



राष्ट्रीय  
आवास बैंक  
NATIONAL  
HOUSING BANK

***REQUEST FOR PROPOSAL (RFP)  
FOR  
SETTING UP A SECURITY OPERATIONS  
CENTRE (SOC), SIEM AND SECURITY  
TOOLS IMPLEMENTATION***

*September 15, 2020*

***RFP REFERENCE NO.: NHB (ND)/CISO/OUT05588/2020***

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## GLOSSARY

Abbreviation	Description
NHB	National Housing Bank
HO	Head Office, Delhi
RRO	Regional Representative Office
PSU	Public Sector Unit
PSB	Public Sector Bank /Nationalized Bank (total 20)
EMD	Earnest Money Deposit
PBG	Performance Bank Guarantee
AMC	Annual Maintenance Cost
BCP	Business Continuity Program
DR	Data Recovery
DC	Data Center
SIEM	Security information and event management
SOC	Security Operations Center
NCIIPC	National Critical Information Infrastructure and Protection Centre
IDRBT	Institute for Development and Research in Banking Technology
FY	Financial Year (1 April of any year to 31 March of next year)

### **Interpretation:**

- *The terms “RFP, Tender, Bid” have been used interchangeably and it shall be treated as one and the same for the purpose of this RFP document.*
- *All clarifications, amendments, modifications, supplemental RFP that may be issued in relation to this RFP shall be treated as part and parcel of the RFP and shall together constitute the RFP document.*
- *In case of any inconsistency or repugnancy between the numbers and words, the words would prevail over the numbers.*

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## 1. IMPORTANT BID DETAILS

1.	Date of commencement of sale/ download of Bidding/Tender/RFP Documents	15.09.2020
2.	Pre-Bid meeting with Bidders (Date and Time)	1500 Hrs 25.09.2020
3.	Last date and time for sale/ download of Bidding Documents	1800 Hrs 08.10.2020
4.	Last date and time for receipt of Bidding Documents	1800 Hrs 08.10.2020
5.	Date and Time of Technical Bid Opening	1500 Hrs 09.10.2020
6.	Cost of RFP (Non-refundable)	Rs.10,000/-
7.	Earnest Money Deposit Amount	Rs.1,00,000/-
8.	Place of opening of Bids	National Housing Bank, Head Office Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road, New Delhi – 11000

### Note: -

- Technical Bids will be opened in the presence of Bidders who choose to attend as above. The above schedule is subject to change. Notice of any changes will be provided through e-mail from designated contact personnel only or publishing on NHB's website. Further, please note that Commercial Bid opening Date, Time & Venue will be intimated to the technically qualified Bidders at a later date.
- All data/information, submitted vide documentary proofs/company records along with this RFP, must be reported & will be treated as on date of publication of this RFP.

## 2. NATIONAL HOUSING BANK

National Housing Bank (NHB), a statutory body under Govt. of India, established under an Act of the Parliament.

- NHB has been established to achieve, inter alia, the following objectives –
  - To promote a sound, healthy, viable and cost effective housing finance system to cater to all segments of the population and to integrate the housing finance system with the overall financial system.
  - To promote a network of dedicated housing finance institutions to adequately serve various regions and different income groups.
  - To augment resources for the sector and channelize them for housing.
  - To make housing credit more affordable.
  - To supervise the activities of housing finance companies based on supervisory authority derived under the Act.
  - To encourage augmentation of supply of buildable land and also building materials for housing and to upgrade the housing stock in the country.
  - To encourage public agencies to emerge as facilitators and suppliers of serviced land, for housing.
- The head office of NHB is located in New Delhi and a regional office located at Mumbai. It has representative offices located at Hyderabad, Bengaluru, Kolkata and Ahmedabad.

### 3. PURPOSE

National Housing Bank (hereinafter referred to as the “Bank” or “NHB”) proposes to invite Request for Proposal (RFP) tenders from the eligible bidders to provide following services:

- a. To find a suitable bidder to provide Managed Security Service (MSS)/ Security Operation Centre (SoC) services at national scale with Managed, Detection and Response capabilities as defined by the RBI guidelines. Bank expects all bidders to have proven experience in the implementation, integration and managing of Security Operation Centre (SoC).
- b. To implement and operate a 24\*7 security operation center integrated with NHB IT Systems using standard methods / protocols/ message formats to support Bank’s critical applications.
- c. To prepare the baseline for the level of logs to be enabled from different components of NHB IT infrastructure assets and support Bank team in enablement of logs.
- d. To provide the log collector and the log manager and implement a cost effective architecture for remote log collection.
- e. To ensure all critical logs and audit trails of identified servers are enabled and monitored.
- f. To train and upskill Bank’s team on security operations and governance skills
- g. To provide necessary reports and dashboards in timely manner
- h. To support Banks in their security audits with relevant artefacts

The Request for Proposal document contains statements derived from information that is believed to be relevant at the date but does not purport to provide all of the information that may be necessary or desirable to enable an intending contracting party to determine whether or not to enter into a contract or arrangement with NHB. Neither NHB nor any of its employees, agents, contractors, or advisers gives any representation or warranty, express or implied, as to the accuracy or completeness of any information or statement given or made in this document. Neither NHB nor any of its employees, agents, contractors, or advisers has carried out or will carry out an independent audit or verification exercise in relation to the contents of any part of the document.

Subject to any law to the contrary, and to the maximum extent permitted by law, NHB and its officers, employees, contractors, agents, and advisers disclaim all liability from any loss or damage (whether foreseeable or not) suffered by any person acting on or refraining from acting because of any information including forecasts, statements, estimates, or projections contained in this RFP document or conduct ancillary to it whether or not the loss or damage arises in connection with any negligence, omission, default, lack of care or misrepresentation on the part of NHB or any of its officers, employees, contractors, agents, or advisers.

### 4. OBJECTIVE

The objective of this project is to comply with the circulars and advisories issued by CSITE, RBI and to implement a robust Cyber Security Operation Center (C-SOC) in the Bank to prohibit/fight against Cyber Security Threats. The threat landscape will consist of the applications, servers, network appliance and other technologies that support the critical infrastructure.

### 5. SCOPE OF WORK

This section provides the scope of work for this RFP. Selected bidder will be responsible for integrating, operating and 24\*7 monitoring Bank’s SOC, equipped with set of tools such as, Security Information and Event Management (SIEM), Threat Intelligence Platforms (TIP), and all other tools that are required to comply to the scope and service levels at bidder’s site. SIEM solution offered should support sustained 5000 EPS (Events per Second) and/or equivalent Flow records per second with 35% buffer capacity. Bidder to also provide a scalability roadmap to 8000 EPS and/or equivalent flow records per second.

- a. Install and commission adequate log collector at Bank sites. Ensure that logs are being collected from all the in-scope devices. As appropriate suggest Bank and related stakeholders on required log-levels and support Bank in enabling the suggested log levels
- b. Integrate and monitor all logs through a SIEM. Create correlation rules and customize existing rules and use cases for proper security monitoring and incident reporting. Bidder should use proven threat feeds to proactively identify threats in Bank's environment
- c. Provide 24\*7 Incident Management support
- d. Integrate the tickets with Bank's ticketing tool
- e. Provide information and specifications required at Bank side and support in enabling them
- f. Work with Bank and its partners to integrate the SOC solutions with existing IT environment, and log collectors and other IT solutions
- g. Complete adherence to the service levels as mentioned in the RFP
- h. Write parsers, connectors and other programs as necessary to enable integration of all in-scope components and operationalization of the same
- i. Ensure proper archival, purging and retention of logs for future analysis as per Bank's requirement
- j. Bidder can suggest more technologies as relevant for security of Bank. The bidder responsibility is to integrate and run the SOC operations for three (3) years as per the service level agreement defined in this RFP. The bidder is supposed to bring in all kinds of hardware, software, storage required to realize Bank vision and purpose as outlined above.
- k. Bidder to call out any responsibility required from Bank and any exclusions. Anything not explicitly called out and mutually agreed with Bank will become responsibility of Bidder to meet the scope and service levels.
- l. Bidder to ensure their SoC remains compliant to RBI regulations and laws of land. Bidder has to ensure compliance to any change in future regulations at Bidder's own cost.
- m. Bidder to provide complete support and artefacts to Bank or Bank appointed third party for the audit to be carried out.
- n. Bidder shall store all the logs for minimum 1 year – of which 3 months will be stored on-line. Bidder should be able to provide the stored logs to Bank if need be within a day's notice and without any cost to Bank. Bank may ask logs for any time duration of the storage or applying any filter.
- o. Bidder shall submit SOP for the operations/activities carried out at Bank's premises. The same will be updated during the period of contract as per requirement. Bidder will ensure that at the time of replacement of appointed project resource, the SOPs are duly handed over under intimation to Bank

## 5.1 DEPLOYMENT MODELS & SERVICE DELIVERY METHODOLOGY

The Bank is envisaging a model that will be a combination of onsite and remote services offered by the Bidder. Remote services shall be offered by the Bidder from their own Security Operations Centre (SOC). Onsite service shall include deployment of one (01 no.) resource (L2 level) for coordinating incident management, at Bank's preferable premise at Delhi during business hours (10 am- 6 pm; Monday to Saturday). The onsite resource will report to CISO and will be provided with a desktop/ laptop by the selected bidder at Bank's identified location to analyze the SOC dashboards/data. Bank will only provide the screen; the data enablement and connectivity should be performed by the bidder. The onsite resource should be able to answer all queries of Bank personnel and should have access to all relevant data. The deployment of SOC services in the Bank is divided into two phases which is described below: -

### Phase I- Implementation

Bidder shall deliver the Security Monitoring Services by deploying a model in which the log collector is deployed at Bank's premise and other components like log storage, correlation and monitoring happens at bidder's SOC. Log Storage shall be done at bidder's SOC as well other components such as SIEM/ Rules & correlation engine, advanced detection, triggering & response platforms are at bidder's SOC as per regulatory guidelines. All integration of Bank's devices and applications with SIEM tool shall be completed under phase I. Additionally, log collectors and central log manager shall be deployed at Bank's Data Center and Data Recovery site.

## Phase II-

Under this phase, the bidder shall deliver the Security Monitoring Services by commissioning and managing a complete SOC model. Bank operations shall be monitored 24\*7 from Bidder's SOC. Bidder need to specify and detail out responsibilities with the Bank. Bank will not perform any other responsibility unless specified. Bidder will have to provide a declaration that Bank's log data are stored within India boundaries and under no circumstances shall leave country's jurisdiction.

### Notes-

1. In the above phases the management of devices, platforms & 24x7 monitoring, incident analysis etc. shall be performed from bidder's SOC. In any case bank shall not procure any license (for SIEM or any other tool) or any software/ hardware required for setup and operationalizing the SOC.
2. Bidder to consider DR requirements in the proposed design since the monitoring service is required for devices installed at Bank's DR site as well. Bidder SoC should also have a DR facility (both people and technology DR)
3. Bidders should clearly mention the type of technologies to be used for creating the SOC setup for the bank such as SIEM & other related technologies.
4. Any interfaces/custom connectors required for integration be developed by the bidder for successful implementation of the SOC at no extra cost to the bank.
5. Bidder to provide support to the Bank's team in identification of correct log baselines & configuration changes required for effective correlation & monitoring.

Overall scope to ensure full coverage of 24\*7\*365 log monitoring aspects of various security solutions, devices, software, applications like firewalls, network intrusion prevention systems, WAF, DAM, PIM, DLP, Anti-DDOS, Anti-APT, Deception, etc. and critical network security devices at the Data Centers, Data Recovery (DR) Site (near DR and far DR), branches and other locations identified by National Housing Bank. Scope involves on-boarding of such devices to the monitoring platform, transition to new devices, at no additional cost to the Bank.

It should be noted that program management of the entire program – including bidder's own responsibilities, reporting and metrics for Bank, ISPs and other third parties is bidder's responsibility. It is expected that bidder will set-up a program management office. For the three (3) years, the bidder is supposed to run the operations and provide regular reports, complete insight and right to audit to Bank.

The bidder is responsible to ensure that the SOC solutions and operations comply with information security policies and industry leading standards (such as ISO 27001 etc.) and any applicable laws and regulations.

Development and implementation of processes for management and operation of the SOC including (but not limited to) the following processes:

- SoC monitoring
- Incident detection, response and handling
- Threat intel and analytics
- SoC use case management
- Capacity management
- Problem management
- Release management
- Quality assurance
- Incident triaging and Escalation management processes
- Configuration and Change Management
- Breach response and investigations

- Daily standard security operating procedures
- Training procedures, playbooks and material
- Reporting metrics and continuous improvement procedures
- Data retention and disposal procedures
- BCP and DR plan and procedures for SOC
- Brand monitoring and protection service

## 5.2 SCHEDULE OF REQUIREMENTS

Through this Request for Proposal (RFP), the Bank wants to identify competent bidders for designing and implementing the cost effective and comprehensive IT security log monitoring service as per the below criteria:

Functional Principles: The Intent for implementing a SOC at National Housing Bank is covered in the below functional principles:

- **Detection of Information Security Threat & Prevention of Impact/ Breach:** The SOC should be able to proactively identify information security threats/ vectors targeting bank's environment and prevent impact or breach due to them through implementation of adequate security mechanisms.
- **Incident Management:** Reporting and logging of information security incidents through the use of appropriate ticketing tools. Track and monitor the closure of these information security incidents and Escalation of these incidents to appropriate teams/ individuals in the bank if required.
- **Continuous Improvement:** Continuously improve SOC operations and provide evidence to the Bank. Mean time to detect need to be reduced every quarter
- **Regulatory compliance:** Bidder's SoC should be fully compliant with regulations of RBI, India laws (both current and any changes during the term of the engagement)

The Bank is envisaging a Managed Security Services model under which the prospective bidder shall provide 24x7 monitoring from bidder's SOC. The scope would involve monitoring of core infrastructure & security components at Bank's Managed Data Centre (Delhi) & Disaster Recovery Centre (Mumbai), Head Office (Delhi), offices in Mumbai, Hyderabad, Bangalore, Chennai, Kolkata and Ahmadabad.

The bidder is required to integrate the core Infrastructure (Servers, Network) Devices including Firewalls/UTM, IPS devices, Web Security Appliances, Host Intrusion Prevention Systems, File Integrity Monitoring Solution, Data Leakage Prevention Solution, Web Application Firewalls, Privilege identity Management Solution, Anti APT Solutions, Network Behavioral Anomaly Detection, Network Access Control, DAM etc. with the proposed SIEM solution. Logs received from all these devices have to be correlated, analyzed for detection of threats, unusual user behavior & proactive incident analysis in real time manner.

Bank is looking for a Security Service Player which shall provide a "second layer of eyes approach" on the existing internal Security Controls & Monitoring services & help in augmenting the existing internal capabilities by having advanced SOC capabilities focused on detection of advanced threats apart from the traditional rule based SIEM capabilities such as:- MDR Methodology (Managed Detection & Response), which can help bank to have a proactive approach in determining the known & unknown threats faced by the Bank to reduce the risk of breach of data & systems.

## 5.3 SCOPE IN TERMS OF THE NUMBER OF SERVICES /DEVICES

The project scope in terms of the number of services /devices is as follows: -

### SOC Integration

S. No.	Item Description	Total No. of units*
1.	No. of Windows Servers	115
2.	No. of Linux Servers	12
3.	No. of ESXI Servers	4
4.	No. of Security & Network Devices	46
5.	Web Server	11
6.	Database Server	8
7.	Application	7
8.	Anti-virus / Anti-malware	1
9.	Patch Management	1
10.	Network Intrusion Prevention System	2
11.	Email security/ Anti-SPAM Filter	1
12.	Web Access Security / Proxy	1

**\*overall 15% variance be considered on total number of units**

#### 5.4 SCOPE OF CORE SERVICES

The scope of services to be provided by the bidder are as follows:

S. No.	Technical Specification	Requirements
1	SIEM Solution	<ul style="list-style-type: none"> <li>• Log and Flow (Data) Collection</li> <li>• Data aggregation and normalization</li> <li>• Data encryption, compression and transmission</li> <li>• Data Archival as per agreed time frames</li> <li>• Log Correlation</li> <li>• Alert generation</li> <li>• Integration with in-scope devices</li> <li>• Building of custom parser as required to integrate logs of the mentioned devices</li> <li>• Custom Correlation Rules as per Bank's requirement</li> </ul>

2	Threat Responses and Security Incident Management Services	<ul style="list-style-type: none"> <li>• Threat Responses and incident management on the basis of status, priority etc. as defined and agreed with the Bank.</li> <li>• 24*7 event analysis with the statistical events correlation rules. This should include the correlation of the events from Firewalls, Servers, Applications, Database Events for the critical assets</li> </ul>
3	Logging Capability and Storage	<ul style="list-style-type: none"> <li>• 24*7 logs &amp; audit trails</li> <li>• Monitoring for the security events and raise the incident for any security breach</li> <li>• Incident response SLA to be defined and agreed with the Bank</li> <li>• The solution should ensure Archival, Purging and retention of logs for future analysis as per the RBI guidelines and Bank's security policies</li> <li>• Solution should be capable of assisting in finding log entries on originating systems for use in forensic investigations</li> <li>• The logs should be transmitted in encrypted format</li> <li>• Proactively monitor and inform bank team if logs are not receiving at SOC from log source</li> <li>• Logs older than year should be kept in tapes for a period of 5 years.</li> <li>• As appropriate, bank can ask for logs and bidder has to supply to Bank on Bank preferred medium</li> </ul>
4	Ticketing and Reporting Solution	<ul style="list-style-type: none"> <li>• End-to-End report for an incident</li> <li>• Generation of advisories</li> <li>• Bidder must customize incident management/Dashboards/Reports for Bank and will modify the same as per the changing requirement of the Bank</li> <li>• Incident ticket will be opened in bidder's Ticketing System for any security breach or virus outbreak</li> <li>• Bidder has to suggest the possible remediation steps &amp; the output of analysis for the Bank as per the defined and agreed SLA and severity of the incident</li> <li>• All closure of tickets and follow-up with respective Bank team members for the security incident ticket must be done as per the defined and agreed SLA and severity of the incident</li> <li>• Provide daily report of critical and High incidents. Provide the monthly and weekly reports to summarize the list of incidents tickets.</li> </ul>
5	Workflow automation	Bidder to provide workflow automation so that applications, infrastructure are integrated automatically, and manual intervention is minimal

