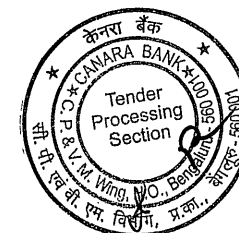


to the prebid queries to GeM Bid ref. no GEM/2024/B/5462389 dated 01/10/2024 for Selection of vendor for Procurement of comprehensive compliance application for automation and streamlining of internal compliance monitoring function in Canara Bank

SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
1	Pg 13	Section B	8. Scope of Work	Clause 8.3 During the course of the project, there might be related areas which Bank would like the selected Bidder to undertake which may not have envisaged earlier	We request the Bank to clarify if additional expectations indicated during the contract period can be addressed via the per man-day customization route basis details submitted by the successful bidder in Table G of the Bill of Material? Keeping this clause open without clarity on the pricing for the same leaves room for confusion on commercial pricing.	Yes, as per man days basis. The price quoted by the bidder for man days is fixed for entire contract period and number of man days mentioned is indicative only. However, the no. of man-days may vary from time to time in total
2	Pg 13	Section B	8. Scope of Work >Project Completion & Management	8.4.1. For smooth completion of project, the selected bidder should identify one or two of its representatives at Bengaluru as a single point of contact for the Bank.	We request the Bank to kindly consider Hybrid Mode for implementation of the Project. The installation of software and troubleshooting can happen in virtual mode. However, all aspects pertaining to SRS Finalization, Training shall be carried out in person. This will enable us the bidder to control costs; thereby benefitting the Bank. Additionally, for smaller organizations who are registered as MSME and have a proven track record of more than 2 decades in delivering & implementing enterprise-wide compliance automation; this point may be a huge deterrent. <del>MSMEs usually operate out of single</del> location pan-India. Such restrictive clauses make it difficult for MSMEs to bid fairly.	Bidder to comply with RFP terms and Conditions

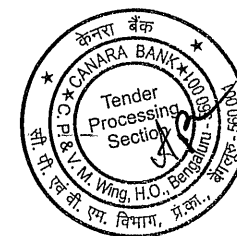


SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
3	Pg 15	Section C	Clause 1 - Project Timelines	<p>Internal</p> <p>Sub- Clause 1.3</p> <p>Migration from the existing packages to the new solution... Within 10 Weeks</p>	<p>Request the Bank to elaborate on the following,</p> <ol style="list-style-type: none"> <li>1. The number and purpose of each of the existing packages in use at Canara Bank.</li> <li>2. With regards to the migration, can the Bank explain the scope of migration to enable the bidder to account the same with respect to commercials. There is no migration scope currently outlined.</li> </ol>	<p>There are six packages developed in house namely:</p> <ol style="list-style-type: none"> <li>1.-RGTS-(Regulatory guidelines Tracking system) - used for disseminating the guidelines &amp; MAP to respective Wings. The compliance to the guidelines is also obtained through the package</li> <li>2. Compliance Risk Register (CRR) - Used for calculating compliance risk of the bank and at different Wings. Bank is using its own methodology for calculating the Compliance Risk. residual and inherent risk of the Wings etc.</li> <li>3. ASCi - In this module the individual individual compliance is submitted by the employees. It also helps in submission of Compliance Certificate from all Offices viz., branches/ROs/COs/ Head Office.</li> <li>4. AsTRA - The package is used to submission of Tranche I data, documentation from respective user wings within the stipulated timeline.</li> <li>5. Penalty Module - Record the penalty levied on the bank for the various regulator on non compliance, and also record the status of recovery.</li> <li>6. Regulatory returns - Presently as per the regulatory requirement bank is submitting regulatory returns to the regulators within the stipulated Timeline.</li> </ol> <p>The data available in all the above mentioned is around 200-250 GB.</p>



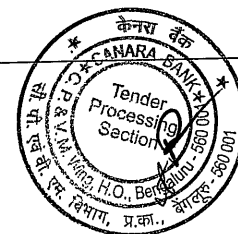
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
4	Pg 15	Section C	Clause 2 Integration & Interfaces	Sub-clause 2.1 The selected bidder has to work with different application vendors in order to integrate new solution to the existing workload or new workloads during contract period	Request the Bank to please clarify on what applications along with all technical details and diagrams which will be needed to integrate with our offering. This will enable the bidder to understand the scope and time & effort required for integration purposes. Commercial consideration is vague without the scope being elaborated.	1. RGTS (Regulatory guidelines Tracking system) - used for disseminating the guidelines & MAP to respective Wings. The compliance to the guidelines is also obtained through the package 2. Compliance Risk Register (CRR) - Used for calculating compliance risk of the bank and at different Wings. Bank is using its own methodology for calculating the Compliance Risk. residual and inherent risk of the Wings etc. 3. ASCI - In this module the individual individual compliance is submitted by the employees. It also helps in submission of Compliance Certificate from all Offices viz., branches/ROs/COs/ Head Office. 4. AsTRA - The package is used to submission of Tranche I data, documentation from respective user wings within the stipulated timeline. 5. Penalty Module - Record the penalty levied on the bank for the various regulator on non compliance, and also record the status of recovery. 6. Regulatory returns - Presently as per the regulatory requirement bank is submitting regulatory returns to the regulators within the stipulated Timeline. The data available in all the above mentioned is around 200-250 GB.
						Further with regard to technical details, Details will be shared with successful bidder
5	Pg 16	Section C	Clause 3	Security	Request the Bank to please provide Banks InfoSec Policy & describe its security posture for better understanding of all the bidders. This will enable the bidder to understand the scope and time & effort required for integration purposes. Commercial consideration is vague without the scope being elaborated.	Details will be shared with successful bidder



