



UCO Bank

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**Request for Proposal (RFP)
for
Supply, Installation & Implementation of Anti Money
Laundering System for UCO BANK**

Amendments to the RFP dated 16/10/2008

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AMENDMENTS

In terms of Section 2 clause 7 of the Request for Proposal (RFP) for Supply, Installation & Implementation of Anti Money Laundering System for UCO BANK dated 16/10/2008, the Bank has decided to make the following amendments to the RFP:

Amendment 1: Section 3 Clause 10 (page 9) is amended as:

10. Deadline for Submission of Bids

a) Last date for Submission

The bids must be received by UCO BANK, at the address specified, not later than **21-11-2008, 3.00 PM**. In the event of the specified date for the submission of bids being declared a holiday for UCO BANK, the bids will be received up to the appointed time on the next working day.

Amendment 2: Section 4 clause 12 (page 23) is amended as:

12. Payment Terms

| | | |
|----|--|---|
| 1. | Performance Guarantee Amount | 10% of the contract value |
| 2. | Required period of validity of the performance guarantee | Till completion of the warranty period (One year from the date of acceptance certificate) |
| 3. | Period within which the purchaser will return the performance guarantee | 90 days after the completion of the warranty period |
| 4. | Period within which Service(s) under the Contract are to be completed / commissioned from the date of signing of the | 3 Months |

| | | |
|----|---------------|---|
| 5. | Payment terms | <p>a) 40% of the total contract value on completion of User Acceptance Test and Pilot implementation.</p> <p>b) 50% on successful completion of implementation, acceptance and sign-off from the Bank.</p> <p>c) 10% on completion of 3 months after successful implementation.</p> |
|----|---------------|---|

Amendment 3: Section 6 clause 2 (page 30) is amended as:

2. Software

- a) The system should have features like multi-tasking, multi – user support, timesharing, dynamic memory management, I/O spooling, multi-level security, system logging, error analysis and recovery. Other features like hardware diagnostic tools, system performance management and tuning; accounting routines and system monitoring software must be available.
- b) It should support RDBMS package ORACLE 10G.
- c) The AML SYSTEM shall have a Graphical User Interface.
- d) The AML SYSTEM shall have a reporting tool and shall allow users to generate reports.
- e) The AML SYSTEM shall provide for transaction storage.
- f) The AML SYSTEM shall provide reporting tools with various combinations. The system shall provide for the parameters and / or combination of parameters to be supported by the reporting tools. It shall be possible to dynamically generate queries and use report writing tools to generate reports dynamically as part of the AML SYSTEM.
- g) The AML SYSTEM shall provide for encryption both for data transfer and provide options for encryption based data storage (or any other manner to ensure that data stored cannot be subject to alteration at a later point of time and legally recognized as per the laws of the country).

Amendment 4: Section 7 clause 1 (b) & clause 2 (page 30-31) is amended as:

b) Hardware and Database Architecture

- I. Currently, a Centralized Banking System has been deployed in UCO BANK, to handle its Core Banking functionality. UCO BANK would like to continue with this broadly centralized architecture.
- II. The main server and the central database will be located at the

System hub (central site).
(Points III, IV & V are dropped)

2. Hardware & Software Requirements

- a) Hardware & software Requirements for the AML SYSTEM must be capable of processing 5 to 10 lacs transactions per day in a batch and deliver the reports within 1 hour.
- b) System must be scalable to handle more volumes.

(Points (c) is dropped)

The Vendor should give details of the minimum configuration of various Hardware components like Servers, Storage, etc and any other Software like Databases, Application servers and third party software's require to make the AML application functional & operational for the above specified volumes. ~~(If the Application is portable on multiple platforms like Intel or RISC Based servers then specify the minimum configuration for each of the platform.)~~

~~These lines are deleted.~~

CLARIFICATIONS

Based on the Pre-Bid meeting held on 05-11-2008 with prospective vendors who chose to attend the meeting, the Bank decided to give the following clarification to all:

1. There will be no DR environment required by the bank.
2. The Test environment will be as follows:
Hard Disk – 144 GB
2 CPU
3. The number of users for both production environment and Test environment will be 25.
4. Rack is required for hardware which will be with sliding TFT monitor & KVM switch.
5. Online interface with Finacle is not required.
6. Size of storage box: 3TB available space (15000 rpm FC-4 Fibre Channel) (with RAID 5 Configuration)

BASIS OF SCORING

The scoring method is given on page 14 of the original RFP. There are 3 parameters on which marks will be given:

1. Functional Requirement
2. Company's Profile
3. Past Experience

The basis of scoring for FUNCTIONAL REQUIREMENT is given in the original RFP (page14). The basis of scoring for Company's Profile & Past Experience is given as annexure.