6	Sizing	Bidder to calculate exact sizing requirements of Bank and provide solutions accordingly.
7	SOC Security	<ul style="list-style-type: none"> <li>• Bidder to ensure that managed SOC facility is secure with up to date tools such as, routers, switches, firewalls, IPS/IDS, gateways, DNS, VPN, DHCP, anti-virus, file integrity, proxy</li> <li>• The solution should support all standard built applications without any additional cost. Solution should support agent-less architecture</li> <li>• Connectors for all the standard applications and devices must be readily available with the bidder and connector for custom built applications will need to be developed.</li> </ul>

## 5.5 PROJECT TEAM STRUCTURE

All team resources included in both the Phase I and Phase II should be on the payroll of Bidder. To execute responsibilities at the SOC appropriately, employees are required to fulfill certain prerequisites in terms of skill and experience. The following table elicits these requirements for the identified roles and job description of each role in SOC team:

S.No.	Job Profile	Job Description	Qualification & Skills	Certifications
1.	SIEM Architect	<ul style="list-style-type: none"> <li>• Responsible for architecting SIEM solutions to improve the security value, service management, and scalability</li> <li>• Understand the current and target state of the SIEM and insure effective and efficient incident identification, resolution and root-cause analysis is leveraged through productive implementation of the platform</li> <li>• Creation of architecture diagrams, workflow models and proposals/ presentations</li> <li>• SIEM designs and implementations</li> <li>• Evaluate existing log &amp; data domains, SIEM processes and tools and effectiveness measures to identify critical elements, weaknesses and opportunities for improvement.</li> </ul>	<ul style="list-style-type: none"> <li>• 7-10+ years of applied technology experience in defining strategy around security monitoring, incident management, regulatory compliance and process improvement.</li> <li>• Master's degree, or demonstrated experience and delivery in information security, data management or computer science</li> <li>• Working knowledge of SIEM, threat trends and vectors, and IT/IS architectural design are required</li> <li>• Experience creating rules, alerts, content and reports within a complex SIEM environment.</li> <li>• Demonstrated expert level experience with HPE ArcSight, Splunk, and Hadoop, including log consolidation, correlation, content creation, workflow</li> </ul>	CISSP/CEH/ CCNA/OSCP

			<p>management and process improvement.</p> <ul style="list-style-type: none"> <li>• Expert troubleshooting and break fix experience with SIEM environments required</li> <li>• Understanding of Network Firewalls, Load Balancers and Complex System Designs</li> <li>• Proficient with Software Development Life Cycles (i.e. ITSA, etc.)</li> </ul>	
2.	SIEM Analyst	<ul style="list-style-type: none"> <li>• Analyze and investigate security events from various sources;</li> <li>• Manage security incidents through all phases of the incident response process through to closure;</li> <li>• Using SIEM, Full Packet Capture, Intrusion Detection, Vulnerability Scanning and Malware analysis technologies for even detection and analysis.</li> <li>• Update tickets, write incident reports and document actions for false positive reduction;</li> <li>• Developing knowledge of attack types and fine tuning detective capabilities such as writing Snort/Sourcefire signatures;</li> <li>• Identifying log sources and examining system logs, which should record sufficient details about the normal activities of the system to allow a history of events to be reconstructed, making use of appropriate forensic techniques and technologies;</li> <li>• Undertake computer forensic investigations. Such as examining running processes, identify network connections on a host, examining log data, disk imaging and memory capture;</li> <li>• Maintain and support the operational integrity of SOC toolsets</li> </ul>	<ul style="list-style-type: none"> <li>• 2-3 years of experience in working with SIEMs/SEMs and other log analysis technologies</li> <li>• Bachelor's in Computer Science or Computer Engineering</li> <li>• Detailed understanding of the TCP and IP protocol suites and ability to dissect and explain the contents of traffic and packets.</li> <li>• Demonstrated ability to work well independently with little input, and as a part of a team</li> <li>• Experience with configuration of debug, event generation and logging functionality within application and operating systems, using Syslog or flat file generation.</li> <li>• Operating systems and system administration skills in at least one of the following (Windows, Solaris, Linux) including good command line skills.</li> </ul>	CEH/ CCNA/ CWAPT Certified Penetration Tester/ Certified Reverse Engineering Analyst

		<ul style="list-style-type: none"> <li>Proactively pursue, validate and report any system security loopholes, infringements and vulnerabilities that may come to light, to the Security Operations Centre Manager in a timely manner;</li> </ul>		
3.	Threat Intelligence Analyst	<p>Threat Research collaborate with customers to determine their most difficult cyber, analytics, machine learning, optimization and computer networking problems; Research solutions to challenging cyber, analytics, machine learning, optimization and computer networking problems. Identify, create, and propose new research projects.</p> <p>Experience in comprehending advanced persistent threats, malware, emerging threats, as well as experience in a large corporate environment</p> <p>Understanding of attacks, attack vectors, kill chain methodology</p> <p>Expertise in big data and complex queries across multiple platforms.</p> <p>Strong understanding of malware analysis, threat taxonomy and threat indicators</p> <p>Ability to work with multiple security technologies</p>	<ul style="list-style-type: none"> <li>4-5 years working experience as Research Engineer/ Specialist</li> <li>Bachelor's/Master's degree/PhD in Computer Science or Computer Engineering</li> </ul>	CCNA/OSCP/CCSP/CEH/CHFI
4.	SOC Operator (L1 level)	<ul style="list-style-type: none"> <li>Incident detection</li> <li>24*7 monitoring of incidents and raise alerts</li> <li>Incident reporting and escalation</li> <li>Report creation</li> <li>Security patch advisories</li> <li>System health monitoring</li> </ul>	<ul style="list-style-type: none"> <li>B.Tech. in computer science/ computer science graduate</li> <li>1 year experience in SIEM, log monitoring and incident ticket handling</li> <li>Experience in 24*7 monitoring</li> </ul>	CEH/CCNA/CompTIA security+
5.	SOC Analyst (L2 level)	<ul style="list-style-type: none"> <li>Implementation and management of security gateways, VPNs</li> <li>SIEM product administration</li> </ul>	<ul style="list-style-type: none"> <li>3-5 years of experience in SIEM, log monitoring, event correlation and analysis</li> </ul>	CCNA/CEH

	Onsite resource	<ul style="list-style-type: none"> <li>• Incident validation</li> <li>• Detailed analysis of attacks and incident response</li> <li>• Solution recommendation for issues</li> <li>• Manage security devices</li> <li>• Risk analysis for change management for security devices</li> <li>• Escalation point for device issue resolution</li> <li>• Resolve escalation</li> <li>• Identified missed incidents</li> <li>• Maintain knowledge base</li> <li>• Defining security breaches</li> <li>• Follow-up with the concerned departments/vendor on the remediation steps taken</li> <li>• Resolve queries from Bank's stakeholders</li> <li>• Coordinate and be present to discuss with Bank stakeholders in person</li> </ul>	<ul style="list-style-type: none"> <li>• Bachelor's/Master's degree in Computer Science or Computer Engineering</li> <li>• Experience in vulnerability assessments, penetration testing</li> <li>• Experience in handling events, patch management, configuration management</li> <li>• Understanding of TCP/IP, networking concepts and internet protocols</li> </ul>	
6.	SOC Manager (L3 Level)	<p>The technical team leader will be responsible for:</p> <ul style="list-style-type: none"> <li>• Troubleshooting technical problems for the successful execution of project.</li> <li>• Implementing changes to meet Bank's demands and specification.</li> <li>• Providing direction, instructions and guidance to the team for the purpose of achieving a certain goal.</li> <li>• Developing and implementing a timeline their team will use to reach its end goal.</li> <li>• Track incident detection and closure</li> <li>• Present regular metrics and reports</li> <li>• Identify new alerts requirement</li> </ul>	<ul style="list-style-type: none"> <li>• 8-10 years of experience in SOC technologies</li> <li>• Bachelor's/Master's degree in Computer Science or Computer Engineering</li> <li>• Comprehensive management experience in leading large scale security operations</li> <li>• Experience in rollout of SOC development, integration and commissioning</li> <li>• Experience in setting up SOC processes</li> <li>• Domain experience in threats and vulnerabilities</li> <li>• Knowledge of system administration of networking devices like Firewall, IDS/IPS, switches, routers, VPN gateways, TCP/IP, etc.</li> </ul>	CISSP/CISA/ CCNA/CCSP /CEH/CHFI

	<ul style="list-style-type: none"> <li>• Ensure services are being provided within SLA parameters</li> <li>• Performing periodic DR drill</li> <li>• Follow-up with departments for closure of various reports/incidents and escalate long outstanding issues.</li> </ul>		
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- Bidder's resources deployment should ensure a 24\*7 operational SOC. No additional resources shall be added to the project without the bank's explicit approval.
- Bank reserves the right of scanning / evaluating / interviewing the profiles selected for the project and requires commitment (at the time of bidding / evaluation phase) from the participant to provide profiles of 'Key Resources who will be engaged in the project (e.g. Project Manager, Architect, SME etc.).
- The cost of the resources as provided in the Final commercial bill of materials shall be considered as fixed for the term of the project and the bank may procure additional resources at the cost not necessarily as per the above mentioned ratio.
- Quality of Staff-** Successful bidder/ SOC provider will have to submit names and profiles of the resources working the project on a quarterly basis and match the criteria in the RFP. SOC provider will also be required to submit an undertaking on a quarterly basis, that no one, other than profiles shared with the Bank, are deployed on the project. The Bank reserves the right to have discussions with the randomly selected resources on work done.
- Availability of Onsite Resource (deployed at Bank premise)-** The resource shall be required to fill and submit an attendance sheet (in a manner acceptable to the bank). Working hours and days shall be aligned with the Bank's calendar. Leaves will have to be approved by Bank's designated officer. Up to 15 days of leaves per year shall be acceptable without any commercial impact to the SOC provider.
- Replacement of Resource-** In case the SOC provider requires to replace an existing project resource (for valid reasons), such replacement shall- (i) require minimum one month of notice to the Bank, (ii) ensure that new profile is equivalent to or with higher experience and qualification as compared to the outgoing resource, (iii) ensure that new profile definitely matches the RFP requirement for the role, (iv) ensure a minimum hand-holding period of one week (6 working days) or as may be required by the Bank. In a quarter maximum one such replacement shall be allowed. The Bank reserves the right to ask for replacement of any personnel on grounds of conduct and/ or performance.

#### Manpower Support working days schedule:

S.No.	Job Profile	No. of Shifts	Working days
1.	SIEM Architect	1	Monday to Saturday except Sunday and Bank holidays
2.	SIEM Analyst	1	Monday to Saturday except Sunday and Bank holidays
3.	Threat Intel Analyst	1	Monday to Saturday except Sunday and Bank holidays
4.	SOC Operator (L1)	3	365 days of a year and total term is three years
5.	SOC Analyst (L2)	2	365 days of a year and total term is three years
6.	SOC Analyst (L2)	1	Monday to Saturday on Premise of Bank except Sunday and Bank holidays

7.	SOC Manager (L3)	1	365 days of a year and total term is three years
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Shift: 8 Hours a day.

Bidder should ensure the overlap between resources coming in shifts

## 5.6 DETAILED TECHNICAL REQUIREMENTS

### 5.6.1 SECURITY INFORMATION AND EVENT MANAGEMENT (SIEM)

Security Information and Event Management (SIEM) will be used to capture, correlate, monitor and alert all the incoming data to Bank from different source. The tool will be receiving log data as well as data packets from different sources and must have the capability to ingest and correlate both log data as well as flow data. Tool must meet the objective of Bank to detect any anomalous behavior by analyzing the incoming traffic. Below table states the features of a SIEM tool as cited by Bank, however, the features are not restricted to the below mentioned list, but the tool is required to have the below mentioned features:

S. No.	Specification of SIEM Tool	Compliance / Non-Compliance
<b>General Features</b>		
1.	The solution should be an appliance or software with a clear physical or logical separation of the collection module, logging module and co-relation module	
2.	The solution's licensing should be by the number of events per second and/or flow records per second, and the payout should be as per the events per second and/or flow records per second handled	
3.	The solution should be able to support automatic updates with minimal user intervention.	
4.	The solution must ensure all the system components continue to operate in case of any other part of the system fails or loses connectivity.	
5.	The solution must have an automated backup and recovery process	
6.	The solution must automate internal health checks and notify the user in case of problems	
7.	The solution should be able to continue to collect data during database backup, de-fragmentation and other management scenarios, without any disruption to service	
8.	The solution shall be able to capture all details in raw log, events and alerts and normalize them into a standard format for easy comprehension.	
9.	The solution should be able to part and filter logs on the basis of type of logs, date etc.	

10.	<p>In addition to the advanced analytics capabilities like MDR, solution should have capabilities to define rules on event logs captured from various sources to detect suspicious activities Examples:</p> <ul style="list-style-type: none"> <li>• Failed login attempts</li> <li>• Login attempts from suspicious locations</li> <li>• Authorization attempts outside of approved list</li> <li>• Vendor logins from unauthorized subnets</li> <li>• Vertical &amp; Horizontal port scans</li> <li>• Traffic from blacklisted IPs</li> <li>• Login attempts at unusual timings</li> </ul>	
<b>Collection Solution</b>		
11.	The solution should support log collection, flow collection and other standard method for integrating devices and applications. Logs obtained from Bank devices should be copied and stored in vendor SoC within 5 minutes from the actual log event at the integrated device	
12.	Bidder should collect logs and events from IT, security and network assets, operating systems, applications and databases.	
13.	The solution should have connectors or similar integrators to support the devices/applications, wherever required the bidder should develop customized connectors/integrators at no extra cost	
14.	The proposed solution should support collection of events through customization of connectors or similar integration for the assets that are not natively supported. Solution should adhere to industry standards for event collection: syslog, OPSEC, WMI, SDEE, ODBC, JDBC, FTP, SCP, HTTP, text file, CSV, XML file etc.	
15.	All log data to be authenticated (time-stamped across multiple timezone) encrypted and compressed before transmission to manager console	
16.	The solution should have high availability feature built in for automated switch over to secondary collector/integrator in the event of primary collector failing. No performance degradation is permissible even in case of failure	
17.	The solution should seamlessly integrate new devices with the environment without causing any disruption to ongoing services	
18.	The bidder should support and integrate data (log and/or flow) collection from different OS and their versions but not limited to Windows, Linux, AIX, Solaris etc., networking devices, security devices and solutions, physical access control systems, etc., as required by Bank.	

19.	The proposed solution should have connectors to support listed devices/ applications, wherever required the bidder should develop customized connectors.	
20.	The solution should provide time based, criticality based, store and forward feature at each data collection point	
<b>Collection Solution and Management Center</b>		
21.	The solution should have a centralized correlation engine and a management center/console which allows creation of an unlimited number of correlation rules	
22.	The solution should be able to perform different correlations (but not limited to): Rule based, Historical based, Heuristics based, Behavioral based, etc., across different devices and applications	
23.	The solution should be able to parse and correlate multi-line logs and flow data	
24.	The solution should have the ability to correlate all the field present in a log/flow data.	
25.	The solution should have the ability to gather information on real time threats and zero day attacks from anti-virus, IPS and IDS and analyses data against the information for any threats	
26.	The solution should provide a web-based, user friendly console or a wizard based console to create rule.	
27.	The solution should support logical operation and nested rules for creation of complex rules	
28.	The solution should allow applying filters and sorting of query results	
29.	The solution should be able to accept or integrate with asset details to provide asset level events, incidents, vulnerabilities and issues.	
30.	The proposed solution should have the ability to perform free text search on events, incidents, rules and other parameters	
31.	The solution should support integration with big data platforms	
32.	The solution must be able to integrate with real time threat intelligence feeds for the purpose of correlating events. These feeds should be updated automatically	
33.	The correlations engine should be updated with real time security intelligence updates from the OEM	
34.	The solution should be able to integrate with incident management and ticketing tools	

<b>Reporting</b>		
35.	The solution should provide a dashboard to display all the real-time events with drill-down functionality	
36.	The solution must provide different role-based, user-based views to the dashboards which can be customized as per the requirements	
37.	The solution should be able to generate reports of user activity, configuration change, attack source etc. The solution should have report customization and report writing tool for development of any ad-hoc reports	
<b>High-Availability and Redundancy</b>		
38.	The solution should have built-in High Availability feature. The failure to secondary unit must be automatic and there should not be any performance degradation during the failover	
39.	The collection solution, correlation Engine and the management console should support high-availability feature at individually.	
40.	Bidder should prepare a DR plan for switch over in case DC operations are down	
41.	The solution should allow for load balancing the network bandwidth	
42.	The solution should auto-failure to DR unit if the DC is down	
43.	The solution should auto replicate all the rules, logs, data, etc., to DR site for continuing the operations without any loss in data	
44.	All logs transferred to bidder's SOC should be Authenticated (timestamped across multiple time zones) encrypted and compressed before transmission.	
45.	The collectors should be able to store/retain both normalized & raw data for forensic purposes	
<b>Backup</b>		
46.	The solution should be able to integrate with 3rd party backup solutions to maintain a backup of SIEM	
47.	The solution should support configuration backup and data backup separately	
48.	The solution must support export and import of backed up configuration and data	

## 5.6.2 THREAT INTELLIGENCE & ANALYTICS

Threat Intelligence is the most important component in analyzing threats and security related incidents. Threat intelligence provides an overall picture of security across the globe. Threat Intelligence will enable Bank to identify domains, and other parameters which are nefarious in nature. These threat intelligence data need to be fed to the SIEM tool for better detection and quick response in case of security incident.

S. No.	Specification of Threat Intelligence	Compliance / Non-Compliance
<b>General Features</b>		
1.	Threat Intelligence should deliver a comprehensive range of timely adversary and technical threat intelligence through a customizable portal or Dashboard	
2.	Threat Intelligence should provide data feeds and API's for automated consumption by the SIEM Tool	
3.	Threat Intelligence provided must be relevant, context-rich, timely and accurate	
4.	Threat Intelligence feeds should contain who, how and why are you being targeted	
5.	Threat Intelligence must enable to perform countermeasures for current and future threats	
6.	Threat intelligence feeds should enable efficient security operations and reduce the time for investigation	
7.	Threat Intelligence should be capable to integrate with security, risk and management systems and provide insights about emerging and current threats	
8.	The threat intelligence feeds should be available in multiple formats (CSV, XML, CEF).	
9.	Threat intelligence should provide an insight into current and emerging threats	
<b>Threat Intelligence Portal/Dashboard</b>		
10.	The Threat Intelligence Portal/Dashboard should provide a complete range of adversary and technical intelligence.	
11.	The Threat Intelligence Portal/Dashboard should provide End-to-End picture of threats	
12.	The Threat Intelligence Portal/Dashboard should provide Adversary Intelligence	
13.	Threat Intelligence to provide reputation data feeds for actionable intelligence on IP addresses and Domains/URLs exhibiting malicious activity such as malware distribution and botnet command and control server communication. The data feeds should be derived from activity on	

	the Internet and a reputation score along with additional contextual attributes should be provided for each of the IP address and Domains/URLs.	
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### 5.6.3 ADVANCED ALERT ANALYTICS & ATTACK DETECTION CAPABILITIES

The alert analytics and attack detection capabilities will enable to identify anomalies, analyze threat level, and determine what mitigative action(s) may be required in response.