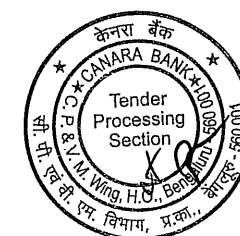
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
6	Pg 21	Section C	Clause 7	ESCROW	<p>Kindly clarify the Bank's position on Escrow in cases where the proposed solution is a <u>proprietary software with all IPR owned by the generic software creator</u> / provider and not a customized solution specifically for Canara Bank.</p> <p>Does the Bank intend to ignore generic software makers who may be able to provide the proposed solution as an off-the-shelf ready product at much lower costs, with very high-quality standards; however, for whom source code sharing may not be a legally, financially acceptable business model possibility?</p>	Bidder to comply with RFP terms and Conditions
7	Pg 23 and Pg 27	Section C	Clause 9 Warranty And Clause 18	<p>Sub-clause 9.2</p> <p>The selected Bidder has to provide comprehensive on-site warranty of One (1) year for supplied solutions and tools including Software, OS, Licenses, etc.</p> <p>Sub-clause 9.5</p> <p>Warranty service may be provided by a third party, provided such third party is authorized to perform warranty service by the selected bidder or, if the selected bidder is not the Manufacturer, by the Manufacturer prior to the RFP closing date and time.</p> <p>Sub-clause 18.1</p> <p>Principle bidder only can participate and bidder should not sub-contract to any other company/firm/trust. In case subcontracting is warranted in interest of the project, the selected bidder should take consent of the Bank before undertaking any such agreement</p>	<p>Given that most Solution Providers may not have the inherent expertise on OS and Middleware Licenses, and Bank would have already empanelled vendor / OEM partners who can supply and maintain these licenses at reasonable costs, we request the Bank to make provisions to procure these such that the concerned solutions providers need not hastily arrange for the same.</p> <p>This shall enable a specialist approach to prevail ensuring best offering by partners who have the desired expertise in the best interest of the Bank.</p> <p>Expecting the bidders to arrange for such licensing through new/unknown partners poses a significant risk to the Bank and the bidder, who may not have a business model in place to provide anything apart from own software solutions and support for the same.</p> <p>We request the Bank to exclude OS and Middleware Licenses from the scope of this RFP.</p>	Bidder to comply with RFP terms and Conditions.



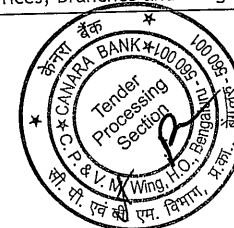
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
8	Pg 24	Section C	Clause 9 - Training	10.5 Trainer should be well experienced and must have industry certification	Request the Bank to kindly clarify what industry certification would be required.	Bidder to refer Corrigendum-1
9	Pg 25	Section C	Clause 11 - ATS	11.5. The Bank will pay ATS charges for solution (including software OS and license) after the end of warranty period. Such payment shall be released quarterly in arrears after satisfactory completion of service during the period and	Request the Bank to clarify on what kind of report will have to be provided.	Bidder to refer Corrigendum-1
10	Pg 31	Section D - Bid Process	Clause 5 Preparation of Bids	<u>Sub-clause 5.1.7</u> The Eligibility cum Technical Proposal should be complete in all respects and contain all information sought for. Masked Bill of Material must be attached in Technical Offer and should not contain any price information.	This query is with regards to upload of commercial break-up in GeM. The technical bid section of GeM expects the Bidder to include only the Masked Bill of Material which in our understanding is inclusive of the Bid Format with 'XX' in every cell. Further, the Commercial Bid Section / Offer Price in GeM only has one field for TCO without an option to upload any document. Please confirm if this understanding is accurate.	All the bidders should submit the masked Bill of Material along with the Technical Proposal. The unmasked Bill of material shall be uploaded in the GeM along with the Commercial proposal.  The L1 bidder should submit the final Bill of Material on conclusion of Reverse Auction
11	Pg 31	Section D - Bid Process	Clause 5 Preparation of Bids	<u>Sub-clause 5.2.2</u> Commercial Bid shall be submitted as per Bill of Material and other terms and conditions of RFP on prices. The Commercial Bid should give all relevant price information as per Annexure-15.	We request the Bank to confirm the relevant section where the Annexure 15 with the relevant price information (i.e. Unmasked Bid) is expected to be uploaded on GeM Portal. Alternatively, is the successful bidder expected to share the Bill of Material with relevant final price information post the Reverse Auction?	All the bidders should submit the masked Bill of Material along with the Technical Proposal. The unmasked Bill of material shall be uploaded in the GeM along with the Commercial proposal.  The L1 bidder should submit the final Bill of Material on conclusion of Reverse Auction
12	Pg 66,110	Annexure 2 and Annexure 9	10. Pre-Qualification Criteria and Technical & Functional Requirements	The proposed application must be WCAG 2.1 compliant	Given that these are recommended guidelines towards Web Content Accessibility and not a mandatory expectation from the Regulator / GoI, we urge the Bank to remove this clause as a pre-qualification criterion in the Bidding Process thereby leading to elimination of potential bidders having tremendous experience and capability in the arena of compliance automation, and to facilitate a fair bidding opportunity.	Bidder to refer Corrigendum-1



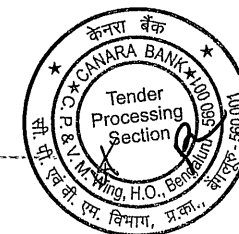
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
13	Pg 66	Annexure 2	14. Pre-Qualification Criteria	The bidder should have support office in Bengaluru and Mumbai for 24x7 supports.	Considering that the RFP specifies the requirement of on-site resource for extending technical support in Bengaluru for the duration of the contract, we request the Bank to kindly consider a support office in either Bengaluru OR Mumbai for 24x7 support in the pre-qualification criteria.	Bidder to refer Corrigendum-1
14		Annexure 7	Office Details	The bidder should have support office in Bengaluru and Mumbai for 24x7 supports.	Further, given that the software is non-business transaction and typically used by the bank during business hours, can the support be aligned to business hours rather than 24x7?  Request the bank to consider modifying the clause suitably.	Bidder to refer Corrigendum-1
15	68	Annexure - 3	Bidder's Profile	Point 5 Details of Proposed Email solution and Bulk mail Solution	Request the Bank to please clarify what is the expectation from the Bidder as response to this point.	Bidder to refer Corrigendum-1
16	74	Annexure - 8	Scope of Work	A. Broad Scope of Work Financial Intelligence Unit	Financial Intelligence Unit issues limited information in the public domain. Most communication is amongst Bank & the Regulator.  Considering the same, we request the Bank to please guide on the extent of coverage expected from the bidder for FIU towards creation of MAP and regularly updating the same.  Also, will the Bank provide this information since not all relevant/applicable content is in the public domain?	Bidder to comply with the RFP terms and condition.
17	74	Annexure - 8	Scope of Work	The proposed solution must be compliant to CISTE advisories with regard to framework, database, and other latest features as per CSITE. Solution should be compliant with Bank's	Request the Bank to kindly provide access to the relevant CSITE Advisories and Banks IT Policy.	Details will be shared with successful bidder
18	75	Annexure - 8	Scope of Work	Facilitating capturing individual employee compliance obligation certification submission and recording the score for which results shall be updated in Dashboard.	Request the Bank to please provide detailed expectation around this point of individual compliance obligations.	To digitise the submission of compliance certificate by the employees and to submit the individual level responses pertaining to respective area of work. A dashboard to be provided wherein the pendency for submission of individual responses will appear for Circle Offices, Regional Offices, Branches and Wings at Head Office.



