP/SFP+ slots		
<b>Performance Requirements</b>			
1.	Firewall threat prevention throughput must be minimum of 17 Gbps or higher (considering IMIX packet size) after enabling all the security features and services in production environment and corresponding report needs to be submitted.		

	Bank, at its own discretion may enable various security features on firewall at different point of time. In such cases if the threat prevention throughput of the firewall goes under 15 Gbps then it will be considered as under performance. In case of underperformance, vendor must upgrade or replace firewall/components to the next higher configuration without any additional cost to Bank.		
2.	The Firewall must support minimum 20 million concurrent connections with NGFW features (including all services available in firewall).		
3.	The Firewall must support minimum 450k new connections per second processing at NGFW features (including all services available in firewall)		
4.	Appliance should have a capability to support for more than 500 VLAN.		
<b>Architecture Features</b>			
1.	The communication between all the components of Firewall System (firewall module, logging & policy management server, and the GUI/WebUI Console) should be encrypted with SSL or PKI.		
2.	Firewall Appliances should be deployed for Active - Active or Active-Passive failover architecture for both Firewall & VPN functions as and when required.		
3.	It should support the IPSec VPN for both Site-Site & Remote Access VPN.		
4.	The firewall appliance/management server should be able to store configuration and Logs locally and the Solution should also be capable to take backup of the configuration and logs on periodical intervals.		
5.	It should support the system authentication with TACACS+/ RADIUS.		
6.	Firewall Appliance should have a feature of holding multiple OS images to support resilience & easy rollbacks during the version upgrades.		
<b>Network Protocols/Standards Support Requirements</b>			
1.	It should support at least 200 protocols.		
2.	Firewall Modules should support the deployment in Routed as well as Transparent Mode.		
3.	The Firewall must provide state engine support for all common protocols of the TCP/IP stack.		

4.	The Firewall must provide NAT functionality, including dynamic and static NAT translations.		
5.	All internet based applications should be supported for filtering like Telnet, FTP, SMTP, http, DNS, ICMP, DHCP, ARP, RPC, SNMP, Lotus Notes, Ms-Exchange etc .		
6.	Local access to the firewall modules should support authentication protocols - RADIUS/TACACS+.		
7.	IPSec VPN should support the Authentication Header Protocols - MD5 & SHA (SHA1 and SHA2)		
8.	IPSec ISAKMP methods should support Diffie-Hellman Group 1,2,5,14 & 19, MD5 & SHA (SHA1 and SHA2) Hash, RSA & Manual Key Exchange Authentication, 3DES/AES-256 Encryption of the Key Exchange Material and algorithms like RSA-1024 / 1536 or higher		
9.	IPSec encryption should be supported with 3DES, AES-128 & AES-256 standards or higher		
10.	IPSec should have the functionality of PFS and NAT-T		
11.	Firewall should support the authentication protocols RADIUS, LDAP, TACACS, and PKI methods		
12.	Firewall should support PKI Authentication with PCKS#7 & PCKS#10 standards or higher		
13.	It should support BGP, OSPF, Multicast Tunnels, Multicast protocols like DVMRP ,PIM etc.		
<b>Firewall Filtering Requirements</b>			
1.	It should support the filtering of TCP/IP based applications with standard TCP/UDP ports or deployed with customs ports		
2.	The Firewall must provide state engine support for all common protocols of the TCP/IP stack		
3.	The Firewall must provide filtering capability that includes parameters like source addresses, destination addresses, source and destination port numbers, protocol type		
4.	The Firewall should be able to filter traffic even if the packets are fragmented		
5.	It should support the VOIP Applications Security by supporting to filter SIP, H.323, MGCP and Skinny flows.		
6.	It should be able to block Instant Messaging like Yahoo, MSN, ICQ, Skype (SSL and HTTP tunnelled)		

7.	It should enable blocking of Peer-Peer applications, like Kazaa, Gnutella, Bit Torrent, IRC (over HTTP)		
8.	The Firewall should support authentication protocols like LDAP, RADIUS and have support for firewall passwords, smart cards, & token-based products like SecurID, LDAP-stored passwords, RADIUS or TACACS+ authentication servers, and X.509 digital certificates.		
9.	The Firewall should support database related filtering and should have support for Oracle, MS-SQL, and Oracle SQL-Net .		
10.	The Firewall should provide advanced NAT capabilities, supporting all applications and services		
11.	Should support CLI & GUI based access to the firewall modules		
12.	Local access to firewall modules should support role based access		
13.	QoS Support [Guaranteed bandwidth, Maximum bandwidth, Priority bandwidth utilization, QOS weighted priorities, QOS guarantees, QOS limits and QOS VPN]		
<b>Integrated IPS Feature Set</b>			
1.	Integrated IPS functionality should be available as a software module that can be activated and de-activated as and when required.		
2.	The IPS should be constantly updated with new defences against emerging threats.		
3.	IPS updates should have an option of Automatic downloads and scheduled updates so that it can be scheduled for specific days and time.		
4.	Should have flexibility to define newly downloaded protections will be set in Detect or Prevent mode.		
5.	IPS Engine should support Vulnerability and Exploit signatures, Protocol validation, Anomaly detection, Behavior-based detection, Multi-element correlation.		
6.	IPS Profile should have an option to select or re-select specific signatures that can be deactivated.		
7.	Intrusion Prevention should have option to add exceptions for network and services.		

8.	IPS should have the functionality of Geo Protection to Block the traffic country wise.		
9.	IPS Policy to Block the traffic by country should have an option to configure in incoming direction, Outgoing direction or both.		
10.	IPS events/protection exclusion rules can be created and view packet data directly from log entries with RAW Packets and if required can be sent to Wireshark for the analysis.		
11.	Application Intelligence should have controls for Instant Messenger, Peer-to-Peer, Malware Traffic etc.		
12.	Instant Messenger should have options to Block File Transfer, Block Audio, Block Video, Application Sharing and Remote Assistance .		
13.	IPS should have an option to create your own signatures with an open signature language.		
14.	IPS should provide detailed information on each protection, including: Vulnerability and threat descriptions, Threat severity, Performance impact, Release date, Industry Reference, Confidence level etc		
<b>Identity Awareness Features</b>			
1.	Firewall Should support Identity Access for Granular user, group and machine based visibility and policy enforcement.		
2.	Firewall should support the Identity based logging .		
3.	Identity Access should be able to distinguish between employee and other like guests and contractors.		
4.	Should have an option of time duration for Guests Login.		
5.	Should provide seamless AD Integration with multiple deployment options like Clientless, Captive Portal or Identity Agent.		
6.	Should support and obtain the user identity in case user is behind a proxy.		
7.	Identity awareness licensing should be passed per gateway and not restrict on the basis on users.		
8.	Should support redundancy High Availability and Load Sharing .		



9.	Identity Awareness should work in conjunction with Application Control		
<b>Web Control [Application Control +URL Filtering] Features</b>			
1.	Solution should support Application Detection and Usage Control.		
2.	Should enable securities policies to identify, allow, block or limit application regardless of port, protocol etc.		
3.	Application Control Databases should have application control list.		
4.	Should have more than 60+ predefined Categories based on Urls, Application types, Security Risk level etc. However solution should be able to create custom categories for URL and application.		
5.	Should have Categories like Business Applications, Instant Messaging, File Storage and Sharing, Mobile Software, Remote Administration, SMS Tools, Search Engine, Webmail etc  Should support User and Group based policies.		
6.	Solution should have an option of allow/block/Monitor/Authentication a user before allowing access to website.		
7.	Solution should support Actions like allow, Block inform etc.		
8.	Should be integrated with Identity Awareness for granular control of application by specific users, group of users and machine they are using.		
9.	Should provide Seamless and Agent-less integration with Active Directory		
10.	Active Directory user's identification may be done either through querying Active Directory, through a captive portal or through installing a one-time, thin client-side agent .		
11.	Should be Managed Centrally from Single Dashboard via user friendly interface.		
<b>Antimalware Feature Set (Antivirus+ Bot Attacks)</b>			
1.	Solution should be able to identify malwares coming from incoming files and malwares downloaded from Internet		
2.	Solution should be able to Discover bot outbreaks, infected machine, prevent Bot damage.		

