



Reserve Bank of India

Invites Expression of Interest (EOI) for providing an end to end solution for Audit Management and Risk Monitoring System to be known as Audit Management and Risk Monitoring System (AMRMS) at Reserve Bank of India.

**Date of Release:
September 09, 2015**

**Inspection Department
C-7, 8th Floor, Central Office, Bandra Kurla Complex, Bandra (E),
Mumbai- 400 051,
Maharashtra,
India**

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The information is not intended to be exhaustive. Interested parties are required to make their own inquiries and respondents will be required to confirm in writing that they have done so and they do not rely only on the information provided by RBI in submitting response to the EOI document. The information is provided on the basis that it is non-binding on RBI or any of its authorities, agencies, officers, employees, agents or advisors. RBI reserves the right not to proceed with the Project or to change the configuration of the Project, to alter the time table reflected in this document or to change the process or procedure to be applied. It also reserves the right to decline to discuss the matter further with any party expressing interest. No reimbursement of cost of any type will be paid to persons or entities expressing interest.

The proposal should be signed and submitted by a person duly authorized to bind the bidder to the details submitted in the proposal. All pages of the EOI document are to be signed by the authorized signatory. Any clarification sought can be [mailed](#). All clarifications sought shall be replied individually. Clarifications can be sought up to the date mentioned in the Schedule (Section 1).

Any product name / function used in this document are meant to be generic and do not refer to the product of any particular company. In case such proprietary terms have been inadvertently mentioned then such terms should be taken to refer to the generic technology. Bidders with industry standard equivalent product name / function under any other name will also be eligible to submit their EOI.



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1. Schedule

Events	Date
Issue of EOI documents	September 09, 2015
Last date for submission of queries (Queries may be submitted to email)	September 18, 2015
Clarification on queries and pre-bid meeting	On September 21, 2015 at 1030 hours
Last date for issue of addendum, if any	September 28, 2015
Last date and time for submission of completed EOI document and technical bill of material along with documentary evidence in sealed cover.	On October 05, 2015 up to 1600 hours
Opening of EOI	October 07, 2015

This document can also be downloaded from the ‘Tenders’ section of RBI’s website (<http://www.rbi.org.in/>).

Queries / clarifications can be sought by [email](#) till the date mentioned as per above Schedule. Pre-bid meeting will be held at Inspection Department, Reserve Bank of India, C-7, 7th Floor, Central Office, Bandra Kurla Complex, Bandra (E), Mumbai- 400 051.

The completed EOI documents shall be submitted before the date and time of submission at the following address:

Principal Chief General Manager
Reserve Bank of India
Inspection Department, Central Office
C-7, 8th Floor, Bandra Kurla Complex,
Mumbai – 400 051
Phone: 022-2657 8100
Fax: 022-2675 2029



2. Abbreviations

AMRMS	Audit Management and Risk Monitoring System
API	Application Programming Interface
BOM	Bill of Material
CBS	Core Banking Solution
CO	Central Office
COBIT	Control Objectives for Information and Related Technology
COD	Central Office Department
CSAA	Control Self Assessment Audit
DMIS	Document Management and Information System
DR	Disaster Recovery
EOI	Expression of Interest
ERM	Enterprise-wide Risk Management
ICCOMS	Integrated Computerised Currency Operations and Management System
ID	Inspection Department
IES	Integrated Establishment System
IRT	Incident Reporting Template
ISMS	Information Security Management System
ISO	International Organization for Standardization
ITIL	Information Technology Infrastructure Library
MIS	Management Information System
OEM	Original Equipment Manufacturer
PIO	Principal Inspecting Officer
POC	Proof of Concept
RBI	Reserve Bank of India
RBIA	Risk Based Internal Audit
RFP	Request for Proposal
RMD	Risk Monitoring Department
RO	Regional Office
ROC	Registrar of Companies
RR	Risk Registers
SMS	Short Messaging Service
TE	Training Establishment



3. Introduction

- 3.1 The RBI, being the central bank and monetary authority of the country, performs certain key functions such as banker to banks, banker to the Government (Central and State), management of public debt, holding the custody of statutory reserves including foreign exchange reserves, regulating and supervising the payments and settlements systems, issue and management of currency apart from performing regulatory and supervisory functions over the banking and non-banking financial systems in India.
- 3.2 RBI currently has CODs, ROs, TEs at locations in Mumbai and all the major state capitals and union territories/ some major cities. The total numbers of locations is 69 as on date.
- 3.3 RBI has decided to initiate steps with a view to providing an end to end solution for audit management and risk monitoring to establish an AMRMS.