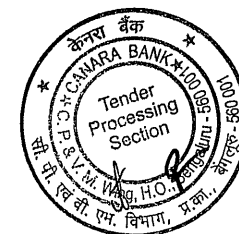
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19	Pg. 75	Annexure - 8	Scope of Work	The Comprehensive Compliance Application will be integrated with Bank's HR Applications and Active Directory. APIs pertaining to integration to be provided by successful bidder.	We understand that the successful bidder would be expected to provide <u>only the</u> consumption API for the data incoming from HRMS. Here, the source API would be provided by the partner who has extended the HRMS / Bank.	API exposed by bank applications to be consumed /integrated with successful bidder. API required by bank application to be developed or provided by the successful bidder for us to consume/Integrate.
20	Pg 110	Annexure 9	Technical and Functional Requirements	The Comprehensive Compliance Application will be integrated with Bank's HR Applications and Active Directory. APIs pertaining to integration to be provided by successful bidder.	Request the bank to kindly confirm if our understanding is correct.	API exposed by bank applications to be consumed /integrated with successful bidder. API required by bank application to be developed or provided by the successful bidder for us to consume/Integrate.
				Package should be scalable and meet the EASE 7.0 metrics. A. Integration of compliance data into a centralized management system for improved process efficiency. B. Implementation of real time monitoring and proactive risk management based on compliance data	We request the Bank to detail the expectations with regards to this point.	
21	75	Annexure - 8	Scope of Work	C. Floating of feedback form every quarter to incorporate internal and external stakeholder feedback D. Utilizing compliance insights to drive strategic decision making. E. Conducting comparison with industry best practices annually to ensure alignment with leading standards in its system management practices F. Adoption of advanced governance models, utilizing predictive analytics for compliance and regulatory trends	<del>The bidder can confirm to scalability of the application at this point.</del>  We request the Bank to clarify if these can be addressed via the per man-day customization route basis details submitted by the successful bidder in Table G of the Bill of Material.	This clause stands deleted. Bidder to refer Corrigendum-1



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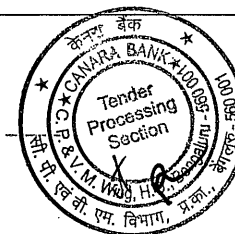
SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
22	75	Annexure - 8	Scope of Work	The package must be scalable to integrate with the in-house application of the bank and to the regulator.	<p>Request the Bank to elaborate on the following:-</p> <p>A. The number and purpose of each of the in-house packages in use at Canara Bank and the scope of integration expected from each of these in-house applications.</p> <p>B. Scalability to integrate to the regulator is highly dependent on the permissions being granted by the regulator. Given the vague scope and uncertain nature of integrations expected, we request the Bank to kindly consider this as part of customizations via the man-day charges route.</p>	<p>In house package, RGTS, CRR, ASCI, Regulatory returns, penalty module</p> <p>Package should be scalable to integrate with Bank's inhouse MIS so that data can be directly flow from the bank's internal MIS to the proposed package, without manual intervention.</p>
23	76	Annexure - 8	Scope of Work	<p>1.1. Monitorable Action Plan</p> <p>Develop a comprehensive repository of Regulatory Guidelines (all regulators including RBI, PFRDA, SEBI, IRDA, NPCI etc.) - Dissemination &amp; recording Compliance.</p>	<p>Please provide complete list of financial services regulators that the Bank would like to be covered so that costing and scope can be planned.</p>	<p>Following list is indicative:</p> <ol style="list-style-type: none"> <li>1. Reserve Bank of India</li> <li>2. Securities &amp; Exchange Board of India</li> <li>3. National Housing Bank</li> <li>4. Insurance Regulatory &amp; Development Authority</li> <li>5. Financial Intelligence Unit</li> <li>6. National Payment Corporation of India</li> <li>7. Ministry of Finance</li> <li>8. PFRDA</li> <li>9. NSDL</li> <li>10. IFSCA</li> <li>11. CGTMSÉ</li> <li>12. SIDBI</li> <li>13. CERSAI</li> <li>14. Statutory laws, including central govt laws and state govt laws.</li> </ol>





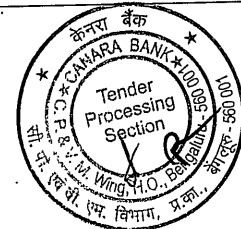
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24	76	Annexure - 8	Scope of Work	<p>1.1 Monitorable Action Plan</p> <ul style="list-style-type: none"> <li>Bifurcation/Segregation of each guideline into different compliance obligations/line action</li> <li>Bifurcation/Segregation of each guideline into Compliance Testing Points (Compliance Testing Points) - Assessment and Compliance Submission</li> </ul>	We request the Bank to kindly define the scope and expectation from the bidder with regards to providing Compliance Obligations and Compliance Testing Points.	<ul style="list-style-type: none"> <li>Consultancy Service towards creation of MAP and regularly updating it based on changes provided by the regulator.</li> <li>Creating a repository of the MAPs guideline wise which in turn will help in compliance testing to check the sustainability of the guideline and its implementation across the Offices.</li> </ul> <p>Bidder to refer Scope of work Annexure 8</p>
25	79	Annexure - 8	Scope of Work	<p>1.8 CSITE Communication</p> <p>1.8.2 Actionable:</p> <p>(i) Provision to link two different communications</p>	Request the Bank to please confirm if the Bank is seeking an option to link multiple CSITE Communications assigned to different Wings.	Bank is of the opinion that the option may be there wherein linkage to be provided to navigate the previous or succeeding CSITE advisories.
26	81	Annexure - 8	Scope of Work	<p>2. Compliance Risk Register</p> <p>2.2 Actionable</p> <p>The software shall have provisions for calculation of inherent risk and on the basis of control parameters given by the wing the system should calculate residual risks The wings shall be responsible for entering the control parameter for each actionable.</p>	<p>Has the Bank defined the Compliance Risk Assessment Methodology for the Bank with formulas to calculate the Inherent Risk, Residual Risk, Control Parameters, and Effectiveness.</p> <p><del>We assume that the Solution Provider is expected to only</del> configure - implement and automate the CRA Framework designed by the Bank and NOT extend Compliance Consultancy for designing the framework. Please confirm if our understanding is accurate.</p>	Bank is having its own methodology of calculating inherent risk, residual risk, compliance risk etc.
27	82	Annexure - 8	Scope of Work	<p>3. Compliance Testing Module</p> <p>The Theme Based Compliance Test Check observations will be considered for arriving at Compliance Performance Score of Departments and Controlling Offices</p>	Would there be any other parameter that would be considered to calculate the Compliance Performance Score of Departments and Controlling Offices? Request the Bank to clarify the same.	Package should be enabled to identify the areas wherein the major non compliances are reported or pending for compliance, which will help the bank to have a thematic study on the particular subject which in turn will help the bank to strengthen the system and procedures related to the areas of non compliance. This may vary from regulatory guidelines, ISE observation which includes, RAR, RMP, MANC.