3.	Solution should have an Multi tier bot discovery i.e. Detect Command and Control IP/URL and DNS.		
4.	Solution should be able to detect Unique communication patterns used by BOTs i.e. Information about Botnet family.		
5.	Solution should be able to block traffic between infected Host and Remote Operator and not to legitimate destination.		
6.	Solution should be able to provide with Forensic tools which give details like Infected Users/Device, Malware type, Malware action etc.		
7.	Anti-virus scanning should support proactive and stream mode.		
8.	Solution should be able to create a protection scope for the inspection.		
9.	Solution should give information related to Performance impact and confidence level of protections while creating profiles.		
10.	Solution should have an option of configuring Exception.		
11.	Solution should be able to Scan by File direction and IP address.		
12.	File type recognition along with following actions i.e. Scan, Block, Pass.		
13.	Should be able to scan any file irrespective of it size.		
14.	Antivirus protection protocols for HTTP,HTTPS, FTP, POP3, SMTP.		
15.	Anti-spyware for pattern based blocking at the gateway.		
16.	Centralized daily, automatic and manual updates.		
17.	Granular scanning of more than 50 different file types.		
18.	Solution should have an option of packet capture for further analysis of the incident.		
<b>Administration, Management, &amp; Logging / Reporting Functionality</b>			
1.	Firewall Real-Time Monitoring, Management & Log Collection (with storage) should not be distributed to more than ONE server/appliance.		
2.	DC Firewalls should be manageable from the centralised management framework.		

3.	Any changes or commands issued by an authenticated user should be logged to a database.		
4.	Firewall Management system should also provide the real time health status of all the firewall modules on the dashboard for CPU & memory utilization, state table, total # of concurrent connections and the connections/second counter.		
5.	Firewall must send mail or SNMP traps to Network Management Servers (NMS) in response to system failures or threshold violations of the health attributes.		
6.	The Firewall must provide simplified provisioning for addition of new firewalls where by a standard firewall policy could be pushed into the new firewall.		
7.	The Firewall administration station must provide a means for exporting the firewall rules set and configuration.		
8.	Support for role based administration of firewall.		
9.	The Firewall administration software must provide a means of viewing, filtering and managing the log data.		
10.	The Firewall logs must contain information about the firewall policy rule that triggered the log.		
11.	The Firewall must provide a minimum basic statistics about the health of the firewall and the amount of traffic traversing the firewall.		
12.	Management should provide detailed Event analysis for Firewall, IPS, Application Control, Data filtering with reporting of all the components.		

**Authorized Signatory:**

**Place:**

**Name & Designation:**

**Date:**

**Business Address & email id:**

**76. Annexure E - Compliance to RFP Terms & Conditions**

(Ref. No. UBI/DIT/2022-23/15)

Sl. No	Clause Details	Bidder's Compliance (Yes/ No)
1	Introduction	
2	Adoption of Integrity Pact (IP)	
3	Objectives of the RFP	
4	Definitions	
5	Project Overview	
6	Invitation of Tender Bids	
7	Eligibility Criteria	
8	Broad Scope of Work	
9	Detailed Scope	
10	Training	
11	Firewall solution Capabilities	
12	Implementation Instructions and Extended Scope	
13	Locations to be Covered	
14	Project Validity	
15	Right to Alter Quantities and Price freezing	
16	Cost of Bidding	
17	Language of Bid	
18	Instructions for Bid Submission	
19	Performance Bank Guarantee	
20	Online Prebid Meeting and RFP Clarifications	
21	Technical Bid Evaluation	
22	Restriction on Procurement due to National Security	
23	Award of Contract	
24	Price Composition	
25	Taxes and Duties	
26	Rejection of Bid	
27	Modification and Withdrawals of Bid	
28	RFP Response	
29	Patent Rights	
30	Payment Terms	
31	Order cancellation	
32	Adherence to Cyber Security Systems	
33	Annual Technical Support / Annual Maintenance Contract	
34	Warranty	
35	OEM Authorization	

Sl. No	Clause Details	Bidder's Compliance (Yes/ No)
36	Liquidated Damages (LD)	
37	Service Level Agreement	
38	Authorized Signatory	
39	Confidentiality	
40	Indemnity& Limitation of Liability	
41	Intellectual Property Rights	
42	Non-Transferable Offer	
43	Responsibility for Completeness	
44	Force Majeure	
45	Exit Clause	
46	Termination of Contract	
47	Audit	
48	Contract Period	
49	Conflict of Interest	
50	RFP Ownership	
51	Proposal Ownership	
52	Tender/RFP Cancellation	
53	Publicity	
54	Arbitration	
55	Dispute Resolution & Jurisdiction	
56	Availability of Spares	
55	Insurance	
56	Submission of Bids	

Place:

Date:

Authorized Signatory:

Name &amp; Designation:

Business Address &amp; email id:

## 77. Annexure F - Un-priced Commercial Bid

**Table A**

S.No	Description	Unit price (a)	Quantity (b)	Total price c = (a*b)
1	Appliance based Next Generation Firewalls with High Availability /Load balancing with Firewall, IPS, Antivirus/Antispam, web content filtering with centralized management inclusive of subscriptions and licenses with three year onsite comprehensive warranty, 24*7 support with 8 Hrs RMA	XX	8	XX
TOTAL Cost (c)				XXX

**Table B**

Sl. No.	Description	AMC per year (d)	Quantity (e)	f=(d*e)	Total cost of AMC for 2 Years g=(f*2)
1	Appliance based Next Generation Firewalls with High Availability /Load balancing with Firewall, IPS, Antivirus/ Antispam, web content filtering with centralized management inclusive of subscriptions and licenses with three year onsite comprehensive warranty, 24*7 with replacement of Hardware/software within 8 Hrs, in case of any failure.	XX	8	XXX	XXXX
Total Cost (g)					XXXX

Total Cost of Ownership (TCO) (Table A + Table B)

XXXXX

TCO in words XXXXXXXXXXXXXXXXXXXX

**Note:**

1. All the costs mentioned above must be quoted in Indian Rupees and exclusive of taxes.
2. TCO is valid for five years. In case of any discrepancy, TCO quoted in words will be considered.
3. Payment will be made as per the payment terms mentioned in this RFP.
4. Prices quoted by the bidder are exclusive of all applicable Taxes i.e. GST (CGST/SGST/IGST). GST will be paid on actual on production of original invoice.
5. Bidder has to show the bifurcation/details of applicable GST (CGST/SGST/IGST) in every invoice. Any upward / downward revision in GST will be borne by Bank.
6. The prices quoted should also include charges towards freight, forwarding, delivery, and installation, transit insurance charges till installation, transportation, configuration/reconfiguration, integration and commissioning of equipment.
7. Bank will not pay any additional charges other than those mentioned above whatsoever the case may be.
8. AMC should be quoted with minimum of 10% of Hardware cost.
9. Cost of on-going system software maintenance / updates / patches / bug fixes / enhancements shall be borne by Bidder.
10. Breakup of implementation cost and Software/ Licenses shall be provided to the Bank if required by the Bank.
11. The proposed hardware/solution should meet the technical requirements mentioned in the RFP document.

**Authorized Signatory:****Place:****Name & Designation & mail ID:****Date:****Business Address:**



**78. Annexure G - Indicative Commercial Bid****Table A**

S.No	Description	Unit price (a)	Quantity (b)	Total price c = (a*b)
1	Appliance based Next Generation Firewalls with High Availability /Load balancing with Firewall, IPS, Antivirus/Antispam, web content filtering with centralized management inclusive of subscriptions and licenses with three year onsite comprehensive warranty, 24*7 support with 8 Hrs RMA		8	
TOTAL Cost (c)				

**Table B**

Sl. No.	Description	AMC per year (d)	Quantity (e)	f=(d*e)	Total cost of AMC for 2 Years g=(f*2)
1	Appliance based Next Generation Firewalls with High Availability /Load balancing with Firewall, IPS, Antivirus/ Antispam, web content filtering with centralized management inclusive of subscriptions and licenses with three year onsite comprehensive warranty, 24*7 with replacement of Hardware/software within 8 Hrs, in case of any failure.		8		
Total Cost (g)					

Total Cost of Ownership (TCO) (Table A + Table B)

TCO in words .....