S. No.	Specification of alert analytics & attack detection capabilities	Compliance / Non-Compliance
<b>General Features</b>		
1.	The solution should have capabilities to detect any compromises by linking related alerts collected together over a period of time.	
2.	Solution should have capabilities to correlate alerts between sources & destination IPs to find similar or colluding threat signals.	
3.	Solution should have a knowledge base on methods used by attackers in various past breaches globally to create models to detect such attacks.	
4.	Solution should utilize data science techniques to identify kill chains for attacks such as lateral movements e.g. If a destination IP of one alert later becomes a source IP of another alert this suggests existence of a sequence.	
5.	Solution should have detection models to find out threat's sources are linked to the same attacker by grouping alerts with common characteristics like time, day location, target asset profiles etc.	

### 5.6.4 TICKETING TOOL

The ticketing tool is a centralized tool which will enable SOC team to raise trouble tickets in case of a security incident. The ticketing tool/solution will enable Bank to track incidents to closure. The ticketing tool will also be integrated with different incident management platforms and analytics platform to generate an automatic ticket in case of a security incident. The table below outlines the basic features that the ticketing tools should have (however the tool shouldn't be restricted to only these features):

S. No.	Specification of Ticketing tool	Compliance / Non-Compliance
<b>General Features</b>		
1.	The tool should be a software base solution which can be installed and configured on different OS like Linux, Ubuntu, Windows, etc.	
2.	The solution must have the option to be hosted on premise in Bank data center	

3.	Bidder should describe the solutions' implementation of best practice out-of-box	
4.	The solution should be able to integrate with Active directory for user authentication	
5.	The solution shall support ITIL v3 best practice for service desk and incident management process	
6.	Bidder shall provide a detailed description on how the solution will address multiple customer helps desk or call centers including capabilities, constraints and restrictions involved	
7.	The solution should easily initiate or transition into a major incident process from the incident process, including changing the categorization, escalation, emergency notifications and a critical incident management process	
8.	Bidder shall provide the solutions key features which support the ITIL v3 for different process	
9.	The solution should be capable enough to link incidents to completed changes with a complete change request	
10.	The solution shall identify a failed change and calculate SLA's for the change requests	
11.	The solution should be able to track and maintain a knowledge database	
12.	Bidder shall demonstrate how the solution will utilize the initial repository of knowledge database	
13.	The solution should be capable to track the tickets for until closure and a record of all the closed tickets	
14.	The solution should be able maintain a list of pending tickets and their SLA's	
15.	The solution should send regular updates to users for pending incidents	
16.	The solution should be able to create user based and role based access	
17.	The solution should provide dashboards for easy viewing tickets and their status	
18.	The solution should provide reports on various parameters like type of tickets, SLA, etc.	
19.	The solution should provide the flexibility to download report in different formats like PDF, EXCEL, etc.	

### 5.6.5 INCIDENT ANALYSIS & RESPONSE

The principal goal of the incident management process is to identify anomalous activities in the environment, contain those events and restore normal service operation as quickly as possible and minimize adverse impact on business operations, thus facilitating continued service quality and availability.

S. No.	Specification of incident analysis and response	Compliance / Non-Compliance
<b>General Features</b>		
1.	Solution should support auto-triaging of alerts from a number of security products including Firewalls, PIM, DLP, IPS, WAF, Anti-APT, HIPS, AV etc.	
2.	Solution should have advanced techniques such as machine learning that considers contextual parameters, historical behavior& external threat intelligence to score an alert based on criticality in real time.	
3.	<p>The Service Provider should provide automated incident analysis features/service for analysis of alerts received to answer the following:</p> <ul style="list-style-type: none"> <li>• Impact on the assets</li> <li>• Attributes of an attacker</li> <li>• Determine other assets which may have been compromised</li> <li>• Determine how long the attack campaign was &amp; where was first compromise</li> <li>• Maintain artifacts &amp; IOCs of an incident</li> </ul>	
4.	Bidder to describe how it performs a strong Incident Response Mechanism in providing Bank a comprehensive information about a potential incident, assemble the appropriate context, investigate as make recommendations so that Bank starts containment & remediation activities.	
5.	<p>Bidder should maintain an Incident Management Plan with at least the following:</p> <ul style="list-style-type: none"> <li>• Incident Management Plan &amp; Governance</li> <li>• Incident Response plan &amp; Governance</li> <li>• Workflows for Incident Management &amp; Response</li> <li>• Communications &amp; escalations Plan, Process &amp; Metrics</li> <li>• Incident Management &amp; Response Case Management</li> </ul>	
6.	Bidder will provide a detailed process for managing incidents - describing each phases of the process – prepare, identify, contain, eradicate, recover and learn from the incidents responded to.	
7.	Develop response plan/ strategy which will describe the prioritization of incidents based on the organizational impact	

8.	Deploy a skilled team for handling incidents. The incident handling team must make use of the incident management solution in order to raise the incident ticket and track the incident to closure.	
9.	The incident management solution should be able to register any security event and generate tickets. The solution should provide complete life cycle management of tickets from incident generation till closure of the incident. The solution should have capability to structure rule based workflow and calendar/ event based alerting capability.	
10.	The tool should facilitate time/ event based automated escalation of tickets as per the escalation matrix defined by the Bank. The solution should be able to send notifications and alerts in different formats, such as e-mail, SMS, etc.	

### 5.6.6 BRAND MONITORING AND PROTECTION SERVICE

S. No.	Specification of brand monitoring and protection service	Compliance / Non-Compliance
<b>General Features</b>		
1.	Bidder To provide services for brand monitoring of Bank provided domain names, logos on social media and dark web.	
2.	Bidder should scan on any suspicious chatter, abuse of brand, phishing domains and report proactively if something malicious is found.	
3.	Bidder should look out for keywords, publicly exposed information, domains, logs, customer abuse emails, fake offerings, misleading customer campaigns.	
4.	Bidder should also enable take down or delete of the content found objectionable by Bank.	

### 5.6.7 REPORTING TOOL

This tool will generate reports, dashboards and alerts based on the incidents triggered and tickets raised. Advisories and other reports in form of emails, pdfs etc., will be generated with the help of this tool. The basic functionalities of these tools are listed below (however the tool shouldn't be restricted to only those features):

S. No.	Specification of Reporting tool	Compliance / Non-Compliance
<b>General Features</b>		
1.	The proposed solution should be a software based solution which can be host on premise in Bank datacenter	
2.	The solution should be easily installed and configurable on different OS platform like Linux, Ubuntu, Windows, etc.	

3.	The solution should easily integrate with incident management platforms, SIEM platform, Ticketing tools etc. to generate automated reports and dashboards	
4.	The solution must provide an overall view of the functioning of Bank to the management	
5.	The solution should provide different types of reports like SLA compliance report, operational reports, performance and availability reports, user activity reports, etc.	
6.	The solution must be able to send automated alerts for incidents	
7.	The solution should integrate with Active directory for user authentication	
8.	The solution should provide role-based and user based access	
9.	The solution should alert any failure in data collection to the operational personnel as per the SLA	
10.	The solution should provide dashboards which should be editable on an ad hoc basis as per the individual user need	
11.	The dashboard should be in the form of a unified portal that can show correlated alerts/ events from multiple disparate sources such as security devices, network devices, enterprise management systems, servers, applications, databases, etc.	
12.	The solution should support reporting for consolidated relevant compliance across all major standards and regulatory requirements.	
13.	The solution should support different views relevant for different stake holders including top management, operations team, CISO Office	
14.	The solution should support export of data to multiple formats including CSV, XML, Excel, etc.	
15.	Dashboard should support reporting for consolidated relevant compliance across all major standards and regulatory requirements. This includes ISO 27001, RBI regulations, IT ACT, PCI DSS standards etc.	
16.	Events should be presented in a manner that is independent of device specific syntax and easy to understand for all users	
17.	The proposed system should display all real time events. The proposed solution should have drill down functionality to view individual events from the dashboard.	
18.	The dashboard provided to Bank should be in the form of a unified portal that can show correlated alerts/events from multiple disparate sources such as security devices, network devices, enterprise management systems, servers, applications, databases, etc.	

19.	The proposed solution should support creation of automated incident management workflows to track incident from creation to closure, provide reports on pending incidents. It should also permit upload of related evidences such as screenshots etc.	
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### 5.6.8 OTHER GENERAL REQUIREMENTS

S. No.	Specification of Reporting tool	Compliance / Non-Compliance
1.	<p>Following types of connectivity (dedicated leased line) shall be established by the vendor/ SOC-provider</p> <ol style="list-style-type: none"> <li>1. Vendor Data Centre (DC) to NHB DC</li> <li>2. Vendor DC to NHB Disaster Recovery (DR) site</li> <li>3. Vendor DR to NHB DC</li> <li>4. Vendor DR to NHB DR</li> </ol> <p>Last mile connectivity shall be the responsibility of the vendor/ SOC-provider and Bank at their respective ends.</p> <p>Vendor has to provide the specifications and bear costs of entire connectivity setup. The specifications for connectivity has to be in line with Bank security policy relevant portions of which will be shared with selected Vendor. Bank will only enable the access as recommended by vendor in line with Bank policy.</p> <p>In case of the connectivity issues, the data collector should be able to store the data. The retention, deletion, synchronization with SIEM database should be automatic but it should be possible to control the same manually.</p> <p>During the course of the contract, in case the Bank changes the location of its Data Centre (DC) or Disaster Recovery (DR) site, the vendor/ CSOC provider shall ensure connectivity to the new site from its own DC and DR sites with the costs borne by vendor.</p>	
2.	The proposed solution should ensure that the overall load on the network bandwidth at DC, WAN level is minimal.	
3.	The proposed solution should have the capability to compress the logs by at least 70 % for storage optimization.	
4.	The proposed solution should have capabilities to store the event data in its original format in the central log storage	
5.	The proposed system shall be able to capture all details in raw log, events and alerts and normalize them into a standard format for easy comprehension.	
6.	The proposed solution should support the following log collection protocols: Syslog over UDP / TCP, Syslog NG, SDEE, SNMP Version 2 & 3, ODBC, FTP, Windows Event Logging Protocol, Opsec, Netflow at a minimum.	

7.	The proposed solution should prevent tampering of any type of logs and log any attempts to tamper logs. It must provide encrypted transmission of log data to the log management.	
8.	The proposed solution should be able to perform the following correlations (but not limited to): Rule based, Vulnerability based, Statistical based, Historical based, Heuristics based, Behavioral based etc. across potentially disparate devices	
9.	The devices /log sources to be monitored shall be from Bank's DC as well as DR. The solution should be able to collect logs from both DC-DR locations & the architecture proposed should clearly consider this requirement.	
10.	The proposed solution should have high availability feature built in. There should be an automated switch over to secondary collector in case of failure on the primary collector. No performance degradation is permissible even in case of collector failure.	
11.	Logs older than year should be kept in tapes for a period of 5 years.	
12.	Bidder to support in analyzing and advising Banks on advisories received from State-CERT, National-CERT, security vendors/ OEMs and any other government agencies.	
13.	Bidder should help in providing root cause analysis, regulatory reporting in case of an incident and take and advise remedial actions to prevent recurrence.	

## 5.7 HIGH LEVEL DELIVERABLES

Areas	Activities	Deliverables
Security Event Monitoring and Response	Log Monitoring; Server Monitoring; Security and Network Device monitoring	<ul style="list-style-type: none"> <li>• 24*7*365 log monitoring</li> <li>• Detection of threats from integrated log sources and based on the use cases defined</li> <li>• Event Analysis</li> <li>• Alerts as per defined escalation matrix</li> <li>• Real-time alerts for priority tickets on email and SMS</li> <li>• High Criticality Security alert (Priority 1): Response: 30 minutes Resolution: 1 hour</li> </ul>

		<ul style="list-style-type: none"> <li>• Medium Criticality Security alert (Priority 2): Response: 2 hours Resolution: 6 hours</li> <li>• Low Criticality Security alert (Priority 3): Response: 8 hours Resolution: 24 hours Logs of any duration of last five years as asked by Bank: within 24 hours New use case creation as suggested by Bank: within 3 working days New device integration as suggested by Bank: within 5 working days</li> </ul>
Network Threat Hunting	Analytics Based Hunting & IOC Based Hunting	<ul style="list-style-type: none"> <li>• Once in 24 hours</li> <li>• Notification of alerts generated through analytical models on Threat Hunting enabling hunting for attacks including but not limited to Lateral Movement, Malware Beaconing, Data Exfiltration, Watering Hole, Targeted network attacks, Dynamic DNS attacks etc.</li> </ul>
Incident Management	Incident Analysis, Identification of all components of the incident, root cause analysis and mitigation plans	<ul style="list-style-type: none"> <li>• Provide logs and incident report for any identified security incident.</li> <li>• Coordinate with Bank's Team and help to contain attack/incident.</li> <li>• Provide evidences for legal and regulatory purpose in the form of log data.</li> </ul>
SOC Maturity Improvement	SOC report on analysis and insights from data	Quarterly briefings on Analysis and insights from data: trends, high risks areas, roadmap for strategic improvements, security posture benchmarking. Briefings on global threat trends, regulatory trends and cyber technology trends.

Report Management	Periodic reports; Trend analysis; Customized reports	<p>Following are the minimum reports, bidders shall provide to NHB:</p> <ul style="list-style-type: none"> <li>• Daily reports:           <ul style="list-style-type: none"> <li>– Top attacker, attacks and attack targets, trends report</li> <li>– Top firewall ports access report (inbound/outbound)</li> <li>– Top signature triggered</li> <li>– Top account brute forced</li> <li>– Top systems infected</li> <li>– Top virus infection in the network</li> <li>– SIEM/monitoring tool performance report</li> </ul> </li> <li>• Weekly reports:           <ul style="list-style-type: none"> <li>– Weekly security incidents status report</li> <li>– Daily device utilization report</li> <li>– Device availability report</li> <li>– Device: Incident, service request and change status report</li> <li>– Weekly threat advisory and vulnerability report</li> <li>– Top signature triggered</li> <li>– Top account brute forced</li> <li>– Top systems infected</li> <li>– Top virus infection in the network</li> </ul> </li> <li>• Monthly reports:           <ul style="list-style-type: none"> <li>– Executive summary report for all the services</li> <li>– Monthly Security incident status report</li> <li>– Monthly security incident trend analysis</li> <li>– Monthly device availability report</li> </ul> </li> <li>• Quarterly reports:</li> </ul>
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		<ul style="list-style-type: none"> <li>– Quarterly Security incident status report</li> <li>– Quarterly security incident trend analysis</li> <li>– Quarterly cyber security activities report</li> </ul>
Global Intelligence Feeds	Continuous and regular global feeds from external known agencies.	<ul style="list-style-type: none"> <li>• Threat &amp; Vulnerability advisories in form of E-mails on need basis or at least once in a week</li> <li>• Monthly report on recommendations for security improvements.</li> <li>• Quarterly report on Historical, Operational, Analytical and predictive Analysis.</li> </ul>
Brand Monitoring and Protection Service	Continuous and regular monitoring of brand for any suspicious chatter, abuse of brand, phishing domains	<ul style="list-style-type: none"> <li>• Weekly Brand monitoring scan report</li> <li>• Regular monitoring and immediate (within 3 hours of alert generation) reporting of any Critical/ High Threat</li> </ul>

## 5.8 RESPONSIBILITIES BETWEEN BIDDER & BANK FOR AGREED ACTIVITIES

P = Primary Responsibility

S = Secondary Responsibility

S.No.	Responsibilities	Bidder	Bank
1.	Log Source/device identification for security monitoring	P	
2.	Type of Logging required (Type of logging will be advised by Bidder, will be enabled by Bank)	P	S
3.	Setup VPN tunnel Bank side	S	P
4.	Setup VPN tunnel Bidder side	P	S
5.	Setup Smart connector server / VM & access to Bidder's team	P	S

<b>S.No.</b>	<b>Responsibilities</b>	<b>Bidder</b>	<b>Bank</b>
6.	Security engineering: Configuring SIEM Connector	P	S
7..	Configuration required to be performed in Log Source	P	S
8.	Configuration of Log Source in SIEM Manager	P	S
9.	Alert management: Prioritizing the alerts – Bidder to provide advice to Bank basis cyber intelligence	S	P
10.	Use case management: Use Case identification & implementation Periodic Review and change of use cases and rules Bank to review the use cases and can suggest use cases	P	S
11.	Correlation rule/Alert Configuration & threat intelligence integration	P	S
12.	Incident management: Identification & Response of the Cyber Security Incident & Events	P	S
13.	Support in Root cause analysis and security analysis	P	S
14.	Threat intelligence management: Collaborate & integrate threat intelligence platform	P	S
15.	Conducting the Periodic PMO (update, MoM etc.) <ul style="list-style-type: none"> <li>• Weekly operational meeting</li> <li>• Fortnightly governance meeting to discuss the status update of the projects</li> <li>• Monthly steering committee meeting</li> </ul> Bank to participate in the above mentioned meetings	P	S

## 5.9 SCALABILITY

- All components of the SOC must support scalability to provide continuous growth to meet the requirements and demand coming in from various user departments.
- Modular design of the SOC is an excellent strategy to address growth without major disruptions.
- A scalable SOC shall easily be expanded or upgraded on demand. Scalability is important because new computing component is constantly being deployed, either to replace legacy component or to support new missions.

### **5.10 AVAILABILITY**

- All components of the SOC must provide adequate redundancy to ensure high availability of the Governance applications and other SOC services.
- Designing for availability assumes that systems will fail, and therefore the systems are configured to mask and recover from component or server failures with minimum application outage.
- The bidder shall make the provision for high availability for all the services of the data Center.