4. Objective

- 4.1 The proposed AMRMS will fully automate the existing process of audit management and risk monitoring system in RBI. As a part of the Enterprise-wide Risk Management (ERM) system, the audit functions of the various RBI offices / branches / Central Office departments are being performed by Inspection Department (ID) while the risk monitoring is being done by Risk Monitoring Department (RMD) of the Bank.
- 4.2. AMRMS will assist ID in automating the entire audit management functions right from the inspection planning process to final closure of the inspection reports by integrating various audit related activities like compliance, follow-ups, MIS including exception reporting etc. in a seamless, efficient and integrated fashion. The proposed system will have a centralized database with an open architecture which will allow third-party APIs and also have the capability for scalability and to seamlessly integrate with the other RBI applications. The system will be web based with a facility for online as well as offline recording of data by the auditors/inspectors in a reliable and controlled manner with proper access control from on-site as well as off-site locations. The proposed AMRMS will facilitate inspection resource planning, recording audit observations, generating audit reports, analysis of data, MIS reports, facility for Incident Reporting and its analysis, populating Risk Registers (RR), generating Heat Maps, Risk Scores based on predefined parameters etc., for effective compliance processing and monitoring. The Application should facilitate in preparation, modification / deletion of Checklists and its comparison with the RR. The system would require preparation of detailed and logically sequenced checklists for various processes undertaken by the business owner/auditees. Users from ID, RMD and auditee departments can be differentiated in terms of user rights.
- 4.3 AMRMS would facilitate capturing and integrating RMD's database on RR and Incident Reporting within the Bank's ERM framework. The system should provide a separate



front-end access with different look and feel for preparation / updation of the RR and reporting of incidents for RMD.

- 4.4 The scope of work for the Project as also the broad details / requirements and the criteria for evaluation of the EOI are given in this document.
- 4.5 The Reserve Bank of India (hereinafter called 'RBI' or 'Bank') issues this document for receiving 'Expression of Interest', hereinafter called 'EOI'.
- 4.6 This invite is issued to eligible bidders to express their interest to provide an end to end solution for risk monitoring and audit management to establish AMRMS to fully automate the existing process of audit management and risk monitoring in RBI.

5. Invitation

- 5.1 The Bank invites bidders meeting eligibility criteria given in Para 8 to submit their EOI to provide an end to end solution for audit management and risk monitoring to establish an AMRMS to fully automate the existing process of audit management and risk monitoring in RBI (scope of the project given in Section 6).

6. Scope of the Project

The broad scope of the project AMRMS should have the following minimum components / facilities;

6.1 Audit Management

6.1.1 Resource Planning

- (i) Planning functions related to various audit activities, viz; calendar preparation, allocation of resources, allocation of work areas to auditors, availability of pre-audit data / information with respect to auditee, calculation of man-days based on certain pre-determined parameters etc.
- (ii) Uploading audit / Inspection related instructions / circulars required by External / Internal Auditors / Inspectors.

6.1.2 Audit Input

- (i) Facility to add any ad hoc audit format with customized parameterization and capability to make them into standard input form.
- (ii) Facility to upload various types of audit observations, like;
 - a. Upload facility for all types of observations with necessary classifications / parameters / grouping, marking to one or more auditees, e.g. Risk Based Internal Audit (RBIA), Technology Audits, etc.,
 - b. Facility to upload work papers by auditors,



- c. Ability to upload and analyse data contained in reports from other packages like DMIS, CBS, IES, etc.
- d. Facility to directly upload the audit report, rather than keying in para-wise.
- (iii) Facility to upload feedback by the auditee,
- (iv) Capability to upload / broadcast important observation to different Business Areas based on pre-specified or on the fly parameters.