1. All the costs mentioned above must be quoted in Indian Rupees and exclusive of taxes.
2. TCO is valid for five years. In case of any discrepancy, TCO quoted in words will be considered.
3. Payment will be made as per the payment terms mentioned in this RFP.
4. Prices quoted by the bidder are exclusive of all applicable Taxes i.e. GST (CGST/SGST/IGST). GST will be paid on actual on production of original invoice.
5. Bidder has to show the bifurcation/details of applicable GST (CGST/SGST/IGST) in every invoice. Any upward / downward revision in GST will be borne by Bank.
6. The prices quoted should also include charges towards freight, forwarding, delivery, and installation, transit insurance charges till installation, transportation, configuration/reconfiguration, integration and commissioning of equipment.
7. Bank will not pay any additional charges other than those mentioned above whatsoever the case may be.
8. AMC should be quoted with minimum of 10% of Hardware cost.
9. Cost of on-going system software maintenance / updates / patches / bug fixes / enhancements shall be borne by Bidder.
10. Breakup of implementation cost and Software/ Licenses shall be provided to the Bank if required by the Bank.
11. The proposed hardware/solution should meet the technical requirements mentioned in the RFP document.

Business Address:

## 79. Annexure H - Declaration for Compliance

### All Terms and Conditions including scope of work except technical specifications

We hereby undertake and agree to abide by all the terms and conditions stipulated by the Bank in this RFP including all addendum, corrigendum etc. (Any deviation may result in disqualification of bids).

**Signature:**

**Name**

**Date**

**Seal of company:**

### Technical Specification

We certify that the systems/services offered by us for tender confirms to the specifications stipulated by you with the following deviations

List of deviations

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_
- 4) \_\_\_\_\_

**Signature:**

**Name**

**Date**

**Seal of company:**

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

## 80. Annexure I - Undertaking by Bidder

Place:

Date:

To:

The General Manager,  
Union Bank of India,  
5<sup>th</sup> floor, Technology Centre,  
1/1A, Adi Shankaracharya Marg, Opp. Powai Lake,  
Powai, Andheri (East),  
Mumbai-400072.

### Undertaking (To be submitted by all Bidders' on their letter head)

(Ref. No. UBI/DIT/2022-23/15)

We \_\_\_\_\_ (bidder name), hereby undertake that-

- As on date of submission of tender, we are not blacklisted by the Central Government / any of the State Governments / PSUs in India or any Financial Institution in India.
- We also undertake that, we are not involved in any legal case that may affect the solvency / existence of our firm or in any other way that may affect capability to provide / continue the services to bank.

Yours faithfully,

Authorized Signatories

(Name, Designation and Seal of the Company)

Date

## 81. Annexure J - Confidentiality / Non-Disclosure Agreement

(Ref. No. UBI/DIT/2022-23/15)

This CONFIDENTIALITY AGREEMENT (the “Agreement”) entered into on this \_ day of 2022, and shall be deemed to have become in full force and effect from (the “Effective Date”).

BY and between M/s. \_\_\_\_\_ a company incorporated under the provisions of the Companies Act, \_\_\_\_\_ in force in India, having its registered office at \_\_\_\_\_ (hereinafter referred to as “-----” or “Vendor” which expression shall, unless it be repugnant or contrary to the context or meaning thereof, mean and include its, successors and permitted assigns) of the ONE PART  
AND

Union Bank of India, a corresponding new bank constituted under section 3 of Banking Companies (Acquisition & Transfer of Undertakings) Act 1970 having its Head office at Union Bank Bhavan, Vidhan Bhavan Marg, Nariman Point, Mumbai - 400021 (hereinafter referred to as “Union Bank” or “Bank” which expression shall, unless it be repugnant to the context or meaning thereof, mean and include its successors and permitted assigns), of the OTHER PART:

----- and the Bank shall hereinafter jointly be referred to as “Parties” and individually as a “Party”.

In this Agreement, “Affiliate” means any entity which from time to time Controls, is Controlled by or is under common Control with the relevant party or entity, where “Control” means having the ability (including, without limitation, by means of a majority of voting rights or the right to appoint or remove a majority of the board of directors) to control the management and policies of an entity.

### WHEREAS:-

- i. Vendor inter-alia is engaged in the business of providing IT related solutions & services to various business entities in India & abroad.
- ii. Union Bank has agreed to disclose, transmit, receive, and/or exchange certain “confidential information” to cover the business transaction between parties for the provision of services related to “\_\_\_\_\_” (“the Purpose”) as more particularly described in Purchase Order no , issued by Union Bank in favor of M/s. -----.

**NOW THIS AGREEMENT WITNESS:****1. Interpretation**

In this Agreement “**Confidential Information**” means all information belonging to a Party that is or has been disclosed to one Party (the “Receiving Party”) by the other Party (the “Disclosing Party”) in connection with the business transacted/ to be transacted between the Parties. Confidential information shall also include any copy, abstract, extract, sample, note or module thereof. The Receiving Party may use the Confidential Information solely for and in connection with the business transacted/ to be transacted between the Parties.

Notwithstanding the foregoing, “Confidential Information” shall not include any information which the Receiving Party can show: (a) is now or subsequently becomes or is in possession of the Receiving Party, legally and publicly available without breach of this Agreement by the Receiving Party, (b) was rightfully in the possession of the Receiving Party without any obligation of confidentiality prior to receiving it from the Disclosing Party, (c) was rightfully obtained by the Receiving Party from a source other than the Disclosing Party without any obligation of confidentiality, (d) was developed by or for the Receiving Party independently and without reference to any Confidential Information and such independent development can be shown by documentary evidence, or (e) is disclosed pursuant to an order of a court or governmental agency as so required by such order, provided that the Receiving Party shall, unless prohibited by law or regulation, promptly notify the Disclosing Party of such order and afford the Disclosing Party the opportunity to seek appropriate protective order relating to such disclosure.

**2. Confidentiality:**

2.1 Except to the extent as agreed herein, the Receiving Party agrees to regard, preserve and keep as secret and confidential all Confidential Information of the Disclosing Party or its clients or any member of their group disclosed under this Agreement. In maintaining confidentiality hereunder the Receiving Party agrees and accepts that it shall not, either on its own account or jointly with or for any other person, firm, company or any other entity, without obtaining the written consent of the disclosing party.

- I. Disclose, transmit, reproduce or make available any such Confidential Information to any person firm, company or any other entity other than its directors, partners, advisers, agents or employees, who need to know the same for the purpose of evaluating, preparing, considering, negotiating, advising in relation to or in furtherance of the purpose aforesaid; or

- II. Use the Confidential Information for any purpose other than evaluating, preparing, considering, negotiating, advising in relation to or in furtherance of the purpose for which it is disclosed; or
  - III. Disclose, announce or otherwise publicize the existence of its association with the Disclosing Party or the existence of the project with the Disclosing Party or any other arrangement (existing or possible) between the disclosing party, its clients or itself in connection with any project/assignment; or
  - IV. Use any such Confidential Information for its own benefit or the benefit of others or do anything prejudicial to the interests of the Disclosing Party or its clients or any member of their group or their projects.
- 2.2 The Receiving Party also agrees and accepts that it may endeavor:
- I. Use at least the same degree of care in safeguarding such Confidential Information as it uses for its own Confidential information of like importance and such degree of care shall be at least that which is reasonably calculated to prevent such inadvertent disclosure;
  - II. Keep the Confidential Information and any copies thereof secure and in such a way so as to prevent unauthorized access by any third party;
  - III. Limit access to such Confidential Information to those of its (including its Affiliates") directors, partners, advisers, agents or employees who are directly involved in the consideration/evaluation of the Confidential Information and bind each of its directors, partners, advisers, agents or employees so involved to protect the Confidential Information in the manner prescribed in this Agreement; and
  - IV. Upon discovery of any disclosure or suspected disclosure of Confidential Information, to take reasonable effort to as per the circumstances, to inform the Disclosing Party of such disclosure in writing and immediately return to the Disclosing Party all such Information, in whatsoever form, including any and all copies thereof.