### **5.11 INTEROPERABILITY**

- The entire proposed system/ subsystem should be interoperable, in order to support information flow and integration.
- Operating systems and storage technologies from several vendors must interact well with each other. These systems should also support the open architecture solutions where information/ data can be ported to any system, whenever desired.

### **5.12 BUSINESS CONTINUITY**

The bidder shall be responsible for defining a DR/ BCP plan for the SOC operations and also ensures that periodic tests are conducted as per the testing calendar agreed or as per regulation with the bank to ensure that all deliverables /SLAs are met in case the SOC operations are switched to alternate site (DR-SOC). The proposed DR site should mandatorily be located in India.

### **5.13 OTHER REQUIREMENTS**

- The successful bidder shall provide inputs to Bank for review of its existing Cyber Security Framework atleast on half-yearly basis considering Bank's CSOC operations.
- The successful bidder shall provide inputs to Bank for submitting its statutory returns to regulators viz. NCIIPC, RBI, IDRBT, CERT-IN etc. considering Bank's CSOC operations
- The successful bidder shall assist Bank to prepare risk posture of the Bank atleast on half-yearly basis considering Bank's CSOC operations and cyber security activities.
- The successful bidder shall provide inputs to Bank for preparing its Cyber Security Preparedness indicators under Cyber Security Framework, related to CSOC atleast quarterly and on continuous basis.
- The successful bidder shall assist Bank for performing cyber security DR Drills.
- The successful bidder shall assist Bank for complying with various advisories/ alerts received from various agencies viz. RBI, CERT-IN, NCIIPC & IDRBT, related to CSOC operations.

### **5.14 SERVICE LEVELS (SLs)**

#### **5.14.1 STIPULATED TIME SCHEDULE**

The key milestone dates as anticipated by the Bank are-

- Date of release of Purchase Order - T day
- Purchase Order acceptance by successful bidder - T+5 days

Sr.	Roadmap as per phases mentioned under point no. 5.1 of section 5	Project Timelines i.e. "T" Penalties Remarks	Project Timelines i.e. "T" Penalties Remarks	Project Timelines i.e. "T" Penalties Remarks
1	<b>Phase I–</b> 1. List of technical and staffing requirements to be shared with the Bank 2. Deploying SOC resources for integration and deployment of SOC as per the shared profiles 3. Bank's readiness with requirements – any delays from Bank side are not subject to penalties. 4. Delivery, configuration and deployment of all of Managed Security Services as defined in RFP document	1. T+10 days 2. T+15 days 3. T+30 days 4. 60 days from date of confirmation letter for bank's readiness	For any delay in operationalization beyond scheduled timelines, a penalty of 0.5% of yearly order value per week will be charged from successful bidder. For any delay less than a week, the penalty will be charged proportionately.	On Successful signoff by the National Housing Bank Authority
2	<b>Phase II –</b> 1. List of staffing requirements to be shared with the Bank 2. Deploying SOC resources for 24*7 SOC operations 3. Commissioning of all of Managed Security Services as defined in RFP document	1. T+ 17 days 2. T+60 days from date of confirmation letter for bank's readiness for Phase 2 3. T+80 days		On successful acceptance and signoff

***The Bidder shall perform the Services and comply in all respects with the critical dates and failure on part of the Bidder to meet the critical dates without prejudice to any other rights that the Bank may have, may lead to the imposition of such obligations as are laid down in the Delay and Deterrent Mechanism and/or levy of penalty and/or termination of the Contract at the discretion of the Bank.***

#### **5.14.2 SERVICE LEVELS& THRESHOLDS**

Service levels provide for minimum level of services required as per contractual obligations based on performance indicators and measurements thereof. Bidder shall ensure provisioning of all required services while monitoring the performance of the same to effectively comply with the performance levels. The services provided by the bidder shall be reviewed by National Housing Bank on quarterly basis and National Housing Bank shall:

- Check performance of the bidder against defined service levels over the review period of 3 month and consider any key issues of the past period's performance statistics including major incidents, service trends, etc.
- Discuss escalated problems, new issues and matters still outstanding for resolution.
- Review of statistics related to rectification of outstanding faults and agreed changes.
- Obtain suggestions for changes to improve the service levels.

In case, if desired, Bank may initiate an interim review to check the performance and the obligations of the Agency. The Bank will conduct quarterly review of the services rendered by the Service Provider at mutually agreed schedules, dates and representatives from both the Bank and Service Provider should attend such performance review meetings. The Service Levels may be reviewed periodically i.e. quarterly and revised, if required.

The Bank shall have the right to inspect / audit the SOC, Tools, Techniques and procedure adopted by the Service Provider in line with security activity outsourced by the Bank, independently or through the outsourced experts and call for detailed report without compromising the Service Provider's Security.

The service levels shall take into consideration the following aspects-

- Equipment Availability Related Service Levels
- Technical Support desk Services
- Compliance and Reporting Procedures
- Quality and Availability of Required Staff

The following measurements and targets shall be used to track and report performance on a regular basis. The targets shown in the following table are applicable for the duration of the contract:

Sr.	Service Area	Service Level	Penalty								
1.	Monitoring & Incident Alerting	<ol style="list-style-type: none"> <li>1 . Log Analysis Services</li> <li>2 . 24x7 monitoring of all in-scope devices.</li> <li>3 . Categorization of Incidents into High, Medium and Low priority shall be carried out in consultation with the selected bidder during the contract period.</li> <li>4 . All High and Medium priority incident should be logged as incident tickets and alerted as per SL. <ul style="list-style-type: none"> <li>• High Criticality security alerts within 30 minutes of the event identification.</li> <li>• Medium priority security alerts within 3 hours of the event identification.</li> <li>• Low priority security alerts within 8 hours of the event identification</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1 . High Criticality Security Alerts (Priority 1) to be reported within 30 minutes and resolved within 1 hour</li> <li>2 . Medium Criticality Security Alerts (Priority 2) to be responded within 3 hours and resolved within 6 hours</li> <li>3 . Low Criticality Security Alerts (Priority 3) to be responded within 8 hours and resolved within 24 hours</li> <li>4 . SLs pertaining to new use cases, request of logs, new devices integrations will also be used in below table calculations</li> </ol> <table border="1"> <thead> <tr> <th>SL compliance measured/month</th> <th>Penalty</th> </tr> </thead> <tbody> <tr> <td>97.5% and above N.A.</td> <td>N.A.</td> </tr> <tr> <td>95% to 97.49%</td> <td>1% of monthly payment</td> </tr> <tr> <td>92.5% to 94.99%</td> <td>3% of monthly payment</td> </tr> </tbody> </table>	SL compliance measured/month	Penalty	97.5% and above N.A.	N.A.	95% to 97.49%	1% of monthly payment	92.5% to 94.99%	3% of monthly payment
SL compliance measured/month	Penalty										
97.5% and above N.A.	N.A.										
95% to 97.49%	1% of monthly payment										
92.5% to 94.99%	3% of monthly payment										

			90% to 92.49%	5% of monthly payment											
			<90%	25 % of monthly payment											
2.	Incident Investigation Reports and Closure	<p>Sending out detailed investigation report post alert notification. Action plan/ mitigation steps should be alerted to designated bank personnel as per the below SL:</p> <ul style="list-style-type: none"> <li>High Criticality incident within 1 hour of the event identification.</li> <li>High priority incident within 6 hours of the event identification.</li> <li>Medium priority incident within 24 hours of the event identification</li> </ul>	<p>1 . High priority incident within 1 hours 2 . Medium priority incident within 6 hours 3 . Low priority incident within 24 hours</p> <table border="1"> <thead> <tr> <th>SL compliance measured/month</th> <th>Penalty</th> </tr> </thead> <tbody> <tr> <td>97.5% and above N.A.</td> <td>N.A.</td> </tr> <tr> <td>95% to 97.49%</td> <td>1% of monthly payment</td> </tr> <tr> <td>92.5% to 94.99%</td> <td>3% of monthly payment</td> </tr> <tr> <td>90% to 92.49%</td> <td>5% of monthly payment</td> </tr> <tr> <td>&lt;90%</td> <td>25 % of monthly payment</td> </tr> </tbody> </table>	SL compliance measured/month	Penalty	97.5% and above N.A.	N.A.	95% to 97.49%	1% of monthly payment	92.5% to 94.99%	3% of monthly payment	90% to 92.49%	5% of monthly payment	<90%	25 % of monthly payment
SL compliance measured/month	Penalty														
97.5% and above N.A.	N.A.														
95% to 97.49%	1% of monthly payment														
92.5% to 94.99%	3% of monthly payment														
90% to 92.49%	5% of monthly payment														
<90%	25 % of monthly payment														
3.	Reports and Dashboard	<p>1 . Daily Reports: By 10:00 AM everyday 2 . Weekly Reports: By 10:00 AM, Monday 3 . Monthly Reports: 5th working day of each month</p>	<p>Threshold: SL compliance 95%, measured per month Penalty: 3% of monthly payment.</p>												
4.	Service uptime	<p>1 . 99.5% and above 2 . 98% to 99.4% 3 . 95% to 97.99% 4 . 90% to 94.99% 5 . Less than 90%</p>	<p>No penalty 3% of monthly billing 5% of monthly billing 10% of monthly billing 100% of monthly billing</p>												
5.	Quality of Resource and Availability	<p>1 . Number and quality of resources at minimum as defined in Section 5.5 2 . Not more than one replacement every quarter</p>	<p>No Default in all 3 parameters- No Penalty Default in any or all of the parameter- 5% of monthly billing.</p>												

		3. No replacements called for by the Bank on account of misconduct or performance of any resource	
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**\* SL may be changed by the bank at its discretion during signing of agreement with the qualified bidder.**

Maximum penalty in a month will be capped to 25% of monthly SOC operations charges except service uptime. Bidder shall not be responsible for SL impact where the delay is not attributable to the bidder. All such cases have to be adequately evidenced.

The successful Bidder will have to participate in periodic meetings with the Bank to discuss project progress and various issues concerning efficient and timely execution. If at any time it should appear to the Bank that the actual progress of work does not conform to the approved milestones, the Bidder shall produce at the request of the Bank a revised timeline showing the modification to the approved timelines necessary to ensure successful operation of the SOC of the Bank.

In case during execution of services the progress falls behind schedule then the Bidder should notify the Bank in writing about the same with proper causes for the delay and recovery procedures mentioned. Bidder shall deploy extra manpower, resources to make up the progress. The plan for deployment of extra manpower/ resources will be submitted to the Bank for its review and approval. All time and cost effect in this respect shall be borne by the Bidder.

### 5.14.3 PERIOD OF CONTRACT

The contract will be valid from commencement of contract and up-to three (3) year from the date of commencement of the contract subject to yearly review. Bank will enter into a service level agreement with successful bidder for a period of three (3) year from the date commencement of contract.

Date of commencement of contract shall be date of acceptance of the letter of award (Starting Date) or such other date as may be fixed by NHB. The same date shall be considered for renewal of services etc., if applicable.

#### Note:

This RFP is not exhaustive in describing the functions, activities, responsibilities and services for which the consultants will be responsible. The Bidder, by participation in this tender, implicitly confirm that if any functions, activities, responsibilities or services not specifically described in this RFP are necessary or appropriate for the proper performance and required for compliance of Statutory or Regulatory compliance and they will be deemed to be implied by and included within the scope of services under this RFP at no extra cost and Bidder's response to the same extent and in the same manner as if specifically described in this RFP and Bidder's response.

## 6 INSTRUCTIONS TO BIDDERS

### 6.1 GENERAL

The Bidder is expected to examine all instructions, forms, terms and specifications in the Bidding documents. Failure to furnish all information required by the Bidding/Tender/RFP documents may result in the rejection of its Bid and will be at the Bidder's own risk.

- No binding legal relationship will exist between any of the Bidders and NHB until execution of a contractual agreement, except the pre-contract integrity pact to be submitted along with the Bid. Post evaluation and finalization of the Bids and identification of the successful Bidder, the integrity pact will for part of the definitive agreement to be signed by the successful Bidder. For the other Bidders, the pre-contract integrity pact will be binding on them for any acts/omissions committed by the Bidder in violation/breach of the said pre-contract integrity pact in relation to the Bid submitted.
- All costs and expenses incurred by the Bidders in any way associated with the development, preparation, and submission of responses, including but not limited to; the attendance at meetings, discussions, demonstrations,

etc. and providing any additional information required by NHB, will be borne entirely and exclusively by the Bidder.

- Each Bidder acknowledges and accepts that NHB may in its absolute discretion apply selection criteria specified in the document for evaluation of proposals for short listing / selecting the eligible Consultant (s).
- Every Bidder will, by submitting his Bid in response to this RFP, be deemed to have accepted the terms of this RFP and the Disclaimer.
- Bidders are required to direct all communications related to this RFP, through the nominated Point of Contact persons, mentioned below:

Sourav Seal Deputy General Manager, National Housing Bank, Head Office Core 5-A, 4th Floor, India Habitat Centre, Lodhi Road, New Delhi – 110003 Phone No: 011-39187104 Email: <a href="mailto:sourav.seal@nhb.org.in">sourav.seal@nhb.org.in</a>	Manoj Kumar Deputy Manager, National Housing Bank, Head Office Core 5-A, 4th Floor, India Habitat Centre, Lodhi Road, New Delhi – 110003 Phone No: 011-39187204 Email: <a href="mailto:manoj.kumar@nhb.org.in">manoj.kumar@nhb.org.in</a>
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- NHB may, in its absolute discretion, seek additional information or material from any Bidder/s even after the tender/RFP closes and all such information and material provided must be taken to form part of that Bidder's response.
- Bidders should provide details of their contact person, telephone, fax, email and full address(s) to ensure that replies to RFP could be conveyed promptly.
- If NHB, in its absolute discretion, deems that the originator of any query will gain an advantage by any response to such query, then NHB reserves the right to communicate such response to all Bidders.
- Queries / Clarification if any, may be taken up with the contact person/s detailed above before the deadline for submission of Bids between 11 am to 05:30 pm on Monday to Friday, excluding public holidays.
- Bidder should not have been blacklisted/debarred from participation in the Bid process by any of the Govt. Departments/PSUs/Banks/Financial Institutes in India.
- NHB will notify all short-listed Bidders in writing or by mail or by publishing in its website as soon as practicable about the outcome of their RFP. NHB is not obliged to provide any reasons for any such acceptance or rejection.
- NHB reserves the right to cancel the entire tendering process at any point of time prior to award of contract if deemed fit.

## 6.2 PRE-BID MEETING

For the purpose of clarification of doubts of the Bidders on issues related to this tender/RFP, NHB intends to hold a Pre-Bid meeting on the date and time as indicated in the RFP. The queries of all the Bidders, in writing, should reach by e-mail or by post on the address/email as mentioned on page 06 of this RFP. It may be noted that no queries of any Bidder shall be entertained received after the Pre-Bid meeting. Clarifications on queries will be given in the Pre-Bid meeting. Only the authorized representatives of the Bidders, will be allowed to attend the Pre-Bid meeting.

## 6.3 SOFT COPY OF TENDER/RFP DOCUMENT

The soft copy of the Tender/RFP document will be made available on NHB's website <http://www.nhb.org.in>. The Bidders will need to pay the non-refundable fee of Rs. 10,000/- (Rupees Ten Thousand only) by way of ECS into NHB' account as described in Clause 6.12(i).

The proof of the payment should be enclosed and put in the envelope containing the Technical Bid; in the absence of which the Bid may not be considered for further evaluation.

#### **6.4 NON-TRANSFERABILITY OF TENDER/RFP**

This tender/RFP document is not transferable.

#### **6.5 ERASURES OR ALTERATIONS**

The offers containing erasures or alterations may not be considered. Any interlineations', erasures or overwriting in technical Bids may be considered at the discretion of NHB only if they are initialed by the person signing the Bids. However, any interlineations', erasures or overwriting in any form will not be accepted in the commercial Bid. There should be no hand-written material, corrections or alterations in the offer. Technical details must be completely filled up. Correct technical information of the product being offered must be filled in. Filling up of the information using terms such as "OK", "accepted", "noted", "as given in brochure/manual" is not acceptable. However, NHB may treat offers not adhering to these guidelines as unacceptable. NHB may, in its absolute discretion, waive any minor nonconformity or any minor irregularity in the offer. This shall be binding on all Bidders and NHB reserves the right for such waivers.

#### **6.6 AMENDMENTS TO THE BIDDING/RFP DOCUMENT**

- At any time prior to the deadline for submission of Bids, NHB, for any reason, may modify the Bidding/Tender/RFP Document, by amendment.
- The amendment will be posted on NHB's website [www.nhb.org.in](http://www.nhb.org.in)
- All Bidders must ensure that all amendments/enhancements (if any) in the RFP have been considered by them before submitting the Bid. NHB will not have any responsibility in case some omission is done by any Bidder.
- NHB at its discretion may extend the deadline for the submission of Bids.
- NHB shall not be liable for any communication gap. Further NHB reserve the right to scrap the tender or drop the tendering process at any stage without assigning any reason.

#### **6.7 LANGUAGE OF BID**

The Bid prepared by the Bidders, as well as all correspondence and documents relating to the Bid exchanged by the Bidder and NHB and supporting documents and printed literature shall be written in English.

#### **6.8 MASKED COMMERCIAL BID**

The Bidder should submit a copy of the actual price Bid (as per the format specified by NHB) being submitted to NHB separately by masking the actual prices. This is mandatory. The Bid may be disqualified if it is not submitted by masking it properly. NHB reserves the right to cancel the Bid/tender process at the time of commercial evaluation, if the format/detail (except price) of 'Masked Commercial Bid' does not match with the format/detail of actual Commercial Bid submitted.

#### **6.9 RIGHT TO ALTER LOCATION/QUANTITIES**

NHB reserves the right to alter the proposed location/s specified in the RFP. NHB also reserves the right to add/delete one or more location/s from the list specified in this RFP, from time to time.