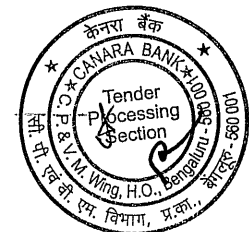
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28	85	Annexure - 8	Scope of Work	4. Individual Compliance Submission Module	<p>Since this was a requirement under EASE 4.0 and the Bank has already implemented this pan-India with the solution running robustly, several PSU-Banks are now focused on unit-level compliance obligations (as per RBI's requirements) and are only seeking an integration of the proposed unified compliance solution with their own internal individual compliance submission module for the purpose of dashboards.</p> <p>The replacement of this system warrants a significant enterprise-level overhaul for the end-users and very high demands on the server/databases thereby creating very high cost and training demands on the bidder, end-users, and the Compliance Team.</p> <p>Hence, we request the Bank to consider removal of this overhaul/replacement from the scope and merely use the proposed application to integrate with the existing individual compliance system.</p>	Bidder to comply with the RFP terms and condition.
29		Annexure - 8	Scope of Work	Point No. 5 (Regulatory Returns) & 10 (Calendar of returns module) both are related to Returns submissions only.	Request the Bank to please clarify if there is a difference in the expectations from these modules.	<p>Both modules are different</p> <p>5. Regulatory returns will be used to track the submission of various returns to be submitted to the regulator on timely manner, and will provide the dashboard to track the pendency of submission of regulatory returns.</p> <p>10. Calendar of returns module - The said module will be used to internal propose to track the status of work allotted to the individual in the Wings. It will also help to track the work required to be undertaken by the Department on different periodicities.</p>
30		Annexure - 8	Scope of Work	Point No. 7 (Risk Based Supervision Module) & 12 (RBS Tranche Submission Module) both are related to RBS submissions only.	Request the Bank to please clarify if there is a difference in the expectations from these modules.	<p>Both are different modules</p> <p>7. risk based supervisory module - related to Compliance submissions, recording timelines, recording compliance level and populating dashboards w.r.t supervisory inspection reports i.e. IRAR, MANC and RMP.</p> <p>12. RBS Tranche Submission Module - related to submission and Tracking of Tranche (I, II, III) data submission</p>

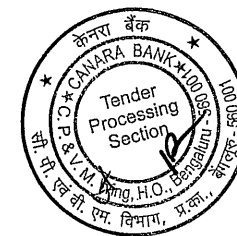


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31	103	Annexure 8	Scope of work for the Project	<ul style="list-style-type: none"> <li>Configuration management for operating system release levels, patches, and status. Monitor and respond to system alerts and events, Document and track all configuration management problems using the site change management process, apply preventive and corrective maintenance to all system level software (operating system and other non-application software), Install and upgrade all system level software (the operating system and other non-application software) in consultation with Banks. Hardening of servers, middleware, application and database as per bank's policy</li> <li>Bidder to perform development, testing, UAT, preparation of test cases, support, monitoring, certification, implementation, reporting, coordination with banks team/s, Audit compliance, VAPT(Vulnerability Assessment &amp; Penetration Testing) closure, any other statutory compliance, patch installation, fixes, analytics, logged complain for software/hardware issues, fraud risk/rule management &amp; monitoring, day to day MIS reports, conducting DR Drill, DC-DR Drill, database support including performance</li> </ul>	<p>Some of the activities enlisted herewith are generally undertaken by the IT Operations Management Team of the Bank.</p> <p>As per our understanding, the current requirement of bidder to handle these aspects might be in direct conflict with the bank's InfoSec &amp; IT Outsourcing posture. How does the bank intend to address this? Will the successful bidder be provided full database access with permissions and password management?</p>	Bidder to comply with RFP terms and condition.

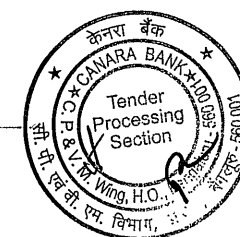


SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
32	107	Annexure-8(B)	Hardware / Software requirement for the proposed Comprehensive Compliance Application.	<p>Database Licenses (In case proposed database is Oracle then, Database cost to be indicated as Zero and Bank will provide the License)</p> <p>Any other Software/ Licenses like middleware etc. required to run the application (In case proposed middleware is Oracle Web logic Enterprise edition then cost to be indicated as Zero)</p>	<p>If our software uses MS SQL licensing, the bidding entity is required to provide official MS SQL licenses at their own cost as the same cannot be provided by vendor given that software providers rarely have re-seller arrangements with Microsoft / Oracle.</p> <p>Can the Bank make provisions to procure these such that the concerned solutions providers need not hastily arrange for database licensing thereby jeopardizing potential support to the bank in the future?</p> <p>Additionally, considering the scope of the Tender, especially for individual compliance management (spanning 80K users), cost for procurement &amp; management of the database is going to be substantial. This may turn out to be an undue advantage to the bidders with Oracle database. We request the Bank to even out the playing field for all bidders to avoid undue advantage to specific set of bidders. Alternatively, the Bank may consider removing the costs of OS, Database, Middleware, and ATS Support of these from the selection criteria and RA process.</p>	Bidder to comply with RFP terms and Condition.