6.1.3 Audit Output/ Reports

- (i) Facility to generate standard/ ad-hoc MIS reports on various parameters/ status on/ across various audits, say, in terms of domains / classification of observations / areas of audit activities, auditee wise etc. with drill down/ across feature over more than one variable.
- (ii) Facility to download reports as per access rights in a specified format if required, say excel, word, pdf etc.

6.1.4 Compliance Monitoring

- (i) Effective Compliance processing of different types of audit viz; RBIA, Technology Audits, ISO/ISMS Audits, Snap Audit, CSAA, Concurrent Audit, Vertical Audit, special scrutinies etc.
- (ii) Provision for categorizing the compliance post scrutiny as per business needs - chapter / Department / Verticals / functional area wise; Functional / IS domain wise; Risk rating wise.
- (iii) Provision for the auditees to upload compliance online and check status of acceptance.
- (iv) Provision to keep track of previous compliances.
- (v) Report related to status of compliance submission on user defined parameters.
- (vi) Provision to mark the para during the course of compliance scrutiny to another auditee, if need be under any audit, for example, design gaps to be marked to CODs.
- (vii) Provisions to review the compliance received from more than one auditee (if marked to them initially or during the course of compliance scrutiny) at single place through search options.
- (viii) Provision to link / upload any file / annexure etc. as part of compliance processing.
- (ix) Maker checker feature for officers of Follow-Up Section to accept/ approve the compliance submitted by auditee as well as compliance scrutinized at ID end, Top Management privilege especially to access executive summary, key observations etc.
- (x) System of sending reminders and alerts.

6.1.5 Others

- (i) Editing facility for Audit observations with maker / checker controls and an approver role for PIO where applicable.
- (ii) Provision to link CO circular / instructions wherever referred in the observation for ready reference.
- (iii) Scalability and Flexibility: Ability to add new parameter / feature from the front end for classification of observations in an audit report.



- (iv) Standard ease of use features, user management, log definition, review mechanism of logs, access controls on functionalities based on user (auditor / auditee) on need to know and need to have basis.
- (v) Offsite monitoring feature- Reports from DMIS, CBS, ICCOMS etc.
- (vi) Search Facility – based on a few words on data relating to inspection reports, compliance received, Risk Registers and Incident Reports.

6.2 Risk Monitoring

6.2.1 Risk Registers

- (i) Provision for populating / editing / deleting / updating / aggregating / disaggregating the RR.
- (ii) The application should facilitate risk rating based on pre-defined algorithm.
- (iii) Standard and Ad-hoc outputs, including Heat Maps, to be generated based on contents of the RR. The output including heat maps should be generated at any level of aggregation or disaggregation based on selected parameters (Sections / Divisions/ Departments / Offices / Verticals or for the Bank as a whole).
- (iv) Facility for drill down of the Heat Maps should exist.
- (v) Integration of RR and Checklists of ID.
- (vi) Migration of earlier RR data to the new database.
- (vii) Facility to extract data from the Risk Register and use it elsewhere.
- (viii) Facility to edit / modify or delete data based on user rights.
- (ix) Dashboard facility for report generation.

6.2.2 Incident Reporting

Facility for uploading of Incident Reports to the database by using the Incident Reporting Template (IRT) and for generation of MIS reports, including heat maps, facility to search.

6.3 Minimum Requirements expected

- (i) The package should be web based, single sign on, capable of working in an online as well as in offline mode.
- (ii) The proposed product should be scalable, with open architecture / open standards and compatible with the third party APIs and the existing Applications running in the Bank and the Bidder should explain in detail all possible hardware options on which the proposed solution would run and willingness for different models for procuring / supporting hardware. Suggestions on SLA terms and conditions to be put in the RFP are also invited.
- (iii) Flexible to add new types / category of audits.