## 6.10 DOCUMENTS COMPRISING THE BID

1. Bidder's information in the format as prescribed in **Annexure I**;
2. Bidder's Experience details in the format as prescribed in **Annexure II**;
3. Compliance Statement Declaration in the format as prescribed in **Annexure III**;
4. List of Deviations, if any, in the format as prescribed in **Annexure IV**;
5. Information on Minimum Eligibility in the format as prescribed in **Annexure V**;
6. **The Technical Proposal:** The Technical Bid should be submitted in the format as prescribed in **Annexure VII** along with the covering letter in the format as prescribed in **Annexure VI**. Annexure I, II, III, IV, V, VI, VII, X, XI, XII, XIII, XIV must be submitted along with Technical Proposals.
7. **The Commercial Proposal:** The Commercial Bid should be submitted in the format as prescribed in **Annexure IX** along with the covering letter in the format as prescribed in **Annexure VIII**;
8. ECS Mandate in the format as prescribed in **Annexure X**;
9. Letter of Competency in the format as prescribed in **Annexure XI**;
10. Curriculum Vitae (CV) of the Key Personnel in the format in **Annexure XII**;
11. Escalation Matrix in the format in **Annexure XIII**;
12. Restrictions on Procurement from Bidders from a Country Or Countries, on Grounds of Defence in India, or matters directly Or indirectly related thereto, including National Security in **Annexure XIV**
13. Pre-Contract Integrity Pact (wherever applicable) in the format in **Annexure XV** (*The Pre-Contract Integrity Pact should be submitted neatly typed in on Rs.100/- non-judicial stamp paper duly signed by the authorized signatory and the same will be signed on behalf of NHB subsequently. The date of execution should be the date as mentioned in the Technical Bid by the Bidder*)
14. Service Level Agreement as per format given in **Annexure XVI**;
15. Non-Disclosure Agreement as per format given in **Annexure XVII**;
16. Performance Bank Guarantee as per format given in **Annexure XVIII**;

## 6.11 BID CURRENCY

Bids to be quoted in Indian Rupee only.

## 6.12 EARNEST MONEY DEPOSIT

All Bids must be accompanied by a refundable interest free security deposit of Rs. One Lac only (Rs. 1,00,000/- only) (refundable to the unsuccessful bidder after completion of tendering process and refundable to successful bidder after satisfactory delivery of services during the 3 year contract period), and non-refundable RFP Cost of Rs. Ten Thousand (Rs. 10,000/-) by way of an e-payment in favor of National Housing Bank. The amounts are inclusive of GST.

The MSMEs having valid certificate issued by appropriate authority as defined under MSME Act 2006 and Public Procurement Policy, 2012 as Service Enterprises are exempt from depositing EMD and RFP Cost, provided they meet the following criteria:

1. The MSE's Bidder to note and ensure that nature of services and goods/items manufactured mentioned in MSE's certificate matches with the nature of the services and goods /items to be supplied as per Tender.
2. Traders/resellers/distributors/authorized agents will not be considered for availing benefits under PP Policy 2012 for MSEs as per MSE guidelines issued by MoMSME.

3. The registration certificate issued by any one of the appropriate authority as defined under MSME Act 2006 and Public Procurement Policy, 2012 must be valid as on Bid closing date of the tender. Bidder shall ensure validity of registration certificate in case bid closing date is extended.
4. The MSEs who have applied for registration or renewal of registration with any of the above agencies/bodies but have not obtained the valid certificate as on close date of the tender, are not eligible for exemption.
5. Account of NHB where the EMD and RFP cost is to be deposited.

S.No.	Type	Beneficiary Particulars
1.	Name	National Housing Bank
2.	Address	Core 5A, 4th Floor, India Habitat Centre, Lodhi Road, New Delhi 110 003
3.	Bank Name	State Bank of India
4.	Bank Branch Address	Pragati Vihar Delhi Branch, Ground Floor, Core-6, Scope Complex, Lodhi Road, New Delhi – 110 003
5.	Type of Bank Account	Current account
6.	Bank A/C No	52142903844
7.	IFCS code of Bank branch	SBIN0020511
8.	MICR No	110002658

6. The proof of the EMD payment and Cost of RFP should be enclosed and put in the envelope containing the Technical Bid; in the absence of which the Bid may not be considered for further evaluation. The Bidders are also required to submit ECS Mandate Form as enclosed in Annexure-X.
7. Any Bid received without EMD in proper form and manner shall be considered unresponsive and rejected.
8. Request for exemption from EMD will not be entertained.
9. Save as otherwise provided herein or in the definitive agreement, the EMD amount of all unsuccessful Bidders would be refunded on completion of the tendering process.
10. The EMD security may be forfeited:
  - If a Bidder withdraws its Bids during the period of Bid validity;
  - If a Bidder makes any statement or encloses any form which turns out to be false/incorrect at any time prior to signing of the contract;
  - In case of successful Bidder, if the Bidder fails to Sign the contract; and
  - In case of any breach of the pre-contract integrity pact

### 6.13 IMPLEMENTATION SCHEDULE

1. The empaneled bidder, on receipt of work order based on bid submitted by him, will be required to report at the NHB Head Office for commencement of the services within 15 days of acceptance of work order.

2. The Bidder shall be responsible for delivery of the services.

S. No	Event	Delivery Schedule (From date of acceptance of work order/letter of award)
1.	Kick off meeting	7 days
2.	Commencement of services	7-15 days

3. Billing cycle will commence only after execution of SLA as per terms of the RFP.

## 6.14 PERIODS OF VALIDITY OF BIDS

- Prices and other terms offered by Bidders must be valid for an acceptance period of six months from the date of opening of commercial Bid.
- In exceptional circumstances NHB may solicit the Bidders consent to an extension of the period of validity. The request and response thereto shall be made in writing. The Bid security provided shall also be extended.

## 6.15 FORMAT AND SIGNING OF BIDS

- Each bid shall be submitted in two part.
- Part I:** consists of Minimum Eligibility Criteria, Technical Bid and Masked Commercial Bid [price Bids without any price]. The above contents will be referred to as “**Technical Proposal**”.
- Part II:** covering only the Commercial Bid herein referred to as “**Commercial Proposal**”
- The Original Bids shall be typed or written in indelible ink and shall be signed by the Bidder or a person or persons duly authorized to bind the Bidder to the contract. The person or persons signing the Bids shall put their initials on all pages of the Bids, except for un-amended printed literature.

## 6.16 SEALING AND MARKING OF BIDS

- The non-window and sealed envelope containing Technical Bid cum Proposal super scribing “**Proposal for Setting up Cyber-Security Operations Centre (CSOC), SIEM and Security Tools Implementation**” shall be addressed to NHB at the address given below:

Deputy General Manager,  
CISO Office,  
National Housing Bank  
Core 5A, 4<sup>th</sup> Floor, India Habitat Centre  
Lodhi Road, New Delhi – 110003

- All envelopes should indicate on the cover the name and address of Bidder along with contact number and email address.
- The Bidder shall seal the envelopes containing Technical proposal.
- The envelope should be non-window and separately super scribed as “**Technical Proposal for Setting up Cyber-Security Operations Centre (CSOC), SIEM and Security Tools Implementation**”.
- If the envelop is not sealed and marked, NHB will assume no responsibility for the Bid's misplacement or its premature opening.
- Bids not sealed properly shall not be considered and will stand rejected without recourse.

## 6.17 DEADLINE FOR SUBMISSION OF BIDS

1. The Bids must be received by NHB at the addressed specified, not later than the last date of Bid submission as indicated above.
2. In the event of the specified date for the submission of Bids, being declared a holiday for NHB, the Bids will be received up to the appointed time on the next working day.
3. NHB may, at its discretion, extend the deadline for submission of Bids by amending the Bid documents with intimation on NHB's website, in which case, all rights and obligations of NHB and Bidders previously subject to the deadline will thereafter be subject to the deadline as extended.

## 6.18 LATE BIDS

Any Bid received by NHB after the deadline for submission of Bids prescribed by NHB will be rejected and returned unopened to the Bidder.

## 6.19 OPENING OF BIDS BY NHB

1. On the scheduled date and time, Bids will be opened by NHB Committee in presence of Bidder representatives who will attend the meeting on the specified date and time.
2. **Place of Opening of Technical Bids:**  
National Housing Bank  
Core 5A, 3rd – 5th Floor, India Habitat Centre  
Lodhi Road, New Delhi – 110003
3. The Bidder name and presence or absence of requisite EMD, RFP cost and such other details as NHB, at its discretion may consider appropriate, will be announced at the time of Technical Bid opening.

## 6.20 CLARIFICATION OF BIDS

During evaluation of Bids, NHB, at its discretion, may ask the Bidder for clarification of its Bid. The request for clarification and the response shall be in writing (e-Mail), and no change in the substance of the Bid shall be sought, offered or permitted.

## 6.21 PRELIMINARY EXAMINATIONS

1. NHB will examine the Bids to determine whether they are complete, the documents have been properly signed; supporting papers/documents attached and the Bids are generally in order etc.
2. NHB may, at its sole discretion, waive any minor infirmity, nonconformity or irregularity in a Bid which does not constitute a material deviation, provided such a waiver does not prejudice or affect the relative ranking of any Bidder.
3. The decision of NHB is final towards evaluation of the Bid documents.

## 6.22 PROPOSAL OWNERSHIP

The proposal and all supporting documentation submitted by the Bidder shall become the property of NHB unless NHB agrees to the Bidder's specific request/s, in writing that the proposal and documentation be returned or destroyed.

## 6.23 INSTRUCTION TO THE BIDDERS

The Bidder shall not outsource the work assigned by NHB, to any third party except with NHB's prior written consent and attend all complaints registered by NHB through its own service/support infrastructure only.

## **6.24 PRICE COMPOSITION & VARIATION**

1. The Bidder should clearly furnish the cost matrix strictly as per the structure, if any, provided in the **Annexure IX**. Any deviation may lead to Bid rejection. Also, no options should be quoted other than as per the commercial Bid. Wherever options are given, the Bid is liable to be rejected.
2. The commercial offer shall be on a fixed price basis. No price variation relating to any services/product part of the scope of this RFP excl. taxes (present and future) will be entertained for any work assigned during the period of contract.
3. Only GST will be paid as actual as per statutory revision.
4. Date of commencement of project shall be date of acceptance of the letter of award (Starting Date) or such other date as may be fixed by NHB. The same date shall be considered for renewal of services etc., if applicable.

## **6.25 TIMELY AVAILABILITY OF SUPPORT SERVICES**

The Consultant should have proper and adequate support mechanism in place at New Delhi and Mumbai to provide all necessary support under this project.

## **6.26 MANUALS/DOCUMENTS**

The Consultant shall provide required documentation/s for the services supplied during the period of contract as also required documentation of knowledge transfer.

## **6.27 MODIFICATION AND WITHDRAWAL**

1. Every Bidder shall submit only one proposal. If any Bidder submits more than one proposal, all such proposals shall be disqualified.
2. The Bidders are advised to submit the Bids only after the Pre-Bid Meeting as the Bids once submitted will be treated, as final and no further correspondence will be entertained on this. No Bid will be allowed to be modified after the deadline for submission of Bids. No Bidder shall be allowed to withdraw the Bid, if Bidder happens to be successful Bidder.
3. NHB has the right to reject any or all Bids received without assigning any reason whatsoever. NHB shall not be responsible for non-receipt / non- delivery of the Bid documents due to any reason whatsoever.

## **6.28 REVELATION OF PRICES**

The prices in any form or by any reasons should not be disclosed in the technical or other parts of the Bid except in the commercial Bid. Failure to do so will make the Bid liable to be rejected.

## **6.29 TERMS AND CONDITIONS OF THE BIDDING FIRMS**

The Bidding firms are not required to impose their own terms and conditions to the Bid and if submitted will not be considered as forming part of their Bids. The Bidders are advised to clearly specify the deviations as per Annexure-IV, in case terms and conditions of the contract applicable to this RFP are not acceptable to them. The Bidders should also describe clearly in what respect and up to what extent the equipment and services being offered differ/ deviate from the specifications laid down in the specifications and requirements.

## **6.30 LOCAL CONDITIONS**

Bidders must acquaint themselves with the local conditions and factors, which may have any effect on the performance of the contract and / or the cost.

### **6.31 CONTACTING NHB OR PUTTING OUTSIDE INFLUENCE**

Bidders are forbidden to contact NHB or its Consultants on any matter relating to this Bid from the time of submission of commercial Bid to the time the contract is awarded. Any effort on the part of the Bidder to influence Bid evaluation process, or contract award decision may result in the rejection of the Bid.

### **6.32 PROPOSAL CONTENT**

The Bidders' proposals are central to the evaluation and selection process. Therefore, it is important that the Bidders carefully prepare the proposal. The quality of the Bidder's proposal will be viewed as an indicator of the Bidder's capability to provide the solution and Bidder's interest in the project.

### **6.33 BANNED OR DELISTED BIDDER**

Bidders have to give a declaration that they have not been banned or delisted by any Government, Quasi Government agencies, PSUs or PSBs and its subsidiaries. If a Bidder has been banned by any Government, Quasi Government agencies, PSUs or PSBs and its subsidiaries, this fact must be clearly stated. If this declaration is not given, the Bid will be rejected as non-responsive. This declaration will be submitted along with the Technical Bid.

### **6.34 COMPLIANCE WITH LAWS**

1. The Consultant (Bidders) shall undertake to observe, adhere to, abide by, comply with and notify NHB about all laws in force or as are made applicable in future, pertaining to or applicable to them, their business, their employees or their obligations towards them and all purposes of this tender and shall indemnify, keep indemnified, hold harmless, defend and protect NHB and its employees/officers/staff/ personnel/representatives/agents from any failure or omission on its part to do so and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising there from.
2. The Consultant (Bidders) shall promptly and timely obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this project or for the conduct of their own business under any applicable Law, Government Regulation/Guidelines and shall keep the same valid and in force during the term of the project, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate NHB and its employees/ officers/ staff/ personnel/ representatives/agents from and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising there from and NHB shall give notice of any such claim or demand of liability within reasonable time to the Consultant.
3. In case NHB undergoes a merger, amalgamation, takeover, consolidation, reconstruction, change of ownership, etc., this Contract shall be considered to be assigned to the new entity and such an act shall not affect the rights of the Consultant (Bidders) under this Contract.

### **6.35 INTELLECTUAL PROPERTY RIGHTS**

The Bidder warrants that in the event of its selection as the C-SOC implementation firm: -

1. The Inputs to be provided by it shall not infringe upon any third party intellectual property rights, including copyrights, patents and other intellectual property rights of any nature whatsoever.
2. Its further warrants that the Deliverables shall not infringe upon any third party intellectual property rights, including copyrights, patents and other intellectual property rights of any nature whatsoever.

3. In the event that the Deliverables become the subject of a claim of violation or infringement of a third party's intellectual property rights, the Bidder shall, at its choice and expense: (a) procure for NHB the right to continue to use such Deliverables; (b) replace or modify such Deliverables to make them non-infringing, provided that the same function is performed by the replacement or modified Deliverables as the infringing Deliverables; or (c) if the rights to use cannot be procured or the Deliverables cannot be replaced or modified, accept the return of the Deliverables and reimburse NHB for any amounts paid to the Bidder for such Deliverables, along with the replacement costs incurred by NHB for procuring an equivalent equipment in addition to the penalties levied by NHB . However, NHB shall not bear any kind of expense, charge, fees or any kind of costs in this regard. Notwithstanding the remedies contained herein, the Bidder shall be responsible for payment of penalties in case service levels are not met because of inability of NHB to use the proposed solution.
4. The indemnification obligations stated in this clause apply only in the event that the Indemnified Party provides the Indemnifying Party prompt written notice of such claims; grants the Indemnifying Party sole authority to defend, manage, negotiate or settle such claims; and makes available all reasonable assistance in defending the claims (at the expense of the Indemnifying Party). Notwithstanding the foregoing, neither party is authorized to agree to any settlement or compromise or the like which would require that the Indemnified Party make any payment or bear any other substantive obligation without the prior written consent of the Indemnified Party.
5. The Bidder acknowledges that business logics, workflows, delegation and decision-making processes of NHB are of business sensitive nature and hence shall not be referred to other clients, agents or distributors of the software. The project shall be deemed as incomplete in case the desired objectives of the project as mentioned in the scope of the project are not met and in case the system is unable to facilitate the processes duly supported by various requirements as envisaged in the RFP.

### **6.36 FALSE INCOMPLETE STATEMENT**

Any statement/declaration made by the Bidder, if proved wrong or false or incomplete or such as to withhold any information relevant to the award of the tender, at any stage of the tender/Bid process or in the event of his Bid/tender having been accepted at any stage of the contract, shall render his/their Bid(s)/tender(s)/contract(s) liable to be cancelled/rescinded, in addition to the followings:

1. If such statement is found at the tender stage, his total earnest money shall be forfeited, and tender will be summarily rejected.
2. In case such a statement is found at the contract stage appropriate action as decided by NHB shall be applicable.

### **6.37 PERFORMANCE BANK GUARANTEE (PBG)**

The successful Bidder will be required to provide performance bank guarantee/PBG of value amounting to 10% of the total cost of contract value, in the form of bank guarantee from a scheduled commercial bank in the format as substantially prescribed in Annexure-XVIII. The PBG should be valid till at least 3 months beyond the expiry of contract period or such other extended period as NHB may decide. The PBG is required to protect the interest of NHB against the risk of non-performance or default in RFP Term/s, including non-compliance of applicable statutory provisions including labour laws and any other laws/rules/regulations, by the successful Bidder. Default in successful implementation of the conditions of the contract, may warrant the invoking of PBG, and also if any act of the Consultant/Bidder results into imposition of Liquidated Damages/penalty, then NHB reserves the right to invoke the Performance Bank Guarantee submitted by such Bidder. The decision of NHB as to non-performance or default in RFP Term/s, including non-compliance of applicable statutory provisions etc., shall be final and binding on the successful Bidder.

### **6.38 Restriction on procurement from a bidder of a country which shares a land border with India:**

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

However, such registration is not required for being eligible under this RFP in case the Bidders are from countries (even if sharing land border with India) to which Government of India has extended lines of credit or in which the Government of India is engaged in development projects, as per the updated list of such countries given on website of Ministry of External Affairs.

- The Bidder shall also submit a certificate as per the format enclosed as Annexure XIV. If such certificate given by the successful Bidder is found to be false, this would be a ground for immediate termination of the contract and for further legal action in accordance with law.

- For the purpose of this clause:

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

**b)** “Bidder from a country which shares a land border with India” for the purpose of this Order means:-

- An entity incorporated, established or registered in such a country; or
- A subsidiary or an entity incorporated, established or registered in such a country; or
- An entity substantially controlled through entities incorporated, established or registered in such a country; or
- An entity whose beneficial owner is situated in such a country; or
- An Indian (or other) agent of such an entity; or
- A natural person who is a citizen of such a country; or
- A consortium or joint venture where any member of the consortium or joint venture falls under any of the above.