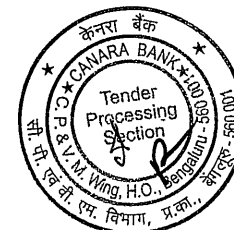
Replies to the prebid queries to GeM Bid ref. no GEM/2024/B/5462389 dated 01/10/2024 for Selection of vendor for Procurement of comprehensive compliance application for automation and streamlining of internal compliance monitoring function in Canara Bank

SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
33	112	Annexure 10	Technical Evaluation Criteria	Implementation experience of audit or Internal Compliance related Solution by the Bidder	<p>Given that the Bank is seeking solution partners to provide Comprehensive Compliance Management application and enabling streamlining of the Internal Compliance Monitoring Function, we humbly make a submission for the Bank to consider prior experience of Compliance Automation <u>only</u>. Compliance is a specialized function and formally in existence in Banks since 2007 and is expected to be at arm's length distance from Audit. Any correlation/comparison to Audit Department's functions and the automation of these is underwhelming to the scope of Compliance activities directly influenced by the Regulator. Experience of Audit may/ may not be in parity with the expectation of compliance automation.</p> <p>We request the Bank to kindly revise this clause accordingly.</p>	Bidder to comply with RFP terms and Condition.
					<p>Would a Work Completion Certificate / Go-Live Sign-off Certification authorized by the customer along with a copy of Invoice and Purchase Order suffice the requirement with regards to Documents to be submitted? Generally, non-RFP projects do not involve issuance of performance letter / reference letter and hence, most banks do not provide this unless required to.</p> <p>We request the Bank to kindly clarify if the alternative documents would be acceptable. Banks anyway reserve the right to directly verify credentials with the reference banks whose documents have been submitted.</p>	
34	112	Annexure 10	Technical Evaluation Criteria	Satisfactory performance letter/reference letter from the customer duly mentioning the details of the solution along with copy of purchase Order /Contract Agreement/ Work Order to this effect		Bidder to comply with RFP terms and Conditions



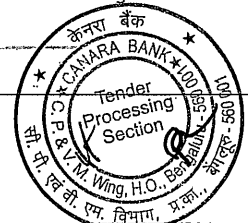
**Replies to the prebid queries to GeM Bid ref. no GEM/2024/B/5462389 dated 01/10/2024 for Selection of vendor for Procurement of comprehensive compliance application for automation and streamlining of internal compliance monitoring function in Canara Bank**

SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
35	120	Annexure 15	Bill of Material	<p align="center"><u>Table - D</u> <u>ATS cost</u> <u>Annual Technical Support (ATS) charges for the proposed Comprehensive Compliance application after the completion of warranty period of one year.</u></p>	<p>Please clarify the requirement of the Bank with respect to Annual Technical Support (ATS). Are the Bidders expected to provide both technical support (i.e. troubleshooting and query support) and Regulatory Content update support (i.e. new content is updated and provided to you) under this section of the commercial bid? If yes, please outline the scope of Regulatory Content update as the same is not mentioned in the RFP.</p>	RFP clause is self explanatory. Bidder to comply with RFP terms and conditions
36	120	Annexure 15	Bill of Material	<p align="center"><u>Table-E</u> <u>Cost for Data Migration</u> <u>One time Cost of Data Migration</u></p>	<p>We request the Bank to clarify on the scope of Data Migration for the bidder to assess the cost associated with it.</p> <p align="center">Linked to Q3 above.</p>	Data is approximately 200-250GB.
37	19	6.3	Penalties / Liquidated Damages	<p>The Bank shall also impose a penalty of 0.5% of the monthly resource cost for the respective resident resource for each week and part thereof of absence. However, total penalty under this clause will be limited to 20% on the monthly Resident resource charges payable to the selected bidder</p>	<p>Since the Bank has already made a noting of pro-rated payment for the duration of the resource's availability, is this penalty clause really warranted?</p> <p align="center">We request the Bank to kindly reconsider.</p>	Bidder to comply with RFP terms and conditions
38	24	10.4	Training	<p>Bidder has to arrange the onsite-classroom training with workstations and required necessary amenities to facilitate the training.</p>	<p>Can the Bank clarify if the bidder is required to arrange for workshop facilities including workstations? The clause wording is a little confusing.</p>	<p>Bidder to provide physical training sessions- 1.5hours each for compliance and RBS wing and other departments of Head office after going on live- Total 3 hours.</p> <p>Online training sessions-90 minutes each (for all circles/regional offices and branches after going live)</p>
39	26	13.3	Local Support	<p>The bidder will be responsible for attending complaints during all hours 24x7x365 basis of contract period.</p>	<p>Since the proposed solution is for domestic branches, can the Bank revise this clause to be limited to Banking hours of 10 am - 7 pm only?</p>	Bidder to refer Corrigendum-1