- (iv) Should be able to obtain data from various other audit sources like CSAA, Concurrent Audit, and other applications running in the Bank like CBS, IES, ICCOMS, Document Management, etc.
- (v) To generate various types of Standard and ad hoc audit reports.
- (vi) Capable to upload the audit report(s) by Auditor and compliance by Auditee and scrutiny, follow-up and closure of audit reports.
- (vii) Capable of compliance processing: Data Entry (scrutiny comments) and correspondence.
- (viii) The solution should manage workflow for each request with maker-checker process. The workflow should integrate with email, SMS etc. Each step of request should be recorded with proper audit trail.
- (ix) Smooth migration of data from the previous package / database.
- (x) Generation of MIS – Standard / Ad hoc reports.
- (xi) Suitable and adequate Backup and redundancy of Application, Hardware and Database system.
- (xii) Should possess in-built security features to protect it from various malwares and spywares, etc. and should have the encryption facility wherever applicable/required.
- (xiii) Should possess the facility of Blog, Bulletin Board, Dashboard, etc.
- (xiv) Capability for conducting Risk Surveys for identified areas and users based on various parameters like grade, Business Areas, location, etc.; and the report generation thereof.
- (xv) Timely development and implementation of the application
- (xvi) Training to be provided to the power users and normal users by developer / vendor.
- (xvii) AMC to be provided for up to 4 years after the expiry of the 3 years of warranty.

6.4 The scope of the project given above is only indicative minimum list and is not deemed to be comprehensive / complete.

7. Procurement Process

7.1 The following process will be followed to complete the procurement for this project:

- (i) Issue of document inviting EOI
- (ii) Receipt of EOI from eligible bidders
- (iii) Evaluation of EOI
- (iv) Short listing of eligible bidders
- (v) Short listing of eligible products and services
- (vi) Issue of RFP to short listed bidders on submission of non-disclosure agreement.

7.2 RFP will be issued only to bidders shortlisted based on their EOI as per details given in Section 10.



7.3 The Bank desires to obtain the most suitable product/service in each category. Category wise list of shortlisted product/service will be prepared as per details given in Para 10. At the RFP stage, short listed bidders can submit proposals only from the pool of short listed product/service.



8. Eligibility Criteria for Bidders and Product/Service

8.1 Eligibility criteria for Bidder:

Sl. No	Eligibility Criteria	Supporting Document to be submitted along with EOI
1.	The Bidder should be a Company / Entity incorporated in India. The bidder must warrant that it is a going concern / firm, financially solvent, i.e., able to meet all its debts as and when they fall due. The Bidder's net worth should be positive.	Audited balance sheet and P&L statement of the bidder and supporting document for the previous three financial years. Certificate from Chartered Accountant (CA) for financial solvency.
2.	The Bidder should have / had an annual turnover of Rs.6 crore or more in each of the previous three financial years i.e., 2012-13, 2013-14 & 2014-15.	As above
3.	The Bidder should not be involved in any legal case that may affect the solvency /existence of firm or in any other way affect the bidder's capability to provide/ continue the services to the Bank. The company should not be blacklisted by any Government agency in India.	Self-declaration signed by Company Secretary or Board approved Authorized Signatory.

8.2 Eligibility criteria for each Products/services:

Sl. No	Eligibility Criteria	Supporting Document to be submitted along with EOI
1.	The bidder should have full ownership of the product or must be authorized representative of the product in India.	Necessary supporting documents
2.	The proposed product should be scalable, with open architecture / open standards and compatible with the third party APIs and the existing Applications running in the Bank	Necessary supporting documents
3.	Each Product/Service should meet the mandatory minimum specifications given in this document annex.	Necessary supporting documents



9. Submission of EOI

9.1 Only those Bidders who meet Eligibility Criteria given in Section 8 may submit their EOI.

9.2 Bidder should ensure that all products/services that they can work with in their Solution framework are mentioned, as this will be considered during evaluation.

9.3 **Bidder to clearly state the products/services they cannot support and integrate with the proposed solution.**

9.4 The following documents should be submitted as part of the EOI:

- i) Letter of Application of EOI for AMRMS – **Annex 1.**
- ii) Bidder's Details with supporting documents – **Annex 2**
- iii) Approach Paper for AMRMS – **Annex 3.**
- iv) Detailed technical BOM and Architectural Details – **Annex 4**
- v) Letter of self declaration for responding EOI process of AMRMS project – **Annex 5.**
- vi) Additional components, if any – **Annex 6**
- vii) Details of each installation in last 5 years (since 2010) – **Annex 7**
- viii) Any other information the applicant would like to provide - **Annex 8**

For e.g :

- a) Product and services related eligibility and specifications
- b) Products/Services supported and not supported by the Bidder etc.

