UCO BANK

Department of Information Technology

Request for Proposal (RFP) For Selection of SWIFT Vendors for providing all SWIFT related services to the Bank

RFP Ref. No.: UCO/DIT/593/2017-18 Date: 06/06/2017"

Pre-Bid Responses/ Clarifications to Queries raised by the Bidder(s), Amendments, Addendums and Corrigendum's

SL No	Page no	RFP Clause No.	Clause	Clause as per RFP	Description of Query/ Clarification sought by Bidder	Response from Bank
1	25	Part –II	Eligibility Criteria for the bidder	The Bidder should have minimum annual turnover of min Rs. 50 Crores during the last three financial years (2013-14, 2014-15, 2015-16).	**Suggestion:** Request bank to consider a Rs. 5 Crores turnover during the last three financial years with a consistent profit declaration.	Please refer to Corrigendum.
2	25	Part –II	Eligibility Criteria for the bidder	The Bidder should have experience in maintaining/providing SWIFT related support to a scheduled commercial bank in India.	**Suggestion:** The Bidder should have experience in maintaining/providing SWIFT related support to any scheduled commercial bank in **any part of the world**	Clause stands as per RFP.
3	25	Part –II	Eligibility Criteria for the bidder	The bidder or its partner should have implemented integration between	**Suggestion:** The bidder or its partner should have implemented integration between	Clause stands as per RFP.

					SWIFT Alliance Access and Finacle (version: 7.0.25/higher version) for both inward and outward messages in any Scheduled commercial bank in India.	SWIFT Alliance Access and Finacle (Version: 7.0.25/higher version) for **at least eithe**r inward or outward messages in any Scheduled commercial bank.	
4	48	Annexure-V	Detailed Scope of Work	Ensuring Data replication between SWIFT DC & DR environments	**Query:** Does the bank currently having any online replication of SWIFT systems between the production site and DR Site? If so, are you planning to continue with the existing process?	The Bank currently has re-plication tool named EnEmpowerment recovery and restoration tool from the existing vendor. This product is under their ownership and restoration tool services are upto Sept 2017 with Bank. The Bank is not considering continuing this replication tool later and new vendor has to put their own tool as part of RFP services.
5	48	Annexure-V	Detailed Scope of Work	Implementation of Two Factor Authentication	**Query:** Does bank currently having dual factor authentication to log into SWIFT and do you wish to opt for the same?	Presently, two factor authentications are not enabled in bank for SWIFT Alliance access.
6	48	Annexure-V	Detailed Scope of Work	Carrying out Customizations in Finacle for Straight Through Processing between Finacle & SWIFT Alliance	**Query:** Kindly confirm if this vendor is expected to perform customization in Finacle.	The selected vendor has to customise the changes in Finacle for SWIFT integration as per the Scope of Work mentioned in the RFP and the vendor will be responsible for end to end integration.
7	48	Annexure-V	Detailed Scope of Work	The Solution being proposed, if any should support all types of SWIFT messages as defined in SWIFT standard by M/s SWIFT	**Suggestion:** It would be helpful if you can specify the messages as per bank requirement.	All message types from MT100 to MT900 series except MT300 and MT800 series are mandatory. The messages of MT300 and MT800 series are optional and to be quoted as optional cost item in

						commercial bid. The price quoted for this optional item will be fixed during the contract period and the Bank deserves the right to implement these optional message formats anytime during the contract period at the same cost.
8	48	Annexure-V	Detailed Scope of Work	Future releases/patches for statutory /regulatory changes as required under the directives of Government of India, Reserve Bank of India, any other regulatory/ statutory body should be free of cost	**Suggestion:** Any software change request may be at a cost. Enhancement as a part of the software improvements may be a part of AMC.	Clause stands as per RFP.
9				General	**Query:** Does the bank have the DB recovery and DB restoration license for their SAA?	Bank does not have the DB recovery and DB restoration license for their SAA.
10				General	**Query:** Is bank using SAA-embedded DB system or using separate Oracle DB for SWIFT?	Bank uses SAA-embedded DB system.
11				General	**Query:** Are you using any kind of customer notification system, internet and sms interfaces?	No customer notification is being provided at present for SWIFT messages in Bank.
12	25	Part II, 1 (4)		The Bidder or its partner should have SWIFT certified service bureau.	As RFP is majorly for the support and maintenance of SWIFT infrastructure and since it's a vendor compliance practice with most PSU banks, we hope that it is also mandatory for the bidder to have the status of a SWIFT technical certified specialist?	Not mandatory. The vendor must be having certified service bureau and must depute only highly experienced and qualified resources for providing services to the Bank. The resources being deployed must have similar experience in other leading Banks.