### **3. Return or destruction:**

The Receiving Party may, upon completion of the purpose mentioned aforesaid or at any time on receipt of a written demand from the disclosing party: i) immediately return all written Confidential Information and all copies thereof provided to, or produced by, it or its advisers, as the case may be, which is in such party's possession or under its custody and control; ii) to the extent practicable, but without prejudice to the obligations of confidentiality herein, immediately destroy all analyses, compilations, notes, studies, memoranda or other documents prepared by it or its advisers to the extent that the same contain, reflect or derive from Confidential Information relating to the other party; iii)



so far as it is practicable to do so (but, in any event, without prejudice to the obligations of confidentiality contained in this Agreement), immediately expunge any Confidential Information relating to the Disclosing Party or its clients or any member of their group or their projects from any computer, word processor or other device in its possession or under its custody and control.

#### **4. Permitted disclosure:**

The provisions of paragraph 2 shall not restrict any disclosure required by law or by any court of competent jurisdiction, the rules and regulations of any recognized stock exchange or any enquiry or investigation by any governmental, official or regulatory body which is lawfully entitled to require any such disclosure provided that, so far as it is lawful and practical to do so prior to such disclosure, the Receiving Party shall promptly notify the other party of such requirement with a view to providing the opportunity for the Provider to contest such disclosure or otherwise to agree the timing and content of such disclosure.

#### **5. Ownership of Information:**

Except to the extent as agreed herein, the Confidential Information and copies thereof, in whatsoever form shall at all times remain the property of the Disclosing Party or its clients and its disclosure shall not confer on the Receiving Party any rights (including any intellectual property rights) over the Confidential Information whatsoever beyond those contained in this Agreement.

#### **6. No Representation:**

Neither the disclosure, transmission receipt or exchange of Confidential Information nor anything else in this Agreement will constitute an offer by or on behalf of the Disclosing Party or be construed as soliciting any business or organization changes or any assurance of any business commitment or an inducement to incur / undertake any obligations not specified herein and neither party will be under any obligation to accept any offer or proposal which may be made by the other or on behalf of such other party.

#### **7. Remedies and Relief:**

The parties hereto acknowledge that remedies at law may be inadequate to protect the Disclosing Party or its clients against any actual breach of this Agreement by the Receiving Party, and, without prejudice to any other right and remedies otherwise available to the Disclosing Party or its clients, the Receiving Party agrees that Disclosing Party has a right to seek injunctive relief in its favor upon proof of actual damage and upon establishment of the fact that such actual damage has taken place due to reasons directly attributable upon the Receiving Party. Such injunctive relief shall be in addition to any other remedies available hereunder, whether at law or equity. Disclosing Party shall be entitled to

recover its cost and fees, including Advocate's fees, incurred in obtaining any such relief. Further, in the event of litigation relating to this Agreement, the prevailing party shall be entitled to recover its cost and expenses including Advocate's fees.

## **8. No Assignment**

This Agreement shall not be assigned by either party, by operation of law or otherwise, without the prior written consent of the other party. This Agreement shall inure to the benefit of and will be binding upon the parties' respective successors and permitted assigns.

## **9. Severability**

In the event that any of the provisions contained in this Agreement is found to be invalid, illegal or unenforceable in any respect by a Court of competent jurisdiction, the validity, legality, or enforceability of the remaining provisions contained in this agreement will not be in any way affected or impaired by such a finding.

## **10. Delay or Waiver**

No delay or failure of either Party in exercising any right hereunder and no partial or single exercise thereof shall be deemed of itself to constitute a waiver or an expectation of non-enforcement of such right or any other rights hereunder. No waiver of any provision of this Agreement shall be valid unless the same is in writing and signed by the party against whom such waiver is sought to be enforced. A waiver or consent given by either party on any one occasion is effective only in that instance and will not be construed as a bar to or waiver of any right on any other occasion.

## **11. Notices**

Notices as required by this Agreement shall be sent to the Parties at the addresses mentioned first herein above or such other addresses as the Parties may designate from time to time, and shall be sent by certified or registered mail with acknowledgement due on receipt.

## **12. Term**

This Agreement shall commence from the Effective Date of this Agreement and shall be valid for 2 years beyond contract period of 5 years. Confidentiality obligations under this Agreement shall continue to be binding and applicable without limit in point in time except and until such information enters the public domain, without breach of the agreement. Either Party may terminate this Agreement for breach, if the defaulting Party fails to rectify the breach within the one month notice period issued by the non-defaulting Party. Upon expiration or termination as contemplated herein the Receiving

Party shall immediately cease any and all disclosures or uses of Confidential Information; and at the request of Disclosing Party, the Receiving Party shall promptly return or destroy all written, graphic or other tangible forms of the Confidential Information and all copies, abstracts, extracts, samples, notes or modules thereof.

### 13. Governing Law

The provisions of this Agreement shall be governed by the laws of India and shall be subject to the exclusive jurisdiction of courts in Mumbai.

### 14. Indemnity

The Receiving Party agree to indemnify and hold harmless the Disclosures against all costs, liability, losses and claims incurred by the Disclosing Party as a result of a breach of this Agreement.

### 15. Modification

Modification to any of the provisions of this Agreement shall be void unless it is writing and duly executed by Parties.

### 16. Headings

The headings given herein above are for ease of reference only and shall not attach or have any effect/ meaning whatsoever contrary to what is stated in the agreement.

### 17. Counterparts

This Agreement has been signed in duplicate, each of which shall be deemed to be an original. The exchange of a fully executed Agreement (in counterparts or otherwise) by fax shall be sufficient to bind the parties to the terms and conditions of this Agreement.

IN WITNESS WHEREOF THE PARTIES HERETO HAVE CAUSED THIS AGREEMENT TO BE EXECUTED BY THEIR AUTHORIZED REPRESENTATIVES ON THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 2022

Signed and delivered by

M/s \_\_\_\_\_

Signed by:

Name .....

Title .....

in the presence of

.....

Signed and delivered by

Union Bank of India

Signed by:

Name .....

Title .....

in the presence of

.....

## 82. Annexure K - Reference Site Details

The reference sites submitted must be necessarily of those Banks/Companies where the proposed vendor/ OEM's product has been awarded the contract prior to Issuance of this RFP. For those references where the offered solution is accepted but Network Access Control is not started, the acceptance should be valid as on the last date for submission of bids at Union Bank of India.

Please provide reference details in the format defined below:

Particulars	Response
Name of the Institution	
Country of Operation	
Address of the Organization	
Date of commencement of implementation	
Date of Go-live/Commencement of project	
Date of completion of Project	
Scope of Work for Solution	
Number of concurrent users	
Name of the contact person for reference	
Contact details of contact person	
Modules used at Branches/Offices	
Project Details <ul style="list-style-type: none"> <li>a. Operating System</li> <li>b. Middleware</li> <li>c. Security features</li> <li>d. Maintenance &amp; support</li> </ul>	

(Enclose necessary documentary proof)

\*Provide Information in respect of at least 1 major customer who fulfills the qualification Criteria. References may be enclosed from the customer from the above reference.

Dated this..... Day of ..... 2022

(Signature)

(In the capacity of)

Duly authorized to sign bid with seal for & on behalf of (Name & Address of the Bidder)

### 83. Annexure L - Business Rules for Reverse Auction

#### RFP for Bank's "Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru"

##### Reverse Auction through E-Procurement

The detailed procedure for Reverse Auction to be followed in the "Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru" Project is given below:

The response to the present tender will be submitted by way of submitting the Technical offer & Indicative Commercial offers separately through online. The technical details with the relevant information /documents/acceptance of all terms and conditions strictly as described in this tender document will have to be submitted by the Bidders. The Indicative commercial bids submitted by the Bidders who are short listed in the technical bid evaluation process will be opened and those Bidders will be invited to participate in the online Reverse Auction to be conducted by the company selected by the Bank. Bidders who are short listed from Technical evaluation will be trained by the Reverse Auction Company for this purpose, and they will have to abide by the E-business rules framed by the Bank in consultation with Reverse Auction Service provider. The e-business rules are furnished hereunder in this document.