9.5 **Approach Paper** - The bidder has to submit an approach paper on setting up AMRMS for RBI and share their vision consisting:

- a. **Framework:** Provide insight on the AMRMS framework.
- b. **Architecture:** Proposed architecture of the complete solution showing all the components at Primary and DR site.
- c. **Operations:** State different operations envisaged to be carried out by the AMRMS.
- d. **Governance:** Provide an insight on the governance model proposed for managing the AMRMS.
- e. **Roles & Responsibilities:** State the roles & responsibilities in AMRMS operations.
- f. **Products/services:** The products/services that the Bank proposes to procure for use by the AMRMS is mentioned in Para 6. Any additional components that are required for carrying out the functions mentioned should be included as Additional components. The process flow between various software/components proposed and how the bidder envisages integrating them for providing AMRMS services to RBI needs to be mentioned.
- g. **Threat Analysis & Threat Response:** Bidder shall share their approach for threat analysis & threat response.
- h. **Centralized Dashboard:** Bidder shall share the details for reporting and metrics envisaged in the solution.
- i. **Compliance:** Bidder shall explain how AMRMS is adhering to IT Act, ISO



27001, COBIT, ITIL standards and RBI's Information Security guidelines.

- j. **Scenarios:** Bidders shall submit scenario analysis /used cases for the proposed product/service, clearly stating the depth and coverage.

10. Evaluation of EOI

Please also see Annex 9 in this regard.

10.1 Short listing Bidders –

- 10.1.1 Bidders should comply with the terms and conditions mentioned in this document.
- 10.1.2 Bidders should be capable of supplying, configuring, integrating and supporting all the products / service mentioned in Section 6.
- 10.1.3 Bidders meeting the Eligibility criteria given in Para 8 will be invited to make a presentation on the proposal to the RBI Committee.
- 10.1.4 Bidders will be short-listed for next stage on the basis of the Evaluation of Bidders.

10.2 Short listing Products and Services -

- 10.2.1 Products/services proposed by the short listed bidders, as per process given in Para 10, will be taken up for further evaluation.
- 10.2.2 The bidder will have to arrange for a demonstration of the software proposed at Mumbai or at a location convenient to the Bank (within India) on a date to be specified by the Bank. All the specifications given in this document for the software/product and services will need to be demonstrated.
- 10.2.3 The proposed product/services should meet the Eligibility criteria given in Para 8 to be considered for evaluation.
- 10.2.4 The Products/Services will then be short-listed for next stage on the basis of Evaluation of the Product/Service.

11. Terms and conditions

General

- 11.1 **This document is neither an offer letter nor a legal contract, but an invitation for expressing interest for setting up AMRMS.**
- 11.2 No contractual obligation on behalf of the Bank whatsoever shall arise from this EOI process unless and until a formal contract is signed and executed by duly authorized officers of RBI and the bidder.
- 11.3 RBI may modify any / all of the terms of this invite giving due notification through the Bank's website (www.rbi.org.in). RBI may issue 'Request for Proposal' (RFP) only to select eligible bidders based upon transparently laid out norms set out in this document. The proposed RFP will provide the detailed scope of the implementation of the AMRMS.