13	28	Part III, 1.I(ii)	Ensuring Data replication between SWIFT DC & DR environments		1. Does the bank need a resource to monitor the data replication? 2. Can the bidder suggest the names of the vendors providing the data replication tool and facilitate the quotation as part of this RFP, while the support and license for replication tool will be with OEMs/ registered vendors.	1. No. However, in case of any issue, the vendor has to depute its resource for troubleshooting. 2. The bidder will be Single Point of Contact (SPOC) for the project and will be responsible for supplying and supporting the replication tool. If required the bidder will have to maintain back to back contract with OEM in this regard.
14	14	11.b	50% of the License and Implementation fees will be paid on going live and on submission of invoice with proof of implementation/Go-Live by swift vendor.		Seeking relaxation to the term for license as One time payments will be as soon as the order is made and Annual payments will be collected in advance on a prorated basis. Hope the payment terms can be adjusted as per the delivery model?	In case of SWIFT software licenses, advance payment may be released. For services/products other than SWIFT software licenses, payment terms will remain as it is.
15	14	11.c	50% of the License and Implementation fees will be paid after UAT sign off between bank and the vendor against submission of invoice with proof of implementation/Go-Live by swift vendor.		Seeking relaxation to the term for license as One time payments will be as soon as the order is made and Annual payments will be collected in advance on a prorated basis. Hope the payment terms can be adjusted as per the delivery model?	In case of SWIFT software licenses, advance payment may be released. For services/products other than SWIFT software licenses, payment terms will remain as it is.
16	14	11.a	No advance payment will be made.		Seeking relaxation for AMC/ATS payment as annually in advance.	For AMC/ATS, payments will be made quarterly in arrears.
17	14	11.f	Vendor should ensure that there is no reinstatement of software licenses.		Bank may kindly provide more clarity on this clause?	The vendor has to ensure that software licenses provided by the vendor should be always under ATS.
18	16	19	Normalization of bids		What will be the normalization	The clause is self-

						process and conditions?	explanatory.
19	17	20	Indemnity Clause			Hope the indemnity clause mentioned will be the same that would be applicable in the final SLA.	Please refer RFP.
20	14	10.c	Prices quoted by the Bidder shall be in Indian Rupees and not subject to any price escalation, if the order is placed within the validity period.			License or any services from SWIFT will be in EUR/USD. Replication tool cost will be at the currency mentioned by the vendor.	The price quoted for SWIFT software licenses can be in foreign currency.

However, the same should be fixed for contract period and INR equivalent at present rate has to be quoted by bidder in TCO.

All other items, other than SWIFT licenses will be in INR. |
| 21 | 18 | 21.h | After award of the contract, if the selected bidder does not perform satisfactorily or delays execution of the contract, UCO 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 UCO BANK may have to incur in executing the balance contract. This clause is applicable, if the contract is cancelled for any reason, whatsoever. | | | Seeking this line to be reviewed before finalization of SLA "In this event, the selected bidder is bound to make good the additional expenditure, which UCO BANK may have to incur in executing the balance contract. This clause is applicable, if the contract is cancelled for any reason, whatsoever." | Clause stands as per RFP. |
| 22 | 17 | 21 | Order Cancellation (Termination) Clause: | | | The notice period could be 90 days after allocation of a cure | Clause stands as per RFP. |

			UCO BANK reserves the right to cancel the work/purchase order or terminate the SLA by giving 30(thirty) days'		period of one month. Hope the clauses under 21 and 22 can be mutually reviewed and agreed.	
23	10	4	Contract Period: The performance of the selected bidder shall be reviewed every quarter to ascertain vendor's capability during the period.		Can the bank provide the performance measuring mechanism for capability?	The performance of the vendor will be measured as per the Performance Matrix mentioned in the RFP.
24	28	Part-III (1.(b))	b. Maintenance of SWIFT DC, DR & UAT environments including Application/ Operating System/Database patch updation and upgradation.		1. The OS & DB support is usually provided by OEMs or their registered vendors. UCO bank to confirm the modality if this support is required under this RFP? 2. Is bank planning to change the hardware for 7.2 migrations?	1. The hardware vendor/ OEMs will provide OS & DB related support. However, the selected vendor will be responsible for coordinating with hardware vendor, carrying out impact analysis for any patching/ Changes and for complying with Auditor's recommendation in this regard. 2. Yes, new hardware procurement is in progress.
25	28	Part-III (1.(c))	c. Installation /Re-installation of SWIFT Alliance Access/ other applications/ Software on existing/new machines/servers		Bank to kindly provide the architecture and number of instances of messaging and connectivity interface (Alliance Access and Alliance Gateway)	The Bank has following instances of SWIFT:- 1. DC – Data Centre 2. DR – Data Recovery 3. UAT – User Acceptance Testing 4. DAR – Data Archival Retrieval We are having Full stack

| | | | | | | architecture for production server where both the messaging interface and communication interface are within the user environment. This architecture type also includes hosted solutions where the user has the licenses for both the messaging interface and communication interface.