Further, please note that the Bidder(s) who do not qualify in the technical bid processes will not be considered for participation in Reverse Auction. For participating in reverse auction digital signature is a pre-requisite.

#### BUSINESS RULES FOR REVERSE AUCTION

##### 1. APPLICABILITY

- 1.1. Reverse Auctions are carried out under the framework of rules that are called Business Rules.
- 1.2. All bidders 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.
- 1.3. Any bidder not willing to submit such an undertaking shall be disqualified for further participation respecting the procurement in question.

##### 2. ELIGIBILITY:

- 2.1. Bidders need to submit RFP fee & Integrity Pact at the time of bid submission by authorized signatory on or before last date & time of submission of bid. In case bidder fails to submit RFP fee & Integrity Pact on or before last date & time of submission of bid, bid will be liable for rejection.
- 2.2 Only vendors who have submitted RFP fee & Integrity Pact and prescribed undertaking

to the Bank and who are technically qualified can participate in Reverse Auction relevant to the procurement for which RFP is floated.

3. COMPLIANCE/CONFIRMATION FROM BIDDERS:

3.1. The bidders 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:

3.1.1. Acceptance of Business Rules for Reverse Auction and undertaking as per format in Exhibit-A.

3.1.2. Agreement between service provider and bidder. (This format will be given by the service provider prior to announcement of Reverse Auction.)

3.1.3. Letter of authority authorizing the name/s of official/s to take part in Reverse Auction as per format in Exhibit-B.

3.1.4. Undertaking of Process Compliance Statement for RA as per Exhibit C

4. TRAINING

4.1. The Bank will facilitate training for participation in Reverse Auction either on its own or through the service provider for the Reverse Auction.

4.2. Where necessary, the Bank/service provider may also conduct a 'mock reverse auction' to familiarize the bidders with Reverse Auction process.

4.3. Any bidder/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)

5.1. TCO refers to the aggregate amount payable by the Bank for transfer of ownership.

5.2. TCO shall encompass but not be limited to the following:

5.2.1 Cost of the equipment/product or services.

5.2.2 License fee (Corporate or user specific as defined in RFP) including OS/Data Base/Application licenses).

5.2.3 All existing taxes excluding GST/CGST/SGST/IGST, duties and levies.

5.2.4 Installation and commissioning charges, if any.

5.2.5 The prices should include the comprehensive onsite warranty maintenance of the equipment covering all components, services, and visits to the concerned offices as specified in the RFP.

5.2.6 Annual Maintenance Charges for the period as specified in the RFP.

5.2.7 Transportation and Forwarding charges to respective sites.

5.2.8 Training costs for the product/service/equipment if and as defined in RFP.

5.2.9 Service Level Agreement (SLA) costs as defined in RFP for applicable period.

5.2.10 Facility Management/infrastructure support costs as defined in RFP.

5.2.11 Insurance to cover the equipment for and from transit period till installation.

5.3. The TCO shall be arrived at after deducting 'buy back' costs involved and if/as defined in the RFP.

5.4 TCO, however, shall not include variables of octroi and entry tax. These shall be paid as per actuals and on production of receipts. However, no penalties respecting octroi or entry tax shall be paid by the Bank and the vendor shall bear such expenses.

## 6. DATE/TIME FOR TRAINING

6.1. The Venue, Date, Time etc. for training in Reverse Auction shall be advised at the appropriate time.

6.2. The Bank shall Endeavour to fix such Date/Time at mutual convenience to the bidder/s, service provider and the Bank.

6.3. 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 bidder.

## 7. DATE/TIME OF REVERSE AUCTION

7.1. The Date and Time of commencement of Reverse Auction as also Duration of 'Reverse Auction Time' shall be communicated at least 3 working Days prior to such auction Date.

7.2. 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 bidders the 'postponement' prior to commencement of such 'Reverse Auction'.

## 8. CONDUCT OF REVERSE AUCTION

8.1. The Reverse Auction shall be conducted on a specific web portal meant for this purpose.



8.2. The Reverse Auction may be conducted by the Bank itself or through a service provider specifically identified/appointed/empaneled by the Bank.

## 9. SERVICE PROVIDER'S ROLE & RESPONSIBILITIES

9.1. 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.

9.2. For creating necessary obligations and rights, the service provider will also enter into an agreement with each bidder as per a format designed by him for this purpose. The Bank shall resolve any points/issues concerning such agreement of bidder and service provider.

9.3. 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 bidders for fair and transparent conduct of Reverse Auction.

9.4. 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.

9.5. The service provider shall also archive the data pertaining to the Reverse Auction for a minimum period of 3 years.

## 9.6. TRAINING AND AUCTION

9.6.1. Service provider / auctioneer are responsible for conduct of adequate training to all technically qualified bidders representing the reverse auction and bidding process.

9.6.2. Each bidder / bidder shall participate in the training at his / their own cost.

9.6.3. 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.

9.6.4. Authorized representatives of the bidders named in the authorization letter given by the bidder (Exhibit-B) shall be given unique user name, password by the service provider / auctioneer.

9.6.5. Each bidder shall change the password and edit the information in the registration page after receipt of initial password.

9.6.6. All the bids made from the login ID given to bidder shall ipso-facto be considered bid made by the bidder / bidder to whom login ID and password were assigned by the service provider / auctioneer.

9.6.7. Any bid once made through registered login ID / password by the bidder / 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.

9.6.8. Every successive bid by the bidder / bidder 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.

9.6.9. 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 bidders. In other words, there shall never be a “Tie” in bids.

## 10. PROXY BID

10.1. A proxy bid is one where bidder 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 the proxy bid amount is decremental reached by other bidders.

10.2. When proxy bid amount is reached, the bidder has an option to revise the proxy bid amount or he can prefer to start participating in bidding process.

10.3. Since it is an English auction with no ties, two bidders submitting identical proxy bid amount and succeeding in auction simultaneously does not arise.

10.4. During training, the issue of proxy bidding will be clarified in detail by the service provider.

## 11. TRANSPARENCY IN BIDS

11.1. 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.

## 12. MASKING OF NAMES

12.1. Names of bidders/ bidders shall be anonymously masked in the Reverse Auction process and bidders will be given suitable dummy names.

12.2. 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.

## 13. START PRICE

13.1. Bank shall determine the start price either on its own or through asking for information of price band on TCO from each bidder at appropriate time during or at the conclusion of technical evaluation. Based on the price band so informed by bidders, Bank would

determine the start price for reverse auction.

#### 14. DECREMENTAL BID VALUE

- 14.1. The bidders 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.
- 14.2. The bid decrement value shall be rounded off to the nearest thousands of rupees.
- 14.3. For the sake of convenience of bidders, the web portal shall display the next possible decremented value of bid. It is not, however, obligatory on the part of bidders 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 and should not exceed 2% of start bid price at a time)

#### 15. COPY OF BUSINESS RULES

- 15.1. The Bank shall supply copy of the Business rules to any bidders / bidders, wishing to participate in the reverse auction. Such request shall be made in writing to the Bank by an authorized representative of the bidder.
- 15.2. The Bank shall also handover a copy of the Business Rules with a covering letter duly signed by an authorized signatory of the Bank.
- 15.3. 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 bidding.

#### 16. SPLITTING OF ORDERS

- 16.1. 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.
- 16.2. While splitting the order, Bank shall specify the maximum quantum for L1, L2 etc. in RFP.
- 16.3. In case L2 bidder 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.
- 16.4. 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 honor the commitment, or for that matter not in a position to supply the offering as per RFP.

#### 17. REVERSE AUCTION PROCESS

- 17.1. 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.
- 17.2. The Bank shall however, be entitled to cancel the procurement of Reverse Auction, if in its view procurement or reverse auction process cannot be conducted in a fair manner and / or in the interest of the Bank.
- 17.3. The successful bidder shall be obliged to provide a Bill of Material at the last bid price at the close of auction.
18. EXPENDITURE ON REVERSE AUCTION
  - 18.1. All expenses of reverse auction shall be borne by the Bank.
  - 18.2. Bidders, however, shall attend the training or mock auction at their own cost.
19. CHANGES IN BUSINESS RULES
  - 19.1. 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.
  - 19.2. Any / all changes made in Business Rules shall be uploaded in the Website immediately.
  - 19.3. If any reverse auction process has commenced and a change is made in Business Rules, it shall be informed immediately to each bidder/ bidder and his concurrence to / acceptance of the change shall be obtained in writing by the Bank.
20. DON'TS APPLICABLE TO THE BIDDER/BIDDER
  - 20.1. No bidder 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 bidder / bidders concerned from the reverse auction process.
  - 20.2. 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.
  - 20.3. 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.)