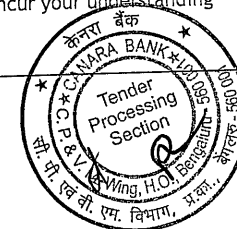
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
40	121	Table - F	Annexure-15 Bill of Material	<p>The addition/ deletion of resource (optional) will be availed by the Bank based on the requirement of resources during the contract period of five years. Bank shall intimate the same as and when the requirement arises.</p> <p>The price quoted by the bidder is fixed for entire contract period and the quantity mentioned is indicative only. Bank at its discretion may place order on the selected bidder at the rates mentioned above during the contract period.</p>	<p>We request clarity on this clause - is the on-site support required for the entire contract duration of 05 years? Or does this imply that the bank shall decide on the duration of this on-site resource requirement? Is there a possibility that this is an <u>optional</u> requirement?</p> <p>Typically, from our experience, 06 months is more than enough for such solutions to settle with the end-users in the Bank. Hence, we request the Bank to reconsider the duration.</p>	RFP clause is self explanatory. Bidder to comply with RFP terms and conditions
41	Pg. 78	Annexure 8 - Scope of Work	1. Monitorable Action Point	<p>1.3 Reports</p> <p>VI) Exception Reports</p> <p>Internal Control Document actionable having no corresponding section in External Control Documents</p>	<p>Could the Bank kindly elaborate on which internal control document - where is this expected to be mapped in the application.</p>	This clause stands deleted. Bidder to refer Corrigendum-1
42	Pg. 81	Annexure 8 - Scope of Work	2. Compliance Risk Register	<p>2.2 Actionable</p> <p>Enable column for HO compliance users to give the risk categorization apart from the residual risk of each MAP</p>	<p>As per the process, should Compliance modify the residual risk of the wing?</p>	As per the scope compliance wing should have the right to assign the risk associated with each MAP and depending upon the response submitted by the respective wing in the CRR package residual risk will be calculated, systemically.
43	64	Annexure-2 /Pre-Qualification Criteria	Point No. 2	<p>The bidder (including OEM and OSD/OSO, if any) should either be Class-I or Class-II local supplier as defined in Public Procurement (Preference to Make in India) Revised Order (English) dated 16/09/2020.</p>	<p>WE are bidding with our OEM partner from Switzerland through their India Office.</p> <p>All services support will be provided from India which includes configuration, support, installation etc. which constitutes over 50% of the bid.</p> <p>Thus, we qualify under Make In India.</p>	Bidder to refer the Make in India Guidelines issued by Government of India
44	66	Annexure-2 /Pre-Qualification Criteria	Point No. 9	<p>The bidder should have ISO 27001 series certification for information Security management or an equivalent recognized certification as on bid submission date, with validity for at least one year from that date.</p>	<p>Please allow this as under:</p> <p>The bidder or OEM should have ISO 27001 series certification for information Security management or an equivalent recognized certification as on bid submission date, with validity for at least one year from that date.</p>	Bidder to refer Corrigendum-1



Replies to the prebid queries to GeM Bid ref. no GEM/2024/B/5462389 dated 01/10/2024 for Selection of vendor for Procurement of comprehensive compliance application for automation and streamlining of internal compliance monitoring function in Canara Bank

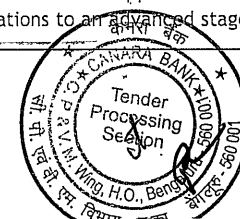
SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
45	66	Annexure-2 /Pre-Qualification Criteria	Point No. 10	The proposed application must be WCAG 2.1 complaint	We request to allow bidders to bid with an undertaking to make the application compliant if there is an GAP in the same.	Bidder to refer Corrigendum-1
46	66	Annexure-2 /Pre-Qualification Criteria	Point No. 14	The bidder should have support office in Bengaluru and Mumbai for 24x7 supports.	Please change the clause as:The bidder should have support office in Bengaluru and Mumbai for 24x7 supports or should establish support office in Bengaluru and Mumbai within 90 days from signing of the agreement.	Bidder to refer Corrigendum-1
47	13	Section B - Introduction	8.Scope of Work	8.2.Bank reserves the right to modify the scope due to change-in regulatory instructions, market scenario and internal requirement within the overall objective of RFP.	KPMG understands the regulatory changes are ever evolving, we suggest that the Bank should have the scope freeze post the initial review and analysis.	Bidder to comply with RFP terms and conditions
48	13	Section B - Introduction	8.Scope of Work	8.3.During the course of the project, there might be related areas which Bank would like the selected Bidder to undertake which may not have envisaged earlier.	KPMG requests the Bank should freeze the scope once the requirements are finalized. The changes post the scope freeze can be picked up during the 5 year support period	Bidder to comply with RFP terms and conditions
49	15	SECTION C - Deliverable and Service Level Agreements	1.Project Timelines	1.3 Integration of customized application with Bank's Active directory and HR Application	Can you please list the Bank's custom applications and total number of integrations that the bank is envisioning?	Total of 6 application that needs to be migrated to new package. As per scope bank is envisioning at least 11 solution from the vendor
50	15	SECTION C - Deliverable and Service Level Agreements	1.Project Timelines	1.3 Migration from the existing packages to the new solution and MAP Module Data Update in Application. Application should be ready with all the 13 modules as per scope of work.	Need more information of the MAP Module and the existing packages	Relevant details has been covered under Scope of Work annexure 8.
51	16	SECTION C - Deliverable and Service Level Agreements	2.Integration & Interfaces	2.1 The selected bidder has to work with different application vendors in order to integrate new solution to the existing workload or new workloads during contract period.	Can the Bank share the list and names of the applications. The effort and cost estimates can be done accurately if the scope is clear	For detail, refer reply for query no 3. Further details will be shared with the successful bidder.
52	17	SECTION C - Deliverable and Service Level Agreements	6.Penalties/Liquidated Damages	a)Non adherence to the timelines will result in the Bank imposing penalty of 0.10% for each day of delay on the total cost mentioned in Table-B of Annexure-15	Please confirm if the total over all penalty arising of the 6 section can sum up to a maximum of 10% of the total project cost	Yes we concur your understanding





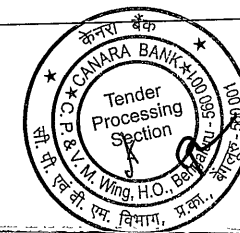
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
53	21	SECTION C - Deliverable and Service Level Agreements	8.Payment Terms	License cost for Comprehensive Compliance Solution with comprehensive support and maintenance of 1 year  One Time implementation cost	License costs are paid in 100% advance before the licenses are released by the OEM. Can the bank revise the payment terms to include 100% of the payment and not just 70%	Bidder to comply with RFP terms and Conditions
54	22	SECTION C - Deliverable and Service Level Agreements	8.Payment Terms	Data Migration Cost	Can the bank share the amount of data that needs to be migrated in terms of GB/TG?Also we would want to understand the how many years of data is being migrated	Around 200-250 GB taking all the 6 products into account. The data are of 2-3 Years.
55	24	SECTION C - Deliverable and Service Level Agreements	10.Training	10.9.Conduct training sessions for 50000+ users across the Bank.	How many users will be onboarded as a part of this solution? What will be the number of concurrent users	Details will be shared with successful bidder
56	26	SECTION C - Deliverable and Service Level Agreements	13.Local support	13.3.The bidder will be responsible for attending complaints during all hours 24x7x365 basis of contract period.	Does the Bank expect the Bidder to have a 24X7X365 support? If yes, can the support be provided from remote locations post the working hours of the Bank.	Bidder-to-refer-Corrigendum-1
57	71	Section D - Bid process	Annexure 5 - make in India	Make in India	Will the Bidder along with the hardware and Solution /Platform OEM all be required to submit the Make in India certificate?	Yes
59	74	Section D - Bid process	Annexure-8 - Scope of Work	•Categorizing each actionable into high, medium and low risks based on specific regulatory areas.	Does the bank have a list of Risk and Control library in any form?	Bank is having library of guideline issued by various regulator since last 2-3 years We are of the opinion that Vendor should provide an option to categorise the risk associated with each Monitorable action plan which will help in calculating the compliance risk across the Bank at any point of time.
60	75	Section D - Bid process	Annexure-8 - Scope of Work	•Consultancy service towards creation of MAP and regularly updating it based on changes in Compliance Requirements applicable on Canara Bank	Does the Bank Have a mapping of regulatory data to controls in any format currently?	Bank is currently following its own defined format of creating MAP
61	75	Section D - Bid process	Annexure-8 - Scope of Work	•Initiation and recording of Compliance Testing results of all testing obligations including Tranche III guidelines	Is there an existing GRC/IRM tool at Canara Bank? Or can the bidder propose a GRC/IRM tool for the implementation? Is there a preference for a specific tool?	Currently bank is using its own tool for recording testing results and would welcome new ideas and approach to take the testing obligations to an advanced stage.