For DR site we are having Partial stack architecture where the messaging interface is within the user environment, but a service provider (for example, a service bureau, SWIFT Alliance Remote Gateway or a group hub) owns the licence for and manages the communication interface. This architecture type also includes hosted solutions of the messaging interface where the user has the license for the messaging interface. |
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| 26 | | | | | Which solution does UCO bank use for KYC and AML? What will be the scope of this integration | Bank uses, for KYC and AML, the solution named Panacea of Intellect Design Arena Ltd. |
| | 28 | Part-III (1.(i)) | Providing support in the integration of KYC/AML with the proposed SWIFT solution | | | The selected vendor for SWIFT and the present AML vendor of the Bank are advised to communicate with each other for the integration of KYC/AML with the |

27						proposed SWIFT solution.
	28	Part-III,1. I(iv)	Maintenance of existing SWIFT Data Archival & Retrieval (DAR) Replication tool or supply and maintenance of alternate/new DAR tool to be supplied by the bidder.		What is the product currently in use? Please provide the scope - Hope this is a replication tool. Please confirm.	Please refer to sl. no. 4 of the Pre-bid responses.
28	28	Part-III,1. I(vii)	(vii) Implementation of Integration/STP between Finacle 7.0.25 and SWIFT Alliance for both incoming & outgoing SWIFT messages and also for higher Finacle and SWIFT Alliance versions.		1. Which is the message types covered? 2. Hope the integration is MQ based for added security. 3. Does current Finacle support SWIFT supported file formats like RJE, MQ-MT? 4. Will the back office require regular updates of the SWIFT reference data directory for efficient payments processing? 5. Hope the current commercials are required to cover only the current release 7.0.25 of Finacle?	1. All message types from MT100 to MT900 series except MT300 and MT800 series are mandatory. The messages of MT300 and MT800 series are optional and to be quoted as optional cost item in commercial bid. The price quoted for this optional item will be fixed during the contract period and the Bank deserves the right to implement these optional message formats anytime during the contract period at the same cost. 2. Yes 3. Current Finacle version is 7.0.25. The vendor has to do all required customization in Finacle. 4. Yes 5. The structure of the system should be in such a manner that it can be seamlessly ported to higher versions of Finacle without any extra cost.
29	29	Part-III,1. I(ix)	(ix) Implementation of Two Factor Authentication/Single		1. Please elaborate the scope and requirements. 2. Also, is this required for 2	1. Two factor authentication should be implemented for

			Sign on (SSO) between Finacle and SWIFT.		Factor Authentication purpose or for any other purpose. 3. This may have dependency on version level compatibility on Finacle version 7.0.25. Can bank confirm this with OEM? 4. What is the release 10 migration timeline?	SWIFT Alliance for Treasury/DIT/International Department users. SSO should be there if any middleware is used. However, the workflow should be that branches will do transactions/data entry in Finacle and system should auto-generate SWIFT message and send to SWIFT Alliance and then to SWIFT gateway. 2. Required for Treasury branch, International and DIT Dept. and other user for direct SWIFT login as per requirement. 3. All compatibility related issues to be handled by the bidder. 4. The Bank doesn't have any timeline for migration to Finacle 10 at this moment. However, the Bank may decide later to migrate to Finacle 10.
30	29	Part-III,1. I(x)	(x) Facility to provide necessary enquiry screens and reports as per our requirement.		1. Bank may kindly confirm the no. of reports required & the report formats. 2. What is the Finacle10 upgradation timeline?	1. All the reports generated from SAA should be there in MIS format and some of the reports as List of RMAs established for Bank/Country wise and Turnover volume of specific message with