## 21. GRIEVANCES REDRESSAL

- 21.1. Any aggrieved bidder / 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.
- 21.2. 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 / bidder and decide upon the complaint / grievance.
- 21.3. Decision of the Grievance Redressal Committee shall be binding on the Bank as well as on all bidders participating in the Reverse Auction.
- 21.4 Any aggrieved vendor / bidder through Reverse Auction process can make representation in writing within 48 hours of the Reverse Auction to the IEM (Independent External Monitor) of the Bank.

## 22. ERRORS AND OMISSIONS

- 22.1. 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.

Place:

Date:

Signature:

Name & Designation:

Business Address:

**84. Annexure L (A) - Compliance Statement - Reverse Auction**  
(To be submitted by all the bidders participating in Reverse Auction)

**Exhibit -A**

To,

Union Bank of India  
Department of Information Technology  
Powai, Mumbai

**DECLARATION**

- 1 We \_\_\_\_\_ (name of the company) hereby confirm having submitted our bid for participating in Bank's RFP dated \_\_\_\_\_ for procurement of \_\_\_\_\_.
- 2 We also confirm having read the terms of RFP as well as the Business Rules relating to the Reverse Auction for this RFP process.
- 3 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.
- 4 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.
- 5 We, hereby confirm that we will honor the Bids placed by us during the auction process, failing which EMD shall be forfeited / we shall be liable to be suspended from participation in any future tenders of the Bank for 2 years. We also understand that the bank may debar us from participating in future tenders.
- 6 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.
- 7 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

Name:

Company / Organization:

Designation within Company / Organization:

Address of Company / Organization:

Date:

Name of Authorized Representative: \_\_\_\_\_

Signature of Authorized Representative: \_\_\_\_\_

Verified above signature

Competent Authority Signature: \_\_\_\_\_

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

## 85. Annexure L (B) - Letter of Authority for Participation in Reverse Auction

### Exhibit -B

To,  
Union Bank of India  
Department of Information Technology  
Powai, Mumbai

- 1 We \_\_\_\_\_ (name of the company) have submitted our bid for participating in Bank's RFP dated \_\_\_\_\_ for procurement of \_\_\_\_\_.
- 2 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.
- 3 As per the terms of RFP and Business rules, we nominate Mr. \_\_\_\_\_, designated as \_\_\_\_\_ of our company to participate in the Reverse Auction.
- 4 We accordingly authorize Bank and / or the Auction Company to issue user ID and password to the above named official of the company.
- 5 Both Bank and the auction company shall contact the above named official for any and all matters relating to the Reverse Auction.
- 6 We, hereby confirm that we will honor the Bids placed by Mr. \_\_\_\_\_ on behalf of the company in the auction process, failing which EMD shall be forfeited/ we are liable to be suspended from participation in any future tenders of the Bank for 2 years. 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: \_\_\_\_\_

Signature of Authorized Representative: \_\_\_\_\_

Verified above signature

Signature of Competent Authority: \_\_\_\_\_

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



**86. Annexure L (C) - Undertaking of Process Compliance Statement for R A**

*(This letter should be on the letterhead of the bidder duly signed by an authorized signatory)*

**Exhibit -C**

**Place:**

**Date:**

To,

The General Manager,  
Union Bank of India,  
Technology Centre,  
1/1A, Adi Shankaracharya Marg, Opp. Powai Lake,  
Powai, Andheri (East),  
Mumbai-400072.

Sir,

**Subject:** Agreement to the process related Terms and Conditions for the online Reverse Auction for **Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru.**

This letter is to confirm that:

1. The undersigned is authorized representative of the company.
2. We have studied the Commercial Terms and the Business Rules governing the Reverse Auction as mentioned in the RFP and confirm our agreement to them.
3. We confirm that Union Bank of India and Auction Service Provider shall not be liable & responsible in any manner whatsoever for my/our failure to access & bid on the e-auction platform due to loss of internet connectivity, electricity failure, virus attack, problems with the PC, any other unforeseen circumstances etc before or during the auction event.
4. We also confirm that we have a valid digital signature certificate issued by a valid Certifying Authority.
5. We also confirm that we will mail the price confirmation & break up of our quoted price as per [Annexure G](#) within 48 hours of the completion of the reverse auction.
6. We, hereby confirm that we will honour the bids placed by us during the auction process.

Signature with company seal

Name -

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: \_\_\_\_\_

## 87. Annexure M - Pre-Contract Integrity Pact

Tender Ref. No. UBI/DIT/2022-23/15

### INTEGRITY PACT

Whereas Union Bank of India having its registered office at Union Bank Bhavan, 239, Vidhan Bhavan Marg, Nariman Point, Mumbai, India - 400 021 acting through its ..... Department, represented by General Manager / Dy. General Manager hereinafter referred to as the Buyer and the first party, proposes to procure (Name or category of the Equipment, services, etc.) hereinafter referred to as Stores and / or Services.

And

M/s\_\_\_\_\_ represented by\_\_\_\_\_ Chief Executive Officer, (which term, unless expressly indicated by the contract, shall be deemed to include its successors and its assignee), hereinafter referred to as the bidder/seller and the second party, is willing to offer/has offered the Stores and / or Services.

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

### 3. Preamble

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

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

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

4. 1 The Buyer commits itself to take all measures necessary to prevent corruption and fraudulent practices and to observe the following principles: -

- (i) No employee of the Buyer, personally or through family members, will in connection with the tender, or the execution of a contract demand, take a promise for or accept, for self or third person, any material or immaterial benefit which the person is not legally entitled to.
- (ii) The Buyer will during the tender process treat all Bidder(s) /Seller(s) with equity and reason. The Buyer will in particular, before and during the tender process, provide to all Bidder (s) /Seller(s) the same information and will not provide to any Bidders(s) /Seller(s) confidential /additional information through which the Bidder(s) / Seller(s) could obtain an advantage in relation to the process or the contract execution.
- (iii) The Buyer will exclude from the process all known prejudiced persons.

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

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

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

- (i) The Bidder(s) /Seller(s) will not directly or through any other persons or firm, offer promise or give to any of the Buyer's employees involved in the tender process or the execution of the contract or to any third person any material or other benefit which he / she is not legally entitled to, in order to obtain in exchange any advantage during the tendering or qualification process or during the execution of the contract.
- (ii) The Bidder(s) /Seller(s) will not enter with other Bidders / Sellers into any undisclosed agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelization in the bidding process.

- (iii) The bidder(s) /Seller(s) will not commit any offence under the Indian legislation, Prevention of Corruption Act, 1988 as amended from time to time. Further, the Bidder(s) /Seller(s) will not use improperly, for purposes of competition or personal gain, or pass on to others, any information or document provided by the Buyer as part of the business relationship, regarding plans, technical proposals and business details, including information constrained or transmitted electronically.
- (iv) The Bidder(s) /Seller(s) shall ensure compliance of the provisions of this Integrity Pact by its sub-supplier(s) / sub-contractor(s), if any, Further, the Bidder /Seller shall be held responsible for any violation/breach of the provisions by its sub-supplier(s) /Sub-contractor(s).