**c)** The beneficial owner for the purpose of (b) above will be as under.

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

“Controlling ownership interest” means ownership of or entitlement to more than twenty-five per cent. Of shares or capital or profits of the company;

“Control” shall include the right to appoint majority of the directors or to control the management or policy decision including by virtue of their shareholding or management rights or shareholders agreement or voting agreement;

- In case of partnership firm, the beneficial owner is the natural person (s) who, whether acting alone or together, or through one or more juridical person, has ownership of entitlement to more than fifteen percent of capital or profits of the partnership;
- In case of an unincorporated association or body of individuals, the beneficial owner is the natural person (s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to more than fifteen percent of the property or capital or profits of such association or body of individuals;

- iv. Where no natural person is identified under (i) or (ii) or (iii) above, the beneficial owner is the relevant natural person who holds the position of senior managing official;
- v. In case of a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with fifteen percent or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control ownership.

An Agent is a person employed to do any act for another, or to preset another in dealings with third person.

## 7 BIDS (TECHNICAL & COMMERCIAL) AND BID EVALUATION METHODOLOGY

### i. Bid Evaluation Methodology

#### Introduction:

- a. To meet the Bank's requirements, as spelt out in the RFP, the selected Bidder must have the requisite experience in providing services in the field of providing C-SOC service that would be required to successfully provide the services sought by the Bank, for the entire period of the contract. The evaluation process of the bids proposed to be adopted by the Bank is indicated below. The purpose of it is only to provide the Bidder an idea of the evaluation process that the Bank may adopt. The Bank reserves the right to modify the evaluation process at any time during the Tender process (before submission of technical and commercial responses by the prospective bidder), without assigning any reason, whatsoever, and without any requirement of intimating the Bidders of any such change. Any time during the process of evaluation the Bank may seek specific clarifications from any or all the Bidder.
  - b. It may please be noted that the Bank reserves the right to reject any proposal in case same is found incomplete or not submitted in the specified format given in this RFP document.**
  - c. The details of 'Minimum Eligibility Criteria', provided by the bidder in its response to this RFP, will be evaluated first, based on the criteria described in section. The technical and commercial responses to this RFP will be considered further only for those bidders who meet the **Minimum Eligibility Criteria**.
- ii. The technical and commercial response evaluation will be based on the criteria described in following section onwards.

#### a. Minimum Eligibility Criteria

S. No.	Criteria
1.	The Bidder should be a company registered under Companies Act, 1956/2013 or a partnership firm registered under Partnership Act 1932/LLP Act, 2008.
2.	<p>Bidder should have completed minimum 20 SOC implementation and operations service projects [from SOC establishment in India]-</p> <ol style="list-style-type: none"> <li>a) Each of these projects should be of minimum annualized value INR 10 Lakh (exclusive of taxes).</li> <li>b) At least 5 projects of the above should be of annualized value more than INR 50 lakh (exclusive of taxes) each. In case of ongoing projects, the value of completed services (up to a month prior to the release of this RFP) shall be considered.</li> </ol>

S. No.	Criteria
3.	Bidder should have successfully provided minimum 5 SOC implementation and operations service [from SOC establishment in India] to SCBs/All India FIs/ Regulatory Bodies/BFSI organizations in India.
4.	The bidder should own and have been managing well established Security Operations Centre (SOC) [as well as DR site] with its own threat intel platform.
5.	The Bidder SOC's infrastructure and DR, both, must be located in India for at least last three years.
6.	The Bidder must be empaneled with CERT-In as Information Security Audit Organization.
7.	The bidder Company should have at-least 100 qualified Information Security / Cyber Security professionals (DISA/CISA/CISM/CDAC/ CEH/ISO 27001 certified) in their payroll.
8.	The Bidder firms should not have been blacklisted/ debarred by any Government Financial Institutions/Banks/RBI/ICAI/IBA/Government/Semi Government Departments/PSUs in India during last 5 years and Blacklisting should not be in force.
9.	Bidder's average annual turnover should be more than INR 100 crores in each of the last three financial years (FY) i.e. 2017-18, 2018-19 & 2019-20.
10.	Bidder should have positive net worth and should not be insolvent or should not have filed for bankruptcy.
11.	Bidder should have below mentioned best in class tools/technology & application listed in latest Gartner quadrants report which must be fulfilling the NHB business requirements: <ul style="list-style-type: none"> <li>• SIEM</li> <li>• Threat Intelligent Feed</li> </ul>
12.	Bidder should not be existing System Integrator (for Network Infrastructure/ Facility Management) and/or Cyber Security Consultant for the Bank to avoid conflict of interest.

- ***Bidder should submit documentary evidence (acceptable to the Bank) of the Information given in the related formats in respect of all above mentioned criteria while submitting the proposal. Proposal of bidder who do not fulfill the above criteria or who fail to submit documentary evidence to the satisfaction of the Bank would be rejected.***
- ***For point 8 and 9, Auditor Certificate to be submitted by the Bidder***
- ***Bidders fulfilling the Minimum Eligibility Criteria will only be considered for further technical evaluation.***

#### **b. Technical Eligibility Criteria**

The technical bid will be analyzed and evaluated, based on which the Technical Score (TS) shall be assigned to each bid. The mark distribution criteria of the Technical evaluation are as follows:

**\* Mark Distributions (Maximum Points 100)**

S.No.	Details	Marks*
<b>Part I</b>		
1.	<p>Experience the bidder has in carrying out Managed Cyber Security Operation Center (SOC) services or in implementation of SOC [from SOC establishment in India] -</p> <p>1. Projects of SOC implementation and operations service of annualized value more than INR 10 Lakhs each <b>(Max Marks 10)</b></p> <p>25 or more such projects -----</p> <p>More than 20 [and up to 24] such projects -----</p> <p>-----</p> <p>2. Projects of SOC implementation and operations service of annualized value more than INR 50 Lakhs each <b>(Max Marks 10)</b></p> <p>More than 7 such projects -----</p> <p>More than 5 and upto 7 such projects -----</p>	<p>10</p> <p>07</p> <p>10</p> <p>07</p>
2.	<p>The number of professional staff in the area of Information Security (Bidder will provide a list of staff signed by authorized signatory on their letter head which will include Name, Qualification, designation, No of year of Experience, Certification, Date of Issue of Certificate and Date of Expiry of Certificate etc.) <b>(Max Marks: 07)</b></p> <p>More than 250 -----</p> <p>More than 150 but ≤ 250 -----</p> <p>More than 100 but ≤ 150 -----</p>	<p>07</p> <p>05</p> <p>03</p>
3.	<p>No. of SCBs/All India FIs/ Regulatory Bodies/BFSI Sector in India/, where the bidder has provided SOC implementation and operations service [from SOC establishment in India] <b>(Max Marks: 10)</b></p> <p>More than 10-----</p> <p>More than 7 but ≤ 10 -----</p> <p>More than 5 but ≤ 7 -----</p>	<p>10</p> <p>07</p> <p>05</p>

S.No.	Details	Marks*
4.	<p>Average annual turnover of the bidder during last three years i.e. 2017-18, 2018-19 and 2019-20 <b>(Max Marks: 08)</b></p> <p>More than INR 1000 crore ----- 08</p> <p>More than INR 500 crore but ≤ INR 1000 crore ----- 05</p> <p>More than INR 100 crore but ≤ INR 500 crore----- 03</p>	
5.	<p>The bidder's inclusion in the Gartner or Forrester reports on Cyber Security Services specifically in past 3 years (2018, 2019, 2020). <b>(Max Marks: 10)</b></p> <p>Past 3 years----- 10</p> <p>Past 2 year ----- 07</p> <p>Past 1 year----- 05</p>	
6.	<p>Bidder's technical presentation showcasing at least the following- <b>(Max Marks 30)</b></p> <p>a) Solution Description, Functionality, Architecture &amp; Deployment model.</p> <p>b) Approach &amp; methodology for providing Managed Security Services (MSS) to run Security Operation Centre (SOC) services with Managed Detection and Response (MDR) capabilities</p> <p>c) Coverage of entire details as per scope of work with value add/proposition so as to ensure a complete effective and efficient security solution</p>	<p>30</p> <p>(Maximum 10 marks each for points a, b and c)</p>
7.	<p>Bidder having a SoC and DR SOC functional in India for : <b>(Max Marks 07)</b></p> <p>More than 4 years ----- 07</p> <p>4 years ----- 05</p>	
8.	<p>The bidder's SOC infrastructure must be ISO certified and must provide SOC -2 audit report on a regular basis. (Bidder must provide a copy of valid ISO Certification for the SOC facility and extract of most recent SOC-2 report) <b>(Max Marks 08)</b></p>	08

- **Bidders have to provide certified copies of supporting documents against each criterion mentioned above, without which bid may be rejected.**
- **For all project experience requirement, bidders must provide a copy of Contract/ Purchase Order, along with a certificate of successful work completion from the client specifying the scope of services, value of contract and period of contract. In case of on-going projects, bidders shall provide phase completion certificate from the client specifying the scope of services delivered, value of services delivered and duration of phase.**
- **The minimum qualification score for the Technical Bids would be 70 (cut-off marks) out of Total 100 marks (Including marks for presentation).**

### c. Financial Bid

- Only firms successfully qualifying the requisite criteria of the Technical Bid process shall be considered eligible for the Financial Bid Round.
- For the purpose of Financial Bid evaluation, Bid Value for each bidder shall be arrived at as follows-

$$\text{Bid Value (BV)} = (50\% \text{ of A}) + (50\% \text{ of B}) + (25\% \text{ C}) + (25\% \text{ D})$$

where A is one-time cost for Implementation Phase;

B is Total Operations Cost for Year 1;

C is Total Operations Cost for Year 2;

and D is Total Operations Cost for Year 3

as quoted in the Commercial Bid Format.

- Bidder with **lowest BV** shall be assigned the **maximum Financial Score of 100 points**.
- The Financial Scores of the other Bidders will be computed relative to the lowest evaluated Financial Bid.
- The **Financial Score computing methodology** is as follows:

$$\text{Financial Score (Bid under consideration)} = \frac{100 \times \text{Lowest BV}}{\text{BV of Bidder under consideration}}$$

BV of Bidder under consideration

- **Final Processing**

Proposal would be ranked according to their Final Score arrived at by combining Technical and Financial Scores as follows:

$$\text{Final Score} = \text{Technical Score} \times T + \text{Financial Score} \times F$$

(T - Weightage given to the Technical Bid, F - Weightage given to the Financial Bid, T + F = 1)

Weightage for the bids are as follows:

Technical Bid T	70%
-----------------	-----

Financial Bid F	30%
Total Weightage	100%

- The Bank reserves the right to revise the evaluation criteria, methodology, distribution points and weight age; if it finds it necessary.

## 8 COMMERCIAL TERMS AND CONDITIONS

Bidders are requested to note following commercial terms and conditions for this project.

### 1. Currency

The Bidder is requested to quote in Indian Rupees ('INR'). Bids in currencies other than INR may not be considered.

### 2. Price

- The price should be valid and firm for full contract period.
- The cost quoted should include the licensing, monitoring services rendered through the bidder's SOC on 24 x 7x365 basis.
- The cost should include Integration of bidder's SIEM solution with the existing Bank's devices, as no Separate charges will be paid.
- In any circumstances no other additional cost shall be payable by the Bank on account of any software / tools used by the Service Provider for rendering the services as required in the Tender. The bidder should make his own arrangement for providing such software / tools used at his own cost.
- The responsibility to ensure that only legal, authorized, licensed versions of software / tools provided by the bidder and used by its employees are used for extending the required services, lies solely with the bidder.
- The Bank in no way be a part of any litigation arising out of using unauthorized software / tool used by the bidder/service provider.
- The price should be inclusive of all taxes (except GST), duties, levies charges, transportation, insurance, as per Commercial Bid.
- Bid submitted with adjustable price quotation will be treated as non-responsive and will be rejected.

### 3. Payment Terms

Any payment will be released only after submission of PBG & post-signing of SLA & NDA as per the following payment terms. Performance Bank Guarantee (PBG) shall be submitted for 10% of the contract value. The PBG should be valid till at least 3 months beyond the expiry of contract period or such other extended period as NHB may decide.

Payments will be released only on satisfactory acceptance of the deliverables for each Task as per the following schedule (for both phases):

S.No.	Item	Payment Schedule	Deliverables
1.	Managed Services	100% payment of CAPEX (implementation cost of Phase I) in Arrear shall be made after successful implementation and sign-off by the Bank.	Copy of single Bill in original to be submitted to bank along with sign-off
		100% payment of OPEX in Arrear shall be made after completion of every Month.	Copy of single Bill in original to be submitted to

			bank, with the corresponding Service Level Report
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All Payments shall be made in Indian Rupees Only and shall be released by the Bank against the invoices raised by bidder within 30 calendar days given all the relevant documents are submitted timely and are complete in all reference. However, in case of any discrepancy in the invoice and other supporting document, the date will be count from the date of submission of fresh documents as per Bank's satisfaction.

**Note:**

- All payments will be made through electronic mode only.
- Payments should be subject to deductions of any amount for which the Bidder is liable under the tender conditions. Further, all payments shall be made subject to deduction of TDS (Tax deduction at Source) as per the applicable Income-Tax Act.

**4. Terms and extension of Contract**

The term of this Contract will commence from the date of acceptance of award and will be valid for a period of three (3) years (including both Phases1& 2) and may be extended for at sole discretion of the Bank.

During extended period (if any) (National Housing Bank reserve right to extend the agreement with Bidder), the term and conditions for SLA, penalty and Prices for services, AMC & Manpower shall remain same as given for 3rd Year.

**5. Payment in case of termination of contract**

The entire contract is to be completed in full and any prior termination / inability to complete the project by the bidder shall result in no payment and forfeiture of EMD submitted by the bidder. No request for pro-rata payment shall be entertained by the Bank.

## 9 GENERAL TERMS AND CONDITIONS

1. The Bidder is expected to peruse all instructions, forms, terms and specifications in this RFP and its Annexures. Failure to furnish all information required in the RFP Documents, in the formats prescribed or submission of a proposal not substantially responsive or submission of unnecessary additional information as part of response to this RFP Document may result in rejection of the proposal.
2. All such amendments made by NHB to the RFP shall become part and parcel of the RFP and same will be notified on NHB's website. The Bidders are required to have a watch on NHB's website for any such amendment.
3. Bidders must take into consideration each and every line of this RFP document while preparing technical and commercial proposal for the project. Bidders are requested to get any issue clarified by NHB before submitting the responses/Bids. The Bids submitted should be complete in all respect meeting all deliverables under the project. It will be the sole responsibility of the successful Bidder to deliver each and everything as per the scope of the work during the contracted period. NHB will not be responsible in case of any requirement is underestimated or any requirement is not interpreted in right perspective.
4. NHB reserves the right to change the requirement specifications and ask for the revised Bids or the tendering process without assigning any reasons.
5. NHB shall be under no obligation to accept the lowest or any other offer/Bid received in response to this RFP and shall be entitled to reject any or all offers including those received late or incomplete offers, without assigning any reason whatsoever. NHB reserves the right to make any changes in the terms and conditions of contract. NHB will not be obliged to meet and have discussions with any Bidder, and or to consider any representations. NHB reserves the right to accept or reject, fully or partially, any or all offers without assigning any reason. The decision of NHB in this regard is final and no further correspondence in this regard will be entertained.
6. Notwithstanding anything to the contrary contained in the contract, NHB shall be at liberty to invoke the Performance Bank Guarantee in addition to other remedies available to it under the contract or otherwise if the successful Bidder fails to fulfill any of the terms of contract / order or commits breach of any terms and conditions of the contract.

7. On faithful and satisfactory execution of assignments under the contract in all respects, the PBG of the successful Bidder will be released by NHB, if not forfeited due to any reason as provided herein, after a period of 100 days after completion/execution of the assignments/contract.
8. Bidder must deploy manpower having requisite qualification, experience, skill-set etc. for the project/contract.
9. NHB reserves the right to call for any additional information and also reserves the right to reject the proposal of any Bidder if in the opinion of NHB, the information furnished is incomplete or the Bidder does not qualify for the contract.
10. The scope of the proposal shall be on the basis of single point responsibility, completely covering the products and services specified under this RFP, on end-to-end solution basis.
11. The Commercial and Technical Bids will have to be signed on all pages of the Bid by the authorized signatory. Unsigned Bids would be treated as incomplete and would be rejected.
12. By submitting proposal/bid, the Bidder agrees to promptly execute contract with NHB for any work awarded to the Bidder. Failure on the part of the awarded Bidder to execute a valid contract/service level agreement with NHB, will relieve NHB of any obligation to the Bidder, and a different Bidder may be selected.
13. Time and quality of the service are the essence of this agreement/contract. Failure to adhere to the same will be considered as breach of the terms and conditions of the contract.

#### **14. Penalty**

If the selected Bidder/consultant fails to provide the services as per the service levels or targets mentioned in the RFP, the Bank will impose penalty as mentioned in Clause No.5.14 of the RFP.

#### **15. Removal and/or Replacement of Personnel**

- If, for any reason beyond the reasonable control of the firm, it becomes necessary to replace any of the Key Personnel (personnel according to NHB engaged for key assignments under the contract by the firm), the firm shall forthwith provide as a replacement a person of equivalent or better qualifications and skills.
- If NHB finds that any of the Personnel have (i) committed serious misconduct or has been charged with having committed a criminal action, or (ii) have reasonable cause to be dissatisfied with the performance of any of the Personnel, then the firm shall, at NHB's written request specifying the grounds therefore, forthwith provide as a replacement a person with qualifications and experience acceptable to NHB.
- For any of the Personnel provided as a replacement under Clauses (i) and (ii) above, the contract value shall not change, (i) the firm shall bear all additional travel and other costs arising out of or incidental to any removal and/or replacement, and (ii) the total contract value shall not exceed the amount quoted in financial bid.

#### **16. Acceptance of Work Order/Letter of Award**

NHB will notify the successful Bidder in writing by issuing a letter of award/work order in duplicate. The successful Bidder has to return the duplicate copy to NHB within 7 working days from the date of the letter of award/work order duly accepted and signed by Authorized Signatory in token of acceptance. However, NHB has a right to cancel the letter of award/work order, if the same is not accepted within the stipulated period.