						other banks etc are required
						2. The Bank doesn't have any timeline for migration to Finacle 10 at this moment. However, the Bank may decide later to migrate to Finacle 10.
31	29	Part-III,1. I(xxiii)	(xxiii) Providing Training to end users for operation of SWIFT system in three batches of twenty each after going live at our Training College for three days.		1. Hope T & E for conducting training, implementation and support will be at actuals? 2. What is the location of Training college? 3. Professional SWIFT training is provided by SWIFT directly as there are no certified training partners in India, however the bidder would arrange for required proposal as a part of this RFP. Bank to confirm this point.	1. The Training cost has to be quoted by the bidder as an item in commercial bid. No extra expense will be paid by the Bank. 2. Kolkata will be the location of training. 3. The professional training from SWIFT is not required. The scope of training is end user training for end users and system administration training for technical users, which has to be provided by the selected vendor.
32	48	Annex-V	Maintenance of SWIFT Alliance application including patch updation and up gradations.		As release upgrades are complex and require compliance to the SWIFT Security best practices, typically the services are offered by SWIFT (OEM) and delivered under the SWIFT certified technical experts however mandatory patches are included. The proposal for the release upgrade can be made a part of this RFP. Bank may kindly confirm.	Please refer to Sl. No. L (XIV), page no. 29 of RFP.
33	48	Annex-V	Maintenance of EN Recovery Replication		The implementation and support for replication tool will	Please refer to sl. no. 4 of the Pre-bid responses.

				tool or supply and maintenance of alternate replication tool proposed by the bidder		be with OEMs/ registered vendors. Although the bidders will facilitate the same, the contract license will be between OEM and Bank. Bank to confirm.	
34	48	Annex-V	Access of SWIFT service bureau for DR site		Please confirm that SSB connectivity must include end to end Network encryption using IPSec and must support Network failover channels on internet as well as MPLS.	The service bureau must be SWIFT certified.
35	48	Annex-V	Carrying out Customizations in Finacle for Straight Through Processing between Finacle & SWIFT Alliance		As the current Finacle development is focused on release 10.x, hope the bank would be able to provide development and test bed for Finacle 7.0.25 at bidder's premises.	The development and test bed for Finacle 7.0.25 will be provided at bank's premises.
36	48	Annex-V	Supply & Maintenance of OTP Software for 2FA		Bidder will suggest the list of compatible TOTP software as published by SWIFT. The support and maintenance of the same will not be by SWIFT/bidder. Bank to confirm this.	Not agreed. The selected vendor has to provide the Supply & Maintenance of all hardware and software including OTP Software, if any, for 2FA
37	48	Annex-V	The Solution being proposed, if any should support all types of SWIFT messages as defined in SWIFT standard by M/s SWIFT		Kindly list the message types (MTs) that has to be a part of the solution.	Please refer to sl. no. 7 of the pre-bid responses.
38	49	Annex-V	Ensuring that the Security architecture being deployed complies with SWIFT standard and best practices		Hope the security excellence review on SWIFT standard best practices is being referred. Please confirm as this is offered as a part of SWIFT consulting services.	The bidder has to ensure that security architecture being deployed complies with SWIFT standard and best practices. However, security audit/ review will be conducted by Bank/ Bank's Auditor.
39	49	Annex-V	Providing support in the integration of SWIFT Sanction Screening with		Please provide the scope of this integration.	The scope of work is to integrate SWIFT screening with the outward message

						or inward message with pass or failed status should show the actual status to branch user from the message creation part to message settlement part in SWIFT which is not happening at present.
40					What is the OTP & SMS gateway that UCO bank is currently using? Can we integrate out solution with the existing OTP server	Yes, the solution may be integrated with the existing OTP server.
41					We propose to provide a Middleware solution for the STP between Finacle and SWIFT. What is the preferred Database and OS on which the solution can be hosted	Vendor has to propose
42					Are there any preferred application/web server? For example IBM Websphere, Apache Tomcat	Vendor has to propose the application/web server.
43					What is the total number of SWIFT messages both incoming and outgoing per day? What will be the peak volumes (For both Category A & B branches)	Approx. 1000 message per day and peak volume can be considered as total 2000 message per day
44					What will be the total number of branch users who will be using the application	Approx. 600 user including Head office, treasury branch and B cat branches
45					What is the email server that is currently being used by UCO bank	The email server that is currently being used by the Bank is Microsoft Xchange 2010.

Corrigendum

Sl. No.	Page No.	Existing Clause	Modified Clause
1	25	The Bidder should have minimum annual turnover of min Rs. 50 Crores during the last three financial years (2013-14, 2014-15, 2015-16).	The Bidder should have minimum annual turnover of min Rs. 5 Crores during the last three financial years (2013-14, 2014-15, 2015-16).