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

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

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

The Bidder /Seller confirms and declares to the Buyer that the bidder/Seller is the original manufacturer/authorized distributor / stockiest of original manufacturer or Govt. Sponsored /Designated Export Agencies (applicable in case of countries where domestic laws do not permit direct export by OEMS of the stores and /or Services referred to in this tender / Offer / contract / Purchase Order and has not engaged any individual or firm, whether Indian or Foreign whatsoever, to intercede, facilitate or in any way to recommend to Buyer or any of its functionaries, whether officially or unofficially, to the award of the tender / contract / Purchase order to the Seller/Bidder; nor has any amount been paid, promised or intended to be paid to any such individual or firm in respect of any such intercession, facilitation or recommendation. The Seller / Bidder agrees that if it is established at any time to the satisfaction of the Buyer that the present declaration is in anyway incorrect or if at a later stage it is discovered by the Buyer that the Seller incorrect or if at a later stage it is discovered by the Buyer that the Seller/Bidder has engaged any such individual /firm, and paid or intended to pay any amount, gift, reward, fees, commission or consideration to such person, party, firm or institution, whether before or after the signing of this contract /Purchase order, the Seller /Bidder will be liable to refund that amount to the Buyer. The Seller will also be debarred from participating in any RFP / Tender for new projects / program with Buyer for a minimum period of five

years. The Buyer will also have a right to consider cancellation of the Contract / Purchase order either wholly or in part, without any entitlement of compensation to the Seller /Bidder who shall in such event be liable to refund agents / agency commission payments to the buyer made by the Seller /Bidder along with interest at the rate of 2% per annum above LIBOR (London Inter Bank Offer Rate) (for foreign vendors) and Base Rate of SBI (State Bank of India) plus 2% (for Indian vendors). The Buyer will also have the right to recover any such amount from any contracts / Purchase order concluded earlier or later with Buyer.

## **6. Previous Transgression**

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

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

## **7. Company Code of Conduct**

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

## **8. Sanctions for Violation**

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

- (i) To disqualify the Bidder /Seller with the tender process and exclusion from future contracts.
- (ii) To debar the Bidder /Seller from entering into any bid from Buyer for a period of two years.
- (iii) To immediately cancel the contract, if already signed /awarded without any liability on the Buyer to compensate the Bidder /Seller for damages, if any.

Subject to Clause 5, any lawful payment due to the Bidder/Seller for supplies effected till date of termination would be made in normal course.

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

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

## **9. Compensation for Damages**

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

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

## **10. Price Fall Clause**

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

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

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

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



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

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

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

11.6 The report of enquiry, if any, made by the Independent External Monitors shall be submitted to MD & CEO, Union Bank of India, Union Bank Bhavan, VidhanBhavanMarg, Nariman Point, Mumbai -21 within 2 weeks, for a final and appropriate decision in the matter keeping in view the provision of this Integrity Pact.

## **12. Law and Place of Jurisdiction**

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

## **13. Other Legal Actions**

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

## **14. Integrity Pact Duration.**

14.1 This Integrity Pact begins when both parties have legally signed it. It expires for the successful Bidder / Seller 10 months after the last payment under the contract, and for all other Bidders / Sellers within 6 months form date of placement of order / finalization of contract.

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

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

## 15 Other Provisions

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

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

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

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

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

17. The Parties here by sign this Integrity Pact at \_\_\_\_\_ on \_\_\_\_\_  
(Seller/Bidder) and \_\_\_\_\_ on \_\_\_\_\_ (Buyer)

BUYER

Signature:

General Manager/Dy G M,  
Union Bank of India,  
.....Division

BIDDER \* /SELLER\*

Signature:

Authorized Signatory (\*)

Date:

Stamp:

Date:

Stamp:

Witness

1. \_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

Witness

1. \_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

(\*) - Authorized signatory of the company who has also signed and submitted the main bid.

(Bidder has to submit Undertaking on company letter head as per format given below).

1. We \_\_\_\_\_ (name of the company) hereby confirm that all the Resource (both on-site and off-site) deployed/to be deployed on Bank's project for \_\_\_\_\_  
(Name of the RFP) have undergone KYE (Know Your Employee) process and requisite checks have been performed prior to employment of said employees as per our policy.
2. We undertake and agree to save defend and keep harmless and indemnified the Bank against all loss, cost, damages, claim penalties expenses, legal liability because of non compliance of KYE and of misconduct of the employee deployed by us to the Bank.
3. We further agree to submit the required supporting documents (Process of screening, Background verification report, police verification report, credit history, character certificate, ID card copy, Educational document, etc.) to Bank before deploying officials in Bank premises for \_\_\_\_\_ (Name of the RFP)."

Signature of Competent Authority with company seal \_\_\_\_\_

Name of Competent Authority \_\_\_\_\_

Company / Organization \_\_\_\_\_

Designation within Company / Organization\_\_\_\_\_

Date \_\_\_\_\_

Name of Authorized Representative \_\_\_\_\_

Designation of Authorized Representative \_\_\_\_\_

Signature of Authorized Representative

Verified above signature

Signature of Competent Authority

Date \_\_\_\_\_



## 90. Annexure P - Undertaking of Information Security

*(This letter should be on the letterhead of the bidder as well as the OEM/ Manufacturer duly signed by an authorized signatory on Information security as per regulatory requirement)*

Place:

Date:

To,  
The General Manager,  
Union Bank of India,  
5<sup>th</sup> floor, Technology Centre,  
1/1A, Adi Shankaracharya Marg, Opp. Powai Lake,  
Powai, Andheri (East),  
Mumbai-400072.

Sir,

**Subject: Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru.**

We hereby undertake that the proposed solution / software to be supplied will be free of malware, free of any obvious bugs and free of any covert channels in the code (of the version of the application being delivered as well as any subsequent versions/modifications done)

Yours faithfully,

Authorized Signatory  
Name:  
Designation:  
Vendor's Corporate Name  
Address  
Email and Phone #

**91. Annexure Q - Undertaking of Authenticity for Computer Hardware**  
Ref. No. UBI/DIT/2022-23/15

Date:

***Union Bank of India,***

**Department of Information Technology,  
1/1A, Adi Shankaracharya Marg, JVLR,  
Opp. Powai Lake Powai, Andheri East,  
Mumbai 400072.**

Sub: Supply of Computer Hardware

Dear Sirs,

With reference to the Computer Hardware being supplied / quoted to you vide our invoice no. / quotation no. / order no. cited above-----

We hereby undertake that all the components/parts/assembly/software used in the Computer Hardware under the above like hard disk, Monitor, Memory etc. shall be original new components / parts / assembly / software only, from respective OEMs of the products and that no refurbished / duplicate / second hand components / Parts / Assembly / Software are being used or shall be used.

We also undertake that in respect of licensed operating system if asked for by you in the purchase order, the same shall be supplied along with the authorized license certificate (e.g. Product Keys on Certification of Authenticity in case of Microsoft Windows Operating System) and also that it shall be sourced from the authorized source (e.g. Authorized Microsoft Channel in case of Microsoft Operating System).

Should you require, we hereby undertake to produce the certificate from our OEM supplier in support of above undertaking at the time of delivery / installation. It will be our responsibility to produce such letters from our OEM Supplier's at the time of delivery or within a reasonable time.

In case of default and we are unable to comply with above at the time of delivery or during installation for IT Hardware / Software already billed, we agree to take back the Computer Hardware without demur, if already supplied and return the money if any paid to us by you in this regard.

(system OEM name) also take full responsibility of both Parts & Service SLA as per the content even if there is any defect by our authorized Service Centre / Reseller / SI etc.

Authorized Signatory

Name:

Designation:

## 92. Annexure R - Certificate of Local Content

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

Date:

To,  
The General Manager,  
Union Bank of India,  
5<sup>th</sup> floor, Technology Centre,  
1/1A, Adi Shankaracharya Marg, Opp. Powai Lake,  
Powai, Andheri (East),  
Mumbai-400072.

Dear Sir,

Ref.: RFP No.: UBI/DIT/2022-23/15 Dated: \_\_\_\_\_

1. This is to certify that proposed \_\_\_\_\_ <product details> is having the local content of \_\_\_\_\_ % as defined in the above-mentioned RFP.
2. This certificate is submitted in reference to the Public Procurement (Preference to Make in India), Order 2017 - Revision vide Order No. P-45021/2/2017-PP (BE-II) dated June 04, 2020.

Signature of Statutory Auditor/  
Cost Auditor  
Registration Number:  
Seal

Counter-signed:

Bidder

OEM



### 93. Annexure S - Certificate of Waiver for MSE Firms

(in Letter head of Chartered Accountant)

Ref. No. UBI/DIT/2022-23/15

Date:

#### TO WHOMSOEVER IT MAY CONCERN

This is to certify that M/s. \_\_\_\_\_, having registered office at \_\_\_\_\_ has made an investment of Rs. \_\_\_\_\_/- in \_\_\_\_\_, as per Audited Balance Sheet as on 31.03.2021. Further we certify that the Company is classified under Micro and Small Enterprise (MSE) as per MSME Act 2006 and subsequent government notifications.