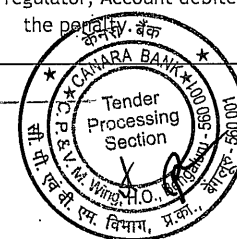
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
62	75	Section D - Bid process	Annexure-8 - Scope of Work	•Consultancy Service towards creation of MAP and regularly updating it based on changes in Compliance Requirements applicable on Canara Bank.	What is the current approach to internal compliance monitoring? Is it done manually, or do you leverage any tools?	Bank is having in house package for creation of Map, disseminating to respective Wings, recording replies/status from the concerned user wings with time stamp and hence tracking the compliance of the regulatory guideline, for timely implementation
63	112	Section D - Bid process	Annexure 10 - technical evaluation criteria	Implementation experience of audit or Internal Compliance related Solution by the Bidder	Can we restrict the clause only to implementation of the module to Solution in BFSI/Central/ State Govt/PSU as on date of bid submission, with at least 1 implementation & maintaining in Scheduled Public/ Private Sector Bank. Can the clause of 2000 branches be removed	Bidder to comply with RFP terms and conditions
64	112	Section D - Bid process	Annexure 10 - technical evaluation criteria	OEM's Internal Compliance related solution is implemented and being maintained at:	Can we restrict the clause only to implementation of the module to Solution in BFSI/Central/ State Govt/PSU as on date of bid submission, with at least 1 implementation & maintaining in Scheduled Public/ Private Sector Bank. Can the clause of 2000 branches be removed	Bidder to comply with RFP terms and conditions
65	123	Section D - Bid process	Annexure-16 - Manufacturer Authorization Form	MAF form	Most of the OEM's may not be able to follow word to word. Can the MAF be slightly amended?	Bidder to comply with RFP terms and Conditions
66	NA	General	General	General	How large and complex is the data set for compliance monitoring?	The data is from the last 2-3 years, approximately 200 - 250 GB data.
67	NA	General	General	General	Is there a scope for expanding for the solution implementation to other GRC/IRM functions?	In future may bank may expand the scope of solution at bank's discretion
68	NA	General	General	General	Does the bank have a preference for a Compliance platform ?	Relevant information/ requirement is covered under scope of work annexure 8.
69	1	Annexure-10	10. Technical Evaluation Criteria	Evaluation Parameters	If the bidder has implementation experience with a cooperative bank, will they be qualified in the technical evaluation?	RFP clause is self explanatory. Bidder to comply with RFP terms and conditions
70	1	Annexure-10	10. Technical Evaluation Criteria	Evaluation Parameters	If a bidder has implementation experience with a bank that has less than 2,000 branches, will they be qualified in the technical evaluation?	RFP clause is self explanatory. Bidder to comply with RFP terms and conditions



**Replies to the prebid queries to GeM Bid ref. no GEM/2024/B/5462389 dated 01/10/2024 for Selection of vendor for Procurement of comprehensive compliance application for automation and streamlining of internal compliance monitoring function in Canara Bank**

SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
71	75	Annexure-8 - Scope of work	A.Broad Scope of work	•Bidder should develop the solution in the database as applicable to Bank. In case bidder proposed another database, license, support, update and upgrades should be managed by software provider without any additional cost to bank.	What will be data base available for implementation of proposed tool	Since the Database depends on the platform used for the solution.Bidder to refer RFP terms and conditions mentioned in the Annexure-15, Bill of Material.
72	75	Annexure-8 - Scope of work	A.Broad Scope of work	•Facilitating TRANCHE (I, II & III) Data Submissions, monitoring timelines- generation of request with timelines every month, submission of data/information against each point.	Is the expectation here to monitor timely submission of Tranche requirements or is the expectation to prepare Tranche submissions? Please clarify the requirement	Bank is of the opinion to develop a package to monitor the collection & submission of Tranche I,II and III data from the user Wings. Further requirement is covered under point 12 of scope of Work (annexure 8).
73	76	Annexure-8 - Scope of work	1. Monitorable Action Point 1.1 Objective	•Develop a comprehensive repository of Regulatory Guidelines (all regulators including RBI, PFRDA, SEBI, IRDA, NPCI etc.) - Dissemination & recording Compliance.	1. Our understanding is that the repository of obligation is only with respect to India operations only, request you to clarify. 2. Based on our reading, we have presumed that Statutory Laws covering Central and State Laws is not in scope, please clarify.	1. The repository is with respect to India Operations Only. 2. Given the responsibility of adhering to compliance matters with evolving nature of compliance it is of importance to cover statutory laws covering central and state laws.
74	80	Annexure-8 - Scope of work	2. Compliance Risk Register	This module shall provide the objective assessment about the compliance status of the bank and help bring in a culture of healthy competition amongst peer Departments and Controlling Office to put concerted efforts towards improving Compliance Score and compliance culture of the bank.	Please provide the clarity, if this functionality is required in proposed tool or vendor is expected to create the risk registers	Vendor is expected to provide an option to use the Map created out of the regulatory guideline for compliance risk register, with an option for the compliance to assign the risk to the Map, further the calculation of residual risk, inherent to be done systemically depending of the response submitted by the Wings
75	75	Annexure-8 - Scope of work	A.Broad Scope of work	Regulatory/ Operational Penalties - recording, Monitoring & Reporting	Kindly explain the requirement in detail	Bank is of the opinion that vendor should provide a tool wherein bank can record the status of penalty imposed by regulator, and paid to the regulator and corresponding recovery done in the regard. It should provide the details such has penalty imposed on account of deficiency observed, type of deficiency, amount penalized, date of paying the penalty to the regulator, Account debited for payment of the penalty.