#### **17. Definitive Agreement**

The successful Bidder will sign Service Level Agreement (SLA) substantially in the format as provided in Annexure XVI and the Confidentiality cum Non-Disclosure Agreement (NDA) in **Annexure XVII** with NHB within 15 days of the letter of award (LoA) or within such extended period as may be decided by NHB. All expenses, stamp duty and other charges/expenses in connection with the execution of the Agreement/s as a result of this RFP process shall be borne by successful Bidder. Copy of Board resolution or power of attorney showing that the signatory has been duly authorized to sign the acceptance letter, contract and non-disclosure agreement, should be submitted.

## 18. Taxes

Only GST will be paid by NHB on actual basis as per statutory rates prevalent during the period of service provided. All other charges as applicable will be borne by the Bidder. NHB is authorized to make such tax deduction at source as may be necessary as per law/rules in force in respect of payments made to the Consultants.

## 19. Liquidated Damages

If the consultant fails to complete the due performance of the contract in accordance with the specifications and conditions agreed during the final contract negotiations, NHB reserves the right to recover damages maximum of 10% of the contract value for non-performance/delayed performance as and by way of liquidated damages.

## 20. Use of Contract Documents and Information

The Bidder shall not, without NHB's prior written consent, make use of any document or information provided by NHB in Bid document or otherwise except for purposes of performing the contract.

## 21. Assignment/ Sub-Contract

The successful bidder shall not assign/subcontract/outsource, in whole or in part, its obligations to perform under the contract, except with NHB's prior written consent.

## 22. Pre-Contract Integrity Pact Clause (To be included as and when required on case to case basis)

A "Pre-Contract Integrity Pact" would be signed between NHB and the Bidders. This is a binding agreement between NHB and Bidders. Under this Pact, the Bidders agree with the Bank to carry out the assignment in a specified manner. The format of Pre-Contract Integrity Pact will be as per **Annexure - XV**.

In this regard, NHB has appointed Shri \_\_\_\_\_ and Shri \_\_\_\_\_ (Name and Addresses of the Monitors to be given) as independent external monitors for the Integrity Pact in consultation with the Central Vigilance Commission.

The following set of sanctions shall be enforced for any violation by a Bidder of its commitments or undertakings under the Integrity Pact:

- Denial or loss of contracts;
- Forfeiture of the EMD/Bid security and performance bond/PBG;
- Liability for damages to the principal and the competing Bidders; and
- Debarment of the violator by NHB for an appropriate period of time.

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

# ANNEXURES

## ANNEXURE - I (BIDDER'S INFORMATION)

Please provide following information about the Company/Firm (Attach separate sheet if required): -

S. No.	Information	Particulars / Response
1.	Name of the Company /firm	
2.	Date of Incorporation	
3.	Type of Company/firm: Limited Company (Public or Private) or a registered Partnership firm.  <b>Copy of Memorandum &amp; Articles of Association, Partnership Deed, as applicable to be enclosed</b>	
4.	Registration No. and date of registration. <b>Registration Certificate to be enclosed</b>	
5.	Address of Registered Office with contact numbers [phone /fax]	
6.	PAN No.	
7.	GSTN	
<p><b>Contact Details of Bidder authorized to make commitments to NHB</b> <b>(Copy of authorization/board resolution to be enclosed)</b></p>		
8.	Name	
9.	Designation	
10.	FAX No	
11.	Mail ID	
12.	Company Head Office and Addresses Contact Person(s)  Phone E-mail Website	
<p><b>Other Details</b></p>		
13.	Any pending or past litigation (within three years)? If yes, please give details Also mention the details of claims and complaints received in the last three years (About the Company / Services provided by the company).	Yes/No/Comments (if option is 'Yes') (If option is 'Yes' Bidder may Not be considered)

14.	Please mention turnover and Net Profit/Loss for last three years and include the copies of Balance Sheet in support of it.	Year	Turnover	Net Profit/Loss (-)

**Audited/CA certificate of Balance sheet and Profit & Loss accounts for last 3 years to be submitted.**

**Authorized Signatories**

**(Name & Designation, seal of the company)**

**Date:**

## ANNEXURE - II (BIDDER EXPERIENCE DETIALS)

1.	Bidder's experience in Managed Security Operation Center (in years)	
	a) Experience in India	
	b) Global experience	
2.	Details of service contracts on Managed Security Operation Center executed with SCBs/All India FIs/Regulatory Bodies.	
3.	Number of qualified personnel employed	
4.	Number of operating offices in India	
5.	Details of Operating Offices in India	

### Authorized Signatories

(Name & Designation, seal of the company)

Date:

## **ANNEXURE - III (COMPLIANCE STATEMENT DECLARATION)**

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

### **Authorized Signatories**

**(Name & Designation, seal of the company)**

**Date:**

## ANNEXURE - IV (LIST OF DEVIATIONS)

We certify that the services offered by us for tender confirms to the requirement stipulated as per this RFP with the following deviations

Bidders are requested to provide details of all deviations, comments and observations or suggestions in the following format with seal and signature. You are also requested to provide a reference of the page number, state the clarification point and the comment/ suggestion/ deviation that you propose as shown below.

NHB may at its sole discretion accept or reject all or any of the deviations, however it may be noted that the acceptance or rejection of any deviation by NHB will not entitle the Bidder to submit a revised Bid.

List of deviations:

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

(If left blank it will be construed that there is no deviation from the specifications given above) (The decision of NHB is final towards evaluation of the Bid documents)

### Authorized Signatories

(Name & Designation, seal of the company)

Date:

## ANNEXURE - V (MINIMUM ELIGIBILITY CRITERIA)

S. No.	Criteria
1.	The Bidder should be a company registered under Companies Act, 1956/2013 or a partnership firm registered under Partnership Act 1932/LLP Act, 2008.
2.	<p>Bidder should have completed minimum 20 SOC implementation and operations service projects [from SOC establishment in India]-</p> <p>a) Each of these projects should be of minimum annualized value INR 10 Lakh (exclusive of taxes).  b) At least 5 projects of the above should be of annualized value more than INR 50 lakh (exclusive of taxes) each. In case of ongoing projects, the value of completed services (up to a month prior to the release of this RFP) shall be considered.</p>
3.	Bidder should have successfully provided minimum 5 SOC implementation and operations service [from SOC establishment in India] to SCBs/All India FIs/ Regulatory Bodies/BFSI organizations in India.
4.	The bidder should own and have been managing well established Security Operations Centre (SOC) [as well as DR site] with its own threat intel platform.
5.	The Bidder SOC's infrastructure and DR, both, must be located in India for at least last three years.
6.	The Bidder must be empaneled with CERT-In as Information Security Audit Organization.
7.	The bidder Company should have at-least 100 qualified Information Security / Cyber Security professionals (DISA/CISA/CISM/CDAC/ CEH/ISO 27001 certified) in their payroll.
8.	The Bidder firms should not have been blacklisted/ debarred by any Government Financial Institutions/Banks/RBI/ICAI/IBA/Government/Semi Government Departments/PSUs in India during last 5 years and Blacklisting should not be in force.
9.	Bidder's average annual turnover should be more than INR 100 crores in each of the last three financial years (FY) i.e. 2017-18, 2018-19 & 2019-20.
10.	Bidder should have positive net worth and should not be insolvent or should not have filed for bankruptcy.
11	<p>Bidder should have below mentioned best in class tools/technology &amp; application listed in latest Gartner quadrants report which must be fulfilling the NHB business requirements:</p> <ul style="list-style-type: none"> <li>• SIEM</li> <li>• Threat Intelligent Feed</li> </ul>
12.	Bidder should not be existing System Integrator (for Network Infrastructure/ Facility Management) and/or Cyber Security Consultant for the Bank to avoid conflict of interest.

## ANNEXURE - VI (TECHNICAL BID COVERING LETTER)

Date:

To

The \_\_\_\_\_ National Housing Bank, CISO Office Head Office Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road, New Delhi – 110003

Dear Sir,

### **Technical Bid – Setting up Cyber-Security Operations Centre (CSOC), SIEM and Security Tools Implementation**

We, the undersigned, offer to provide services for the above-mentioned assignment, in accordance with your RFP document [Insert RFP Number] dated [Insert Date]. We are hereby submitting our Proposal, which includes Minimum Eligibility Criteria, this Technical Proposal and a commercial Proposal. The minimum eligibility criteria and technical proposal are put in one envelope and the commercial proposal in separate envelope.

We understand you are not bound to accept any proposal you receive.

Dated at \_\_\_\_\_ / \_\_\_\_\_ day of \_\_\_\_\_ 2020.

Yours faithfully,

**For**

**Authorized Signatories**

**(Name & Designation, seal of the company)**

**Date:**

## ANNEXURE - VII (TECHNICAL BID FORMAT)

Bidder response to the Technical Bid of this RFP document must be provided as detailed in chapter 7. Any extra information may be provided as separate section at the end of Technical Bid document. Technical Bid should be submitted with covering letter.

1. Details as detailed as below mentioned under Table 1: \_\_\_\_\_
2. List of deviations (as per Annexure -IV)
3. Technical Bid Covering Letter (as per Annexure –VI)
4. Others as described above.

Note: Bidder must submit softcopy of complete technical Bid inside the sealed envelope meant for “Technical Proposal”.

## ANNEXURE - VIII (COMMERCIAL BID COVERING LETTER)

The \_\_\_\_\_

National Housing Bank,  
CISO Office Head Office,  
Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road,  
New Delhi – 110003

Dear Sir,

### **Commercial Bid for Setting up Cyber-Security Operations Centre (CSOC), SIEM and Security Tools Implementation**

We, the undersigned, offer to provide services for the above-mentioned assignment, in accordance with your Request for Proposal [\_\_\_\_\_ Insert RFP Number] dated [\_\_\_\_\_], and our Proposal (Technical and Commercial Proposals). The Total fee is exclusive of all taxes, duties, charges and levies (as applicable and payable under the laws) and out of pocket expenses that we might incur and there will be no additional charges.

Our commercial proposal shall be binding upon us, subject to the modifications resulting from contract discussions, up to expiration of the validity period of the Proposal i.e. \_\_\_\_\_ up to \_\_\_\_\_ [date].

Yours faithfully,

For

**Signature**

**Name Address**

**(Authorized Signatory)**

**Date:**

## ANNEXURE - IX (COMMERCIAL BID FORMAT)

The structure of the Bidder's commercial response to this RFP must be as per following order. The Commercial Bid Response must be submitted with Commercial Bid covering letter, format of which is given at the end this section.

##	Particulars	Rate (in INR) (i)	Frequency (ii)	Total (in INR) (iii) = (i) * (ii)
1	(A) One-time Implementation Phase Cost		1	
##	Particulars	Monthly Rate (in INR) (i)	Frequency (ii)	Total (in INR) (iii) = (i) * (ii)
2	(B) Operations Cost for Year 1*		12	
3	(C) Operations Cost for Year 2*		12	
4	(D) Operations Cost for Year 3*		12	
##	Particulars	Amount (in INR)		
5	<b>Total Cost of Project (E)= (A+B+C+D)</b>			

\* Including mandatory manpower sought under Scope of work.

Note- Cells in BLUE are to be filled by the bidder.

Bidders are requested to note the following:

- All the details must be provided as per format. Incomplete formats will result in rejection of the proposal.
- Masked commercial Bids must be given with technical Bid.
- All the pages of commercial Bids must be sealed and signed by authorized signatory.
- All the quoted costs will be exclusive of GST but inclusive of all other taxes, duties, charges, cess (if any).
- Bidder must submit softcopy of complete commercial Bid inside the sealed envelope meant for 'Commercial Proposal'.
- All the rates must be quoted in INR.
- The prices in any form or by any reasons should not be disclosed in the technical or other parts of the Bid except in the commercial Bid. Failure to do so will make the Bid liable to be rejected.
- The commercials quoted in the commercial Bid are valid for six months from the date of opening of commercial Bids. After selection the price quoted will be valid during the currency of project.
- For the purpose of Financial Bid evaluation, Bid Value for each bidder shall be arrived as follows-

$$\text{Bid Value (F)} = (50\% \text{ of A}) + (50\% \text{ of B}) + (25\% \text{ C}) + (25\% \text{ D})$$

where A is one-time cost for Implementation Phase, B is Total Operations Cost for Year 1, C is Total Operations Cost for Year 2 and D is Total Operations Cost for Year 3.

- Overall Bid evaluation shall be done as defined in Section 7-Bids (TECHNICAL & COMMERCIAL) and Bid Evaluation Methodology.

**Signature**

**Name Address**

**(Authorized Signatory)**

**Date:**

## ANNEXURE - X (ECS MANDATE)

[To be submitted along with Technical Bid]

### ECS MANDATE FORM

FOR PROVIDING DETAILS OF BANK ACCOUNT FOR CREDIT OF PAYMENT FROM NATIONAL HOUSING BANK  
(Please fill in the information in CAPITAL LETTERS)

**1. Name of the Bidder** \_\_\_\_\_

**2. Address of the Bidder** \_\_\_\_\_

City: \_\_\_\_\_ Pin Code: \_\_\_\_\_

E-mail id: \_\_\_\_\_

Phone /Mobile No. \_\_\_\_\_

Permanent Account Number (PAN) \_\_\_\_\_

Service Tax Registration No. \_\_\_\_\_

TIN No. \_\_\_\_\_

### 3. Particulars of Bank Account

A. Name of Account same as in the Bank: \_\_\_\_\_

B. Name of the Bank: \_\_\_\_\_

C. Name of the Branch: \_\_\_\_\_

D. Address of the Branch with Tel No. \_\_\_\_\_

E. Account No. (appearing in Cheque book): \_\_\_\_\_

F. Account Type (SB, Current, etc.): \_\_\_\_\_

G. MICR No. \_\_\_\_\_

H. IFSC Code of the bank branch: \_\_\_\_\_

I/We hereby authorize National Housing Bank to credit payment(s) to my/our above bank account by ECS. # (#ECS will accepted on centers where the facility is available).

I/We hereby declare that the particular given above are correct and complete. If the transaction is delayed or not effected at all by ECS for reasons of incomplete or incorrect information, I/we would not hold National Housing Bank responsible. I also undertake to advise any change in the particulars of my account to facilitate Updation of records for purpose of credit of amount through RTGS/NEFT.

I also agree that without prejudice to the generality of the foregoing, in the event National Housing Bank is not able to carry out the ECS instructions given by me, National Housing Bank may make such arrangements for payment as deemed appropriate by it, for effecting the transaction.

Place:

Date:

Authorized Signatory/ies

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp:

Date:

Signature of the Authorized Official of the Bank

## ANNEXURE - XI (LETTER OF COMPETENCE FORMAT)

[To be submitted along with Technical Bid]

[To be executed on a non- judicial stamp paper]

Letter of Competence for Quoting against NHB's RFP No. /.....

This is to certify that we \_\_\_\_\_ [Insert name of Bidder], Address \_\_\_\_\_ are fully competent to undertake and successfully deliver the scope of services mentioned in the above RFP. This proposal is being made after fully understanding the objectives of the project and requirements like experience etc.

We certify that the quality and number of resources to be deployed by us for the purpose will be adequate to meet the requirement and provide the services professionally and competently.

We also certify that all the information given by us in response to this RFP is true and correct.

### Authorized Signatories

(Name & Designation, seal of the company)

Date:

## ANNEXURE - XII (CURRICULUM VITAE (CV) OF KEY PERSONNEL)

Marks will be awarded where complete details are provided. It is mandatory that Bidder to provide details of project handled, brief of the assignment, period for each of the resource proposed relevant to scope of the tender. Each resource deployed shall provide self-certificate indicating relevant experience of tender scope.

Format:

1) Proposed Position [only one candidate shall be nominated for each position Expert]:

2) Resource Name:

3) Nationality:

4) Date of Birth:

5) Educational Qualifications:

[Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]:

6) Certifications and Trainings attended:

7) No. of years" of experience

8) Total No. of years with the firm

**9) Areas of expertise and no. of years of experience in this area (as required for the Profile - mandatory):**

S. No	Project Name	Year & Period spent on project	Brief of the Project	Project Relevance to scope of work of this RFP (section details)	Project Customer Name, Contact Details & Address

10) Languages [For each language indicate proficiency: good, fair, or poor in speaking, reading, and writing]:

11) Membership of Professional Associations:

12) Employment Record [Starting with present position and last 2 firms, list in reverse order, giving for each employment (see format here below): dates of employment, name of employing organization, positions held.]:

From (Year):

To (Year):

Purchaser:

13) Positions held:

Detailed Tasks Assigned	<p><b>Relevant Work Undertaken that Best Illustrates the experience as required for the Role (provide maximum of 6 citations of 10 lines each)</b></p> <p>(Among the assignments in which the staff has been involved, indicate the following information for those assignments that best illustrate staff capability to handle the tasks listed under point 14 and as required for the role as listed in “List of the key professional positions whose CV and experience would be evaluated”)</p> <p>Name of assignment or project: Year: Location: Purchaser: Main project features: Positions held: Value of Project (approximate value or range value):</p> <hr/> <p>Purchaser: Main project features: Positions held: Value of Project (approximate value or range value): _____</p>
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**14) Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any willful misstatement described herein may lead to my disqualification or dismissal, from the assignment if engaged.

**Date:****(Signature of staff member or authorized representative of the staff)****Full name of Authorized Representative:**

## ANNEXURE - XIII (ESCALATION MATRIX)

We declare that we will adhere to following Escalation matrix during our service contract period with NHB:

Levels	Nameof the concerned person, Designation and Contact Details:
Level 1 Escalation	
Level 2 Escalation	
Level 3 Escalation	

## ANNEXURE – XIV (CERTIFICATE)

### CERTIFICATE

I have read the Clause No.6.38 of the RFP regarding restriction on procurement from a Bidder of a country which shares a land border with India; I certify that << **name of the firm**>> is not from such a country or, if from such a country, has been registered with the Competent Authority. I hereby certify that this Bidder fulfills all requirements in this regard and is eligible to be considered. [Evidence of valid registration by the Competent Authority shall be attached.]

### Authorized Signatories

**(Name & Designation, seal of the company)**

**Date:**

## ANNEXURE - XV (PRE-CONTRACT INTEGRITY PACT)

(To be executed on a non- judicial stamp paper)

This pre-bid/pre-contract Agreement (hereinafter called “this Integrity Pact”) between, the National Housing Bank, a bank established under the provisions of the National Housing Bank Act, 1987 having its Head Office at Core 5A, India Habitat Centre, Lodhi Road, New Delhi-110003 represented through Shri/Ms. \_\_\_\_\_, (Designation) (hereinafter called “NHB”, which expression shall mean and include, unless the context otherwise requires, its successors in office and assigns) of the First Part

**AND**

M/s \_\_\_\_\_ represented by Shri \_\_\_\_\_, Chief Executive Officer (hereinafter called the “Bidder” which expression shall mean and include, unless the context otherwise requires, his successors and permitted assigns) of the Second Part.