- 11.4 RBI reserves the right to include/exclude any product/service to the list mentioned in Para 6.
- 11.5 RBI will not be liable for any costs incurred by the bidder in the preparation of the response to this invite or for arranging for demonstration.
- 11.6 Commercials should not be quoted at any place in the EOI document. Any bidder quoting commercial in the EOI document will be debarred and his bid will be rejected.
- 11.7 The Bidder should submit the response as per the desired format with all supporting documents.
- 11.8 Bidders should be willing to do product demonstration, lab visit, site visit or POC if required during technical evaluation of product either at the EOI stage or at the RFP stage.
- 11.9 The Bank may decide to implement solution/services for all or any of the areas mentioned above.
- 11.10 The short listing process will be as per Section 10 of this document.
- 11.11 If any information provided by the Bidder is found to be inaccurate at any stage of the selection process, the Bank may, at its discretion, disqualify and blacklist the bidder and no correspondence will be entertained in this regard.
- 11.12 Intellectual Property Rights for all modules / products developed specifically for the Bank and integrated in the Bank's AMRMS will rest solely with the Bank. This is a mandatory requirement and will form a part of the final contract between the bidder and the Bank.
- 11.13 The Bank reserves the right to reject any or all the offers at any stage of the process without assigning any reasons therefor.

Expression of Interest

- 11.14 Each page of the EOI should be signed by authorised representative of bidder.
- 11.15 Schedule of events is given in Section 1 of this document. RBI may at its discretion, change any date which will be intimated through a notification uploaded under the tenders section of the Bank's website.
- 11.16 EOI received after the scheduled time will not be accepted under any circumstance. RBI will not be responsible for any delay due to postal service or any other means.
- 11.17 EOI once submitted cannot be modified.
- 11.18 EOI in hard copy may be sent in sealed cover which should reach the address mentioned in Section 1 before the date and time mentioned therein.
- 11.19 All pages submitted as part of the EOI should be sequentially numbered.
- 11.20 A soft copy of the EOI including all supporting documents must also be submitted on a DVD along with the hard copy.



Clarifications

- 11.21 Bidders can raise any query/clarification directly by email as mentioned in Section1.
- 11.22 Clarifications will be provided at the pre-bid meeting and will be available on RBI's website under Tenders link. Queries should be submitted in the following format only.

Sr. No.	Page No	Para No	Description given in this document	Clarification Sought	Additional Remark (if any)

**Format for Letter of Application of EOI for
AMRMS**

[On the Letter head of the Applicant]

Date:

To
The Principal Chief General Manager
Reserve Bank of India
Inspection Department, Central Office
C-7, 8th Floor, Bandra Kurla Complex,
Bandra (E),
Mumbai – 400 051.

Ref: EOI for AMRMS project

Sir,
Being duly authorized to represent and act on behalf of (hereinafter referred to as “the Applicant”), and having reviewed and fully understood all of the qualification requirements and information provided, the undersigned hereby express Interest for setting up the AMRMS for RBI.

The following documents are submitted as part of the EOI:

- i) Letter of Application of EOI for AMRMS – **Annex 1.**
- ii) Bidder’s Details with supporting documents – **Annex 2**
- iii) Approach Paper for AMRMS – **Annex 3.**
- iv) Detailed technical BOM and Architectural Details – **Annex 4**
- v) Letter of self declaration for responding EOI process of AMRMS project – **Annex 5.**
- vi) Additional components, if any – **Annex 6**
- vii) Details of each installation in last 5 years (since 2010) – **Annex 7**
- viii) Any other information the applicant would like to provide - **Annex 8**

For e.g:

- a) Product and services related eligibility and specifications
- b) Products/Services supported and not supported by the Bidder etc.

Submitted for your consideration

Yours
faithfully,

(Signature of Authorized Signatory)
<NAME, TITLE AND ADDRESS>

FOR AND ON BEHALF OF
<NAME OF THE APPLICANT ORGANISATION>

Bidder's Details

[On the Letter head of the Applicant with approved signature and stamp]

Table 1. - Bidder Basic Details:			
Sl. No.	Company Information		Details
1	Name of Company:	Tel:	
2	Head Office Address:	Fax:	
3	Business Address and Contact name:		
4	Key Contact & Email ID:	Position:	
5	Company formed Year /Place / Core activities		
6	Details of registration (Provide Registration Number, ROC Reference Number with Date)		
7	Countries in which company has offices:		
8	Offices in India:		
	Product Development Centre:		
	Product Service Centre:		
9	Countries in which company has distributors:		
10	Number of certified engineers engaged in such project giving technical support in India		
11	Number of employees across the world excluding India		