To qualify the vendor must secure 50% marks overall with atleast 75% in FUNCTIONAL REQUIREMENT. In case a vendor secures 50% marks overall but fails to secure 75% in FUNCTIONAL REQUIREMENT, it will not be considered as qualified.

ENCLOSED: Annexure (2 pages)

Annexure to Amendments to the Request for Proposal (RFP) for Supply, Installation & Implementation of Anti Money Laundering System for UCO BANK

| Basis of scoring | | | | | | | | | | | | | |
|------------------|---|---|-----------------|---|-----------------|----------------------------------|-----------------|---------------------------------|-----------------|-----------------------|-----------------|--------------------|-----------------|
| SI No. | Parameter | Criterion | Marks out of 10 | Criterion | Marks out of 10 | Criterion | Marks out of 10 | Criterion | Marks out of 10 | Criterion | Marks out of 10 | Criterion | Marks out of 10 |
| 1 | COMPANY'S PROFILE | | | | | | | | | | | | |
| 1.1 | Date of Commencement of business | More than 20 years ago | 10.0 | Above 10 years up to 20 years ago | 8 | Above 5 years up to 10 years ago | 6.0 | Above 3 years up to 5 years ago | 4.0 | Less than 3 years ago | 2.0 | | |
| 1.2 | Main Activity | Proposed Service is their core activity | 10.0 | Proposed Service is one of their activities | 5.0 | - | - | - | - | - | - | | |
| 1.3 | Constitution | Public limited company | 10.0 | private limited company | 8.0 | partnership | 4.0 | Proprietorship | 2.0 | - | - | | |
| 1.4 | FINANCIAL POSITION Over the last Three years:- | | | | | | | | | | | | |
| 1.4.1 | Paid Up Capital | Above 50 Crores | 10.0 | Above 25 Crores up to 50 Crores | 8.0 | Above 10 Crores up to 25 Crores | 6.0 | Above 1 Crores up to 10 Crores | 4.0 | Less than 1 Crore | 2.0 | | |
| 1.4.2 | TNW | Above 60 Crores | 10.0 | Above 30 Crores up to 60 Crores | 8.0 | Above 10 Crores up to 30 Crores | 6.0 | Above 1 Crore up to 10 Crores | 4.0 | Less than 1 Crore | 2.0 | Negative Net Worth | 0.0 |
| 1.4.3 | TOL/TNW | Less than 0.50 | 10.0 | More than 0.50 up to 0.75 | 8.0 | More than 0.75 up to 1.00 | 6.0 | More than 1.00 up to 1.50 | 4.0 | More than 1.50 | 2.0 | | |

| | | | | | | | | | | | | | |
|-------|---------------------------------------|-------------------|------|-----------------------------------|-----|--------------------------------|-----|-------------------------------|-----|-------------------|-----|---------------------------|-----|
| 1.4.5 | Net Sales/Revenue | 1.00 | 10.0 | More than 0.95 but less than 1.00 | 8.0 | More than 0.90 up to 0.95 | 6.0 | More than 0.85 up to 0.90 | 4.0 | Less than 0.85 | 2.0 | | |
| 1.4.6 | Gross Profit | Above 20 Crores | 10.0 | Above 10 Crores up to 20 Crores | 8.0 | Above 5 Crores up to 10 Crores | 6.0 | Above 1 Crores up to 5 Crores | 4.0 | Less than 1 Crore | 2.0 | Negative Operating Profit | 0.0 |
| 1.4.7 | Net Profit (PAT) | Above 15 Crores | 10.0 | Above 10 Crores up to 15 Crores | 8.0 | Above 5 Crores up to 10 Crores | 6.0 | Above 1 Crores up to 5 Crores | 4.0 | Less than 1 Crore | 2.0 | Net Loss | 0.0 |
| 1.4.8 | Growth in Sales | >25% | 10.0 | 20-25% | 8.0 | 15-20% | 6.0 | 10-15% | 4.0 | <10% | 2.0 | | |
| 1.4.9 | Growth in profitability | >15% | 10.0 | 10-15% | 8.0 | 5-10% | 6.0 | 3-5% | 4.0 | <3% | 2.0 | | |
| 2 | PAST EXPERIENCE | | | | | | | | | | | | |
| 2.1 | Implemented in PSU Banks in India | More than 4 PSBs | 10.0 | 4 PSBs | 8.0 | 3 PSB | 6.0 | 2 PSB | 4.0 | 1 PSB | 2.0 | No PSB | 0 |
| 2.2 | Implemented in Non-PSU Banks in India | More than 4 banks | 10.0 | 4 banks | 8.0 | 3 banks | 6.0 | 2 banks | 4.0 | 1 bank | 2.0 | No bank | 0 |
| 2.3 | Persons earmarked for this project | More than 10 | 10.0 | 8 – 10 | 8.0 | 6-8 | 6.0 | 4-6 | 4.0 | 2-4 | 2.0 | 1-2 | 0 |