*(The party of the First Part and the party of the Second Part are hereinafter collectively referred to as the “Parties” and individually as the “Party”)*

**WHEREAS** NHB proposes to procure \_\_\_\_\_ (name of the items/services) as mentioned in the RFP No. \_\_\_\_\_ (“RFP”) and the Bidder is willing to offer/has offered \_\_\_\_\_ (name of the items/services) as desired by NHB in terms of the RFP;

**WHEREAS** the Bidder is a private company/public company/Government undertaking/ partnership/registered export agency, constituted in accordance with the relevant law in the matter and NHB is a statutory body established under the Act of Parliament;

**WHEREAS** to avoid all forms of corruption by following a system that is fair, transparent and free from any influence/prejudiced dealings prior to, during and subsequent to the currency of the contract to be entered into with a view to: -

- i. enabling NHB to obtain the desired said stores/equipment/services at a competitive price in conformity with the defined specifications by avoiding the high cost and the distortionary impact of corruption on public procurement and
- ii. enabling Bidders to abstain from bribing or indulging in any corrupt practice in order to secure the contract by providing assurance to them that their competitors will also abstain from bribing and other corrupt practices and NHB will commit to prevent corruption, in any form, by its officials by following transparent procedures.

**AND WHEREAS** the Parties hereto hereby agree to enter into this Integrity Pact on the terms and conditions mentioned hereinafter.

NOW IT IS THEREFORE AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

### 1. Commitments of NHB

- NHB undertakes that no official of NHB, connected directly or indirectly with the contract, will demand, take a promise for or accept, directly or through intermediaries, any bribe, consideration, gift, reward, favor or any material or immaterial benefit or any other advantage from the Bidder, either for themselves or for any person,

organization or third party related to the contract in exchange for an advantage in the bidding process, Bid evaluation, contracting or implementation process related to the contract.

- NHB will, during the pre-contract stage, treat all Bidders alike and will provide to all Bidders the same information and will not provide any such information to any particular Bidder which could afford an advantage to that particular Bidder in comparison to other Bidders.
  - All the officials of NHB will report to the appropriate Government office any attempted or completed breaches of the above commitments as well as any substantial suspicion of such a breach.
- 2.** In case any such preceding misconduct on the part of such official(s) is reported by the Bidder to NHB with full and verifiable facts and the same is prima facie found to be correct by NHB, necessary disciplinary proceedings, or any other action as deemed fit, including criminal proceedings may be initiated by NHB and such a person shall be debarred from further dealings related to the contract process. In such a case while an enquiry is being conducted by NHB the proceeding under the contract would not be stalled.

### **3. Commitments of Bidders**

- Compliance of the Instructions of GOI/Guidelines of CVC/Others: The Bidder undertakes that in case of its selection as the successful Bidder, it shall perform its duties under the Contract in strict compliance of the relevant and extant instructions of Government of India, GFR issued by Ministry of Finance, Guidelines of CVC and provisions of the Procurement Manual/relevant instructions of NHB, as applicable to the subject matter.
- The Bidder represents that it has the expertise to undertake the assignment/contract and also has the capability to deliver efficient and effective advice/services to NHB under the contract in terms of the RFP.
- The Bidder commits itself to take all measures necessary to prevent corrupt practices, unfair means and illegal activities during any stage of its Bid or during any precontract or post-contract stage in order to secure the contract or in furtherance to secure it and in particular commit itself to the following: -
  - i. The Bidder will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favor, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of NHB, connected directly or indirectly with the Bidding process, or to any person, organization or third party related to the contract in exchange for any advantage in the Bidding, evaluation, contracting and implementation of the contract.
  - ii. The Bidder has not given, offered or promised to give, directly or indirectly any bribe, gift, consideration, reward, favors, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of NHB or otherwise in procuring the Contract or forbearing to do or having done any act in relation to the obtaining or execution of the contract or any other contract with the Government for showing or forbearing to show favor or disfavor to any person in relation to the contract or any other contract with the Government.
  - iii. The Bidder shall disclose the name and address of its agents and representatives including its foreign principals or associates.
  - iv. The Bidder shall disclose the payments to be made by it to agents/brokers or any other intermediary, in connection with this Bid/contract.
  - v. The Bidder has not engaged any individual or firm or company whether Indian or foreign to intercede, facilitate or in any way to recommend to NHB or any of its functionaries, whether officially or unofficially to the award of the contract to the Bidder, nor has any amount been paid, promised or intended to be paid to any such individual, firm or company in respect or any such intercession, facilitation or recommendation.
  - vi. The Bidder, either while presenting the Bid or during pre-contract negotiations or before signing the contract, shall disclose any payments he has made, is committed to or intends to make to officials of NHB or their family members, agents, brokers or any other intermediaries in connection with the contract and the details of services agreed upon for such payments.

- vii. The Bidder will not collude with other parties interested in the contract to impair the transparency, fairness and progress of the bidding process, bid evaluation, contracting and implementation of the contract.
  - viii. The Bidder will not accept any advantage in exchange for any corrupt practice, unfair means and illegal activities.
  - ix. The Bidder shall not use improperly, for purposes of competition or personal gain or pass on to others, any information provided by NHB as part of the business relationship, regarding plans, technical proposals and business details, including information contained in any electronic data carrier. The Bidder also undertakes to exercise due and adequate care lest any such information is divulged.
  - x. The Bidder commits to refrain from giving any complaint directly or through any other manner without supporting it with full and verifiable facts.
  - xi. The Bidder shall not instigate or cause to instigate any third person to commit any of the actions mentioned above.
  - xii. If the Bidder or any employee of the Bidder or any person acting on behalf of the Bidder, either directly or indirectly is a relative of any of the officers of NHB or alternatively, if any relative of an officer of NHB has financial interest/stake in the Bidders firm, the same shall be disclosed by the Bidder at the time of filing of tender. The term 'relative' for this purpose would be as defined in Section 6 of the Companies Act 1956.
  - xiii. The Bidder shall not lend to or borrow any money from or enter into any monetary dealings or transactions, directly or indirectly, with any employee of NHB.
  - xiv. The Bidders shall disclose any transgressions with any other company that may impinge on the anti-corruption principle.
  - xv. The Bidder has not entered into any undisclosed agreement or understanding with other Bidders with respect of prices, specifications, certifications, subsidiary contracts, etc.
- The Bidder undertakes and affirms that it shall take all measures necessary to prevent any possible conflict of interest and in particular commit itself to the following:
    - i. The Bidder shall avoid any conflict of interest while discharging contractual obligations and bring, beforehand, any possible instance of conflict of interest to the knowledge of NHB, while rendering any advice or service.
    - ii. The Bidder shall act/perform, at all times, in the interest of NHB and render any advice/service with highest standard of professional integrity.
    - iii. The Bidder undertakes that in case of its selection as the successful Bidder, it shall provide professional, objective, and impartial advice and at all times and shall hold NHB's interest's paramount, without any consideration for future work, and that in providing advice it shall avoid conflicts with other assignments and its own interests.
    - iv. The Bidder declares/affirms that it has not been hired by NHB for any assignment that would be in conflict with its prior or current obligations to other employers/buyers, or that may place it in a position of being unable to carry out the assignment/contract in the best interest of NHB. Without limitation on the generality of the foregoing, the Bidder further declares/affirms as set forth below:
      - a. **Conflict between consulting activities and procurement of goods, works or non-consulting services (i.e. services other than consulting services) –**  
The Bidder has not been engaged by NHB to provide goods, works, or non-consulting services for a project, or any affiliate that directly or indirectly controls, is controlled by, or is under common control with the Bidder. The Bidder is fully aware that it shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Further, the Bidder is also aware of the fact that in case it has been hired to provide

consulting services for the preparation or implementation of a project, or any affiliate that directly or indirectly controls, is controlled by, or is under common control with the firm, shall be disqualified from subsequently providing goods, works, or services (other than consulting services) resulting from or directly related to the consulting services for such preparation or implementation. This provision does not apply to the various firms (consultants, contractors, or suppliers) which together are performing the Bidder's obligations under a turnkey or design and build contract.

- b. **Conflict among consulting assignments** – The Bidder understands that neither Bidder (including their personnel and sub-consultants), nor any affiliate that directly or indirectly controls, is controlled by, or is under common control with the firm, shall be hired for the assignment that, by its nature, may be in conflict with another assignment of the Bidder.

*As an example, Bidders assisting NHB in the privatization of public assets shall neither purchase, nor advise purchasers of, such assets. Similarly, Bidders hired to prepare Terms of Reference (TOR) for an assignment shall not be hired for the assignment in question.*

- c. **Relationship with NHB's staff** – The Bidder is aware that the contract may not be awarded to the Bidder in case it is observed that it, including its experts and other personnel, and sub-consultants, has/have a close business or family relationship with a professional staff of NHB (or of the project implementing agency) who are directly or indirectly involved in any part of: (i) the preparation of the TOR for the assignment, (ii) the selection process for the contract; or (iii) the supervision of such contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to NHB throughout the selection process and the execution of the contract.
- d. **A Bidder shall submit only one proposal either individually or as a joint venture partner in another proposal:** If the Bidder, including a joint venture partner, submits or participates in more than one proposal, all such proposals shall be disqualified. This does not, however, preclude a consulting firm to participate as a sub-consultant, or an individual to participate as a team member, in more than one proposal when circumstances justify and if permitted by the RFP.

#### 4. Previous Transgression

- The Bidder declares that no previous transgression occurred in the last three years immediately before signing of this Integrity Pact, with any other company in any country in respect of any corrupt practices envisaged hereunder or with any Public Sector Enterprise in India or any Government Department in India that could justify Bidder's exclusion from the tender process.
- The Bidder agrees that if it makes incorrect statement on this subject, Bidder can be disqualified from the tender process or the contract, if already awarded can be terminated for such reason.

#### 5. Accountability

- The Bidder undertakes that in case of its selection as the successful Bidder and assignment of the contract to the Bidder, it shall be accountable for the advice/supply made/to be made and/or for any service rendered/to be rendered by it to NHB, keeping in view norms of ethical business, professionalism and the fact that such advice / services to be rendered by it for a consideration.
- The Bidder shall be accountable in case of improper discharge of contractual obligations and/or any deviant conduct by the Bidder.

#### 6. Personal Liability

The Bidder understands that in case of its selection as the successful Bidder, the Bidder is expected to carry out its assignment with due diligence and in accordance with prevailing standards of the profession. The Bidder shall be liable to NHB for any violation of this Integrity Pact as per the applicable law, besides being liable to NHB as may be provided under the service level agreement/contract to be executed.

#### 7. Transparency and Competitiveness

The Bidder undertakes that in case of its selection as the successful Bidder, it shall keep in view transparency, competitiveness, economy, efficiency and equal opportunity to all prospective tenderers/Bidders, while rendering any

advice/service to NHB, in regard with matters related to selection of technology and determination of design and specifications of the subject matter, Bid eligibility criteria and Bid evaluation criteria, mode of tendering, tender notification, etc.

### **8. Co-operation in the Processes:**

The Bidder shall cooperate fully with any legitimately provided/constituted investigative body, conducting inquiry into processing or execution of the consultancy contract/any other matter related with discharge of contractual obligations by the Bidder.

### **9. Sanctions for Violations**

- Any breach of the aforesaid provisions by the Bidder or anyone employed by it or acting on its behalf (whether with or without the knowledge of the Bidder) shall entitle NHB to take all or any one of the following actions, whenever required:
  - i. To immediately call off the pre contract negotiations without assigning any reason or giving any compensation to the Bidder. However, the proceedings with the other Bidder(S) would continue.
  - ii. The Earnest Money Deposit (in per-contract stage) and / or Security Deposit /Performance Bond/PBG (after the contract is signed) shall stand forfeited either fully or partially, as decided by NHB and NHB shall not be required to assign any reason therefor.
  - iii. To immediately cancel the contract, if already signed, without giving any compensation to the Bidder.
  - iv. To recover all sums already paid by NHB, and in case of an Indian Bidder with interest thereon at 2% higher than the prevailing Prime Lending Rate of State Bank of India, while in case of a Bidder from a country other than India with interest thereon at 2% higher than the LIBOR. If any outstanding payment is due to the Bidder from NHB in connection with any other contract, such outstanding payment could also be utilized and appropriated by NHB to recover the aforesaid sum and interest.
  - v. To encash the advance bank guarantee and performance bond/warranty bond, if furnished by the Bidder, in order to recover the payments already made by NHB, along with interest.
  - vi. To cancel all or any other contracts with the Bidder. The Bidder shall be liable to pay compensation for any loss or damage to NHB resulting from such cancellation /rescission and NHB shall be entitled to deduct the amount so payable from the money(s) due to the Bidder.
  - vii. To debar the Bidder from participating in future Bidding process of NHB for a minimum period of three (3) year which may be further extended at the discretion of NHB.
  - viii. To recover all sums paid in violation of this Integrity Pact by Bidder(S) to any middleman or agent or broker with a view to securing the contract.
  - ix. In cases where irrevocable Letters of Credit have been received in respect of any contract signed by NHB with the Bidder, the same shall not be opened.
  - x. Forfeiture of Performance Bond/PBG in case of a decision by NHB to forfeit the same without assigning any reason for imposing sanction for violation of this Integrity Pact.
- NHB will be entitled to take all or any the actions mentioned at para 10.1(i) to (x) of this Integrity Pact also on the Commission by the Bidder or any one employed by it or acting on its behalf (whether with or without the knowledge of the Bidder), of an offence as defined in Chapter IX of the Indian Penal Code, 1860 or Prevention or Corruption Act, 1988 or any other statute enacted for prevention of corruption.
- The decision of NHB to the effect that a breach of the provisions of this Integrity Pact has been committed by the Bidder shall be final and conclusive on the Bidder. However, the Bidder can approach the Independent Monitor(s) appointed for the purposes of this Integrity Pact.

### **10. Fall Clause**

The Bidder undertakes that it has not supplied/is not supplying similar product/systems or subsystems at a price lower than that offered in the present Bid in respect of any other Ministry/Department of the Government of India or PSU/Public Sector Bank and if it is found at any stage that similar product/systems was supplied by the Bidder to any

other Ministry/Department of the Government of India or a PSU at a lower price, then that very price, with due allowance for elapsed time, will be applicable to the present case and the difference in the cost would be refunded by the Bidder to NHB, if the contract has already been concluded.

#### **11. Disqualification & Forfeiture of EMD/PBG etc.**

The Bidder(s) agree(s) that:

- Prior to award of contract or during execution of the contract, if the Bidder (s) has/have committed any transgression/breach of this Integrity Pact, NHB is entitled to disqualify the Bidder(s) from the tendering process/terminate the contract.
- If NHB disqualifies the Bidders(s) from the tendering process prior to award of contract under clause (a) above, NHB is entitled to demand and recover the damages equivalent to the EMD and in such event, the EMD shall be forfeited.
- After selection of the successful Bidder and/or during execution of the contract, any breach/violation by the successful Bidder of this Integrity Pact under clause (a) above shall entail forfeiture of performance bond/Performance Bank Guarantee (PBG).
- It is agreed that the decision of NHB regarding forfeiture of EMD/performance bonds/ PBG shall be final and binding.

#### **12. Independent External Monitors:**

- NHB has appointed Shri Kishore Kumar Sansi, Ex-MD of Vijaya Bank (email id kishoresansi1@gmail.com) and Shri Rakesh Rewari, Ex-DMD, SIDBI (email id: r\_rewari@yahoo.com) as independent external monitors (hereinafter referred to as “the Monitors”) for this Integrity Pact in consultation with the Central Vigilance Commission.
- The task of the Monitors shall be to review independently and objectively whether and to what extent the Parties comply with the obligations under this Integrity Pact.
- The Monitors shall not be subject to instructions by the representatives of the Parties and perform their functions neutrally and independently.
- Both the Parties accept that the Monitors have the right to access all the documents relating to the project procurement including minutes of meeting.
- As soon as the Monitor notices or has reason to believe a violation of this Integrity Pact, he will so inform the Authority designated by NHB.
- The Bidder accepts that the Monitor has the right to access without restriction to all project documentation of NHB including that provided by the Bidder. The Bidder will also grant the Monitor upon his request and demonstration of a valid interest, unrestricted and unconditional access to his project documentation. The same is applicable to sub-contractors. The Monitor shall be under contractual obligation to treat the information and documents (s) of the Bidder/sub-contractor with confidentiality.
- NHB will provide to the Monitor sufficient information about all meetings among the Parties related to the project provided such meeting could have an impact on the contractual relations between the Parties. The Parties will offer to the Monitor the option to participate in such meeting.
- The Monitor will submit a written report to the designated Authority of NHB within 8 to 10 weeks from the date of reference or intimation to him by NHB/Bidder and, should the occasion arise, submit proposals for correcting problematic situations.

#### **13. Facilitation of Investigation:**

In case of any allegation of violation of any provision to this Integrity Pact or payment of commission, NHB or its agencies shall be entitled to examine all the documents including the Books of Accounting of the Bidder and the Bidder shall provide necessary information and documents in English and shall extend all possible help for the purpose of such examination.

#### **14. Law and Place of Jurisdiction:**

This Integrity Pact is subject to Indian Law. Any dispute arising out of this shall be subject the jurisdictions of the Courts at New Delhi.

### 15. Other Legal Action:

The actions stipulated in this Integrity Pact are without prejudice to any other legal action that may follow in accordance with the provision of the extant law in force relating to any civil or criminal proceedings. However, the Parties shall not approach the Courts of Law while representing the matters to the Monitor/s and shall await the decision of the Monitor/s in the matter.

### 16. Validity:

- The validity of this Integrity Pact shall be from date of its signing and extend up to 5 years or the complete execution of the contract to the satisfaction of both NHB and the Bidder, including warranty period, whichever is later. In case Bidder is unsuccessful, this Integrity Pact shall expire after six months from the date of the signing of this Integrity Pact.
- Should one or several provisions of this Integrity Pact turn out or be invalid, the remainder of this Integrity Pact shall remain valid. In this case the Parties will strive to come to an agreement to their original intentions.

The Parties hereto sign this Integrity Pact