Table 2. - Profits earned during last three years (FY)		All figures in Rs.(in lakhs)	
Particulars	2012-13 (Audited)	2013-14 (Audited)	2014-15 (Audited)*
Profit Before Tax			
Profit After Tax			

*Provisional, if audit for 2014-15 is yet to be completed

Table -3: Net Worth Details (as on 31st March) All figures in Rs. (in Lakhs)			
Particulars	2013 (Audited)	2014 (Audited)	2015 (Audited)*
(A) Share Capital			
(B) Reserve and Surplus			
(C)(-) Accumulated Losses, if any			
Total Net Worth (A) + (B) – (C)			

*Provisional, if audit for 2014-15 is yet to be completed

Table -4: Annual Turnover Details: (FY) All figures in Rs. (in Lakhs)			
Particulars	2012-13 (Audited)	2013-14 (Audited)	2014-15 (Audited)*
(a) Income from Software services and products			
(b) Other Income			
Total Income (a) + (b)			

*Provisional, if audit for 2014-15 is yet to be completed

Approach paper for AMRMS
[On the Letter head of the Applicant]

The approach paper of AMRMS as proposed by our organization<NAME OF THE APPLICANT ORGANISATION> is attached herewith containing details of following:

- a. **Framework:** Provide insight on the AMRMS framework proposed for building RBI's AMRMS.
- b. **Architecture:** Proposed architecture of the complete solution showing all the components at Primary and DR site.
- c. **Operations:** State different operations envisaged to be carried out by the AMRMS. A tentative list is given in section 6. Any operation not included or which should not be included as in section 6 may be indicated here.
- d. **Governance:** Provide an insight on the governance model proposed for managing the AMRMS.
- e. **Roles & Responsibilities:** State the roles & responsibilities in AMRMS operations. Highlight the responsibility area of vendor and the responsibility area of RBI. Also share the skills and capabilities envisaged for these roles.
- f. **Products and Services:** The products and services that the Bank proposes to procure for use by the AMRMS is mentioned in para 6. Any additional software that is required for carrying out the functions mentioned should be included as additional components. The process flow between the various softwares proposed and how the vendor envisages integrating them for providing AMRMS services to RBI needs to be mentioned.
- g. **Threat Analysis & Threat Response:** Vendor shall share their approach for threat analysis & threat response.
- h. **Centralized Dashboard:** Share the details for reporting and metrics envisaged in the solution.
- i. **Compliance:** Explain how AMRMS would adhere to ISO 27001, COBIT, ITIL standards and RBI's Information Security guidelines, etc.

Detailed Technical BOM and Architectural Details

[On the Letter head of the Applicant]

Detailed Technical Bill of Material (BOM) and Architectural details for AMRMS of RBI as proposed by our organization<NAME OF THE APPLICANT ORGANISATION> are attached herewith. The Technical BOM and Architectural details contains following details:

- i) Function wise list of products/services/components with quantity,
- ii) Comprehensive system software, hardware, databases, etc. requirement for Day one,
- iii) Licensing details for Day one,
- iv) Additional components(hardware, software, databases, etc) and licenses, if any, for **scalability** to be listed separately,
- v) Architectural details with high level diagram clearly indicating coverage of all locations.
It should include proposed setup at Production and DR site,
- vi) Integration of all such products to form AMRMS for RBI,
- vii) Other details if any

***No commercial should be mentioned in BOM or EOI submission.**

Format for Letter of Self Declaration

[On the Letter head of the Applicant]

Date:

To

The Principal Chief General Manager
Reserve Bank of India
Inspection Department, Central Office
C-7, 8th Floor, Bandra Kurla Complex,
Bandra (E)
Mumbai – 400 051.