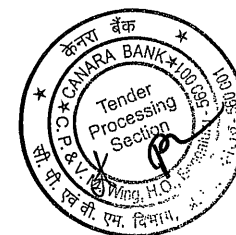
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SL No.	Page No.	Section / Annexure / Appendix	RFP Clause	Sub-Clause/ Technical Specification	Bidder's Query	Reply
76	75	Annexure-8 - Scope of work	A. Broad Scope of work	The package must be scalable to integrate with the in-house application of the bank and to the regulator.	Need more details on the integration. Need information about the system to be interated and other technical details of the system that needs to be integrated with	For Packages Kindly query no.3 Detailed technical specfication will be shared with the successful bidder.
77	85	4. Individual Compliance Submission Module	4. Individual Compliance Submission Module	Job role to MAP mapping	Hope bank will provide the detail of the jo roles and which MAP to be mapped to respective Job roles	Please to the scope of work in annexure 8, Individual compliance submission module.

Date: 29-10-2024

Place: Bengaluru

Deputy General Manager





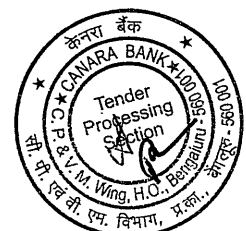
Corrigendum-3 to GeM Bid ref. no GEM/2024/B/5462389 dated 01/10/2024 for Selection of vendor for Procurement of comprehensive compliance application for automation and streamlining of internal compliance monitoring function in Canara Bank.

It is decided to amend the following in respect of the above RFP:


a. GeM bid document (Bid End date/ Bid Opening Date, Page no. 1 of 7):

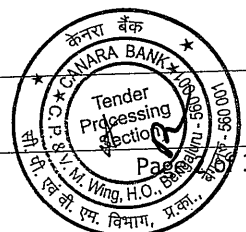
Description	Existing details	Amended details
Bid End Date/Time	30/10/2024, 15:00:00	<u>08/11/2024</u> , 15:00:00
Bid opening Date/Time	30/10/2024, 15:30:00	<u>08/11/2024</u> , 15:30:00

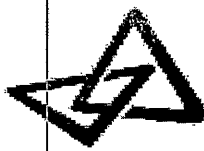
Sl No	Section/Annexure/Appendix of GeM Bid	Clause No.	Existing Clause	Amended Clause
1.	Annexure-2	Pre Qualification Criteria	The bidder should have support office in Bengaluru and Mumbai for 24x7 supports.	The bidder should have support office in Bengaluru <u>or</u> Mumbai for 24x7 supports.
2.	Annexure-2	Pre Qualification Criteria	The bidder should have ISO 27001 series certification for information Security management or an equivalent recognized certification as on bid submission date, with validity for at least one year from that date.	The <u>bidder/OEM</u> should have ISO 27001 series certification for information Security management or an equivalent recognized certification as on bid submission date, with validity for at least one year from that date.
3.	Annexure-2	Pre Qualification Criteria	The proposed application must be WCAG 2.1 compliant.	<u>This clause stands deleted.</u>
4.	Annexure-3	Bidders Profile	Details of Proposed Email solution and Bulk mail Solution	Details of Proposed <u>Comprehensive Compliance Application</u>
5.	Annexure 7	Office Details	The bidder should have support office in Bengaluru and Mumbai for 24x7 supports.	The bidder should have support office in <u>Bengaluru or Mumbai for support.</u>





6.	Annexure-8	Scope of Work	<p>Package should be scalable and meet the EASE 7.0 metrics.</p> <ol style="list-style-type: none"> <li>1. Integration of compliance data into a centralized management system for improved process efficiency.</li> <li>2. Implementation of real time monitoring and proactive risk management based on compliance data</li> <li>3. Floating of feedback form every quarter to incorporate internal and external stakeholder feedback</li> <li>4. Utilizing compliance insights to drive strategic decision making.</li> <li>5. Conducting comparison with industry best practices annually to ensure alignment with leading standards in its system management practices</li> <li>6. Adoption of advanced governance models, utilizing predictive analytics for compliance and regulatory trends.</li> </ol> <p><u>This Clause stands deleted</u></p>
7.	Annexure-8	Scope of Work	<p>VI) Exception Reports Internal Control Document actionable having no corresponding section in External Control Documents</p> <p><u>This Clause stands deleted</u></p> 





8.	Annexure-9	Technical Functional Requirements	and	The proposed application must be WCAG 2.1 compliant.	<u>This Clause stands deleted.</u>
9.	Section C - Deliverable and Service Level Agreements	13.Local Support		The bidder will be responsible for attending complaints during all hours 24x7x365 basis of contract period.	The bidder will be responsible for attending complaints during <u>all Bank working Days with in time frame of 9.00 AM to 7.00 PM</u> of contract period.
10.	Section C - Deliverable and Service Level Agreements	10.Training		Trainer should be well experienced and must have industry certification.	Trainer should be well experienced and must have <u>relevant expertise</u> .
11.	Section C - Deliverable and Service Level Agreements	11.Annual Technical Support		The Bank will pay ATS charges for Solution (including software OS and license) after the end of warranty period. Such payment shall be released quarterly in arrears after satisfactory completion of service during the period and submission of reports and invoices	The Bank will pay ATS charges for Solution (including software OS and license) after the end of warranty period. Such payment shall be released quarterly in arrears after satisfactory completion of service during the period and submission of <u>delivery reports</u> and invoices

All the other instructions and terms & conditions of the above RFP shall remain unchanged.

Please take note of the above amendments while submitting your response to the subject RFP.

Date: 29/10/2024  
Place: Bengaluru

Deputy General Manager