We have checked the books of the accounts of the company and certify that the above information is true and correct.

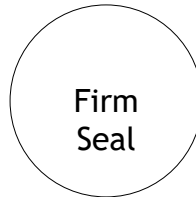
Chartered Accountant Firm Name

Signature

Name

Reg.No

VID No.







- 2) This Bank guarantee will be valid up to \_\_\_\_\_; with a claim period of 45 days thereafter 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 \_\_\_\_\_.

Signature .....

Name .....

(In Block letters)

Designation .....

(Staff Code No.) .....

Official address:

(Bank's Common Seal)

Attorney as per power of Attorney No.

Date:

WITNESS:

1..... (Signature with Name, Designation & Address)

2..... (Signature with Name, Designation & Address)

**96. Annexure V - Bid Query Format**

Bidders have to provide their queries on eligibility criteria, scope of work, terms & conditions etc. in excel format as mentioned below. Bidders are requested to categorize their queries under appropriate headings. Bidders are requested to provide a reference of the page number, state the clarification point and the queries/suggestion/deviation that they propose as shown below (all the queries will be entertained in this Microsoft Excel format by e-mail):

Queries will not be accepted in any other format other than Microsoft Excel.

Sl. No.	Clause no.	Page no.	Clause	Query	Bank Response

Place:

Date:

Signature:

Name & Designation:

Business Address:

## 97. Annexure X - Format for Performance Bank Guarantee (Covering Delivery obligations)

Ref. No. UBI/DIT/2022-23/15

## NOTE:

1. This guarantee should be furnished by a Nationalized Bank / Scheduled Bank, other than Union Bank of India, as per the following format.
2. This bank guarantee should be furnished on stamp paper value as per Stamp Act. (not less than Rs.500/-).
3. The stamp paper should be purchased either in the Name of the Bank executing the Guarantee or in the name of Union Bank of India.
4. This Bank Guarantee should be furnished within 30 days from the date of purchase order or the delivery period prescribed in the purchase order whichever is earlier.
5. This Bank Guarantee should be directly sent to the Purchaser by the Issuing Bank under Registered Post with Acknowledge Due.

To  
Union Bank of India,  
5th floor, Technology Centre, Union Bank of India,  
Adi Shankaracharya Marg, Opp. Powai Lake,  
Powai, Andheri (East),  
Mumbai-400072.

Dear Sir,

In consideration of Union Bank of India, 5th floor, Technology Centre, Adi Shankaracharya Marg, Opp. Powai Lake, Powai, Andheri (East), Mumbai-400072, placing an order for **Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru** on \_\_\_\_\_ having registered office at \_\_\_\_\_ (hereinafter called the vendor) as per the purchase contract entered into by the vendor vide purchase contract no \_\_\_\_\_ dated \_\_\_\_\_ (hereinafter called the said contract), we \_\_\_\_\_ (Name of the Guarantor Bank), a 'schedule bank', issuing this guarantee through its branch at \_\_\_\_\_ presently located at \_\_\_\_\_ (hereinafter called the bank), do hereby irrevocably and unconditionally guarantee the due performance of the vendor as to the ) for **Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru** as per the said contract entered into by the vendor with you.

If the said vendor fails to implement or maintain the system or any part thereof as per the contract and on or before the schedule dates mentioned therein, we \_\_\_\_\_ (Name of the Guarantor Bank), do hereby unconditionally and irrevocably agree to pay the amounts due and payable under this guarantee without any demur and merely on demand in writing from you during the currency stating that the amount claimed is due by way of failure on the

part of the vendor or loss or damage caused to or suffered / or would be caused to or suffered by you by reason of any breach by the said vendor of any of the terms and conditions of the said contract, in part or in full. Any such demand made on us shall be conclusive as regards the amount due and payable under this guarantee.

We \_\_\_\_\_( Name of the Guarantor Bank), further agree that this guarantee shall continue to be valid will you unless you certify that the vendor has fully performed all the terms and conditions of the said contract and accordingly discharge this guarantee, or until \_\_\_\_\_ , whichever is earlier. Unless a claim or demand is made on us in writing under this guarantee on or before \_\_\_\_\_, we shall be discharged from all our obligations under this guarantee. If you extend the schedule dates of performance under the said contract, as per the terms of the said contract, the vendor shall get the validity period of this guarantee extended suitably and we agree to extend the guarantee accordingly at the request of the vendor and at our discretion, provided such request is served on the bank on or before \_\_\_\_\_.

Failure on part of the vendor in this respect shall be treated as a breach committed by the vendor and accordingly the amount under this guarantee shall at once become payable on the date of receipt of demand made by you for payment during the validity of this guarantee or extension of the validity period.

You will have fullest liberty without affecting this guarantee to postpone for any time or from time to time any of your rights or powers against the vendor and either to enforce or forebear to enforce any or all of the terms and conditions of the said contract. We shall not be released from our liability under this guarantee by the exercise of your liberty with reference to matters aforesaid or by reason of any time being given to the vendor or any other forbearance act or omission on your part or any indulgence by you to the vendor or by any variation or modification of the said contract or any other act, matter or thing whatsoever which under the law relating to sureties would but for the provisions hereof have the effect of so releasing us from our liability hereunder.

In order to give full effect to the guarantee herein contained you shall be entitled to act as if we are your principal debtors in respect of all your claims against the vendor hereby guaranteed by us as aforesaid and we hereby expressly waive all our rights of surety ship and other rights if any which are in any way inconsistent with the above or any other provision of this guarantee.

The words the vendor, the beneficiary of this guarantees i.e. Yourself, and ourselves i.e. \_\_\_\_\_( Name of the Guarantor Bank), unless repugnant to the context or otherwise shall include their assigns, successors, agents, legal representatives. This guarantee shall not be effected by any change in the constitution of any of these parties and will ensure for and be available to and enforceable by any absorbing or amalgamating or



reconstituted company or concern, in the event of your undergoing any such absorption, amalgamation or reconstitution.

This guarantee shall not be revocable during its currency except with your prior consent in writing. This guarantee is non-assignable and non-transferrable.

Notwithstanding anything contained herein above:

- I) Our liability under this bank guarantee shall not exceed 3% of the TCO.
- II) This bank guarantee shall be valid up to \_\_\_\_\_.
- III) We are liable to pay the guaranteed amount or any part thereof under this bank guarantee only if you serve upon us a written claim or demand (and which should be received by us), on or before \_\_\_\_\_ 12:00 hours (Indian standard time) where after it ceases to be in effect in all respects whether or not the original bank guarantee is returned to us.

This guarantee deed must be returned to us upon expiration of the period of guarantee.

Signature .....

Name .....

(In Block letters)

Designation .....

(Staff Code No.).....

Official address:

(Bank's Common Seal)

Attorney as per power of Attorney No.

Date:

WITNESS:

1..... (Signature with Name, Designation & Address)

2..... (Signature with Name, Designation & Address)

(To be submitted by the unsuccessful bidders)

**Ref. No. UBI/DIT/2022-23/15**

Date:

The General Manager,  
Union Bank of India,  
Technology Centre,  
1/1A, Adi Shankaracharya Marg, Opp. Powai Lake,  
Powai, Andheri (East),  
Mumbai-400072.

We \_\_\_\_\_ (Company Name) had participated in the **Request for Proposal (RFP) for Four Sets of Firewalls at DC, Mumbai & DR Site, Bengaluru** and we are an unsuccessful bidder.

Kindly refund the EMD submitted for participation. Details of EMD submitted are as follows

Sr. No.	Bidder Name	BG/DD Number	Drawn on (Bank Name)	Amount (Rs)

Bank details to which the money needs to be credited via NEFT are as follows

1. Name of the Bank with Branch
2. Account Type
3. Account Title
4. Account Number
5. IFSC Code

## Sign

Name of the signatory

### Designation

Company Seal.