Sub: Self Declaration for responding EOI process of AMRMS Project

Sir,

Being duly authorized to represent and act on behalf of
..... (hereinafter referred to as “the Applicant”),
and having reviewed and fully understood all of the qualification requirements and
information provided, I hereby declare the following statements:

1. I hereby declare that my company has not been debarred/black listed by any Government / Semi-Government organizations in India. I further certify that I am competent officer in my company to make this declaration.
2. The applicant has approached authenticated sources in RBI regarding all its queries and has received desired information. Further the applicant does not rely only on the information provided in the invitation of EOI in submitting response to the EOI document.
3. Commercial has not been quoted by the applicant at any place in the response of EOI document.
4. The applicant has submitted the response of EOI as per the desired format of RBI with all supporting documents which are true and accurate. Each page of the EOI response is signed by authorised representative of the applicant and documents from OEMs is signed by both authorised representative of OEMs and the applicant. OEMs have submitted documents through the applicant as per format prescribed for OEMs by RBI.
5. The applicant understands that if at any stage, information provided by the applicant/OEMs is found to be inaccurate, the Bank may, at its discretion, disqualify and blacklist the applicant and/or OEMs.
6. The applicant will provide demonstration of products, arrange lab visit, site visit or POC if required by RBI during technical evaluation of the product to cross check functionalities. The applicant/OEMs will ensure the availability of necessary environment in all aspects for RBI’s verification process.

7. The applicant understands that the Bank retains the right to ask to demonstrate certain scenarios, details of which will not be provided in advance, the right to reject the offer at any stage of the process without assigning any reasons and the Bank will not be liable to pay any costs incurred by the vendor during technical verification process.
8. The applicant understands that the Intellectual Property Rights for all modules/products developed specifically for the Bank and integrated with the Bank's proposed AMRMS project will rest solely with the Bank and no claims will be made in this regard by the applicant and OEMs.
9. The applicant has not been involved in any legal case that may affect the solvency/existence of the applicant or in any other way affect the applicant's capability to provide/continue the services to the Bank, if the Bank selects the applicant for its AMRMS project.
10. The applicant accepts to follow all the clauses, terms and conditions as set in the EOI document.

Yours faithfully,

(Signature of Authorized Signatory)
<NAME, TITLE AND ADDRESS>

Additional Components

[On the Letter head of the Applicant]

Details of Additional components for AMRMS of RBI as proposed by our organization

.....<**NAME OF THE APPLICANT ORGANISATION**> are attached herewith.

Following are the details:

- i. Functionalities and Value addition to AMRMS by additional components,
- ii. Function wise list of additional products/services/components with quantity,
- iii. Comprehensive system software, hardware, databases, etc. requirement for Day one
- iv. Licensing details for Day one,
- v. Hardware, software, databases, licenses, etc. required, if any, for **scalability** to be listed separately,
- vi. Architectural details with high level diagram clearly indicating coverage of all locations. It should include proposed setup at Production and DR site,
- vii. Integration of all such products to form AMRMS for RBI,
- viii. Other details if any

***No commercial should be mentioned in BOM or EOI submission**

Experience: Details of each installation in Last Five Years (since 2010)				
Information is provided as per attached format for each				
Particulars		Details		Supporting Documents Attached (Yes / No)
Name of Customer				
Head Office Address:				
Website:				
Key Contact & Email ID:	Position:			
Project cost and Location of installation				
Date of start and completion (user acceptance)		Start Date: End Date:		
Nature of Project with role of the company, whether complete end-to-end involvement or for a particular module - Please provide details				
Broad details in terms of architecture, system software, hardware, databases, licenses, storage, etc.				
Name, version and other details of product/service installed and configured at customer end				
Sizing details of product/service				
Name, version, sizing and other details of products/services out of remaining six product/services (Para 6.1), which were also provided in above implementation				
Details of Project Manager, Team leader and team members, if same are proposed for RBI.				
Any other information, if any				

Any other Information the Applicant would like to provide

For e.g :

- a) Product and services related eligibility and specifications
- b) Products/Services supported and not supported by the Bidder etc.

Evaluation of Bidder would be based on the following (On meeting Eligibility criteria in EOI)	
1	Details of their experience and expertise in handling similar projects (Experience and Expertise of Bidder – Table 1)
2	Details of the proposed AMRMS framework / approach, architecture, Technical approach, etc. (Approach Paper – Annex 3)
3	Details of personnel on roll with their experiences in AMRMS. Also give detailed map of certifications on products/services (Personnel details – Table 2)
4	Presentation to Committee on overall solution proposed, expertise and experience in AMRMS solution, integration experience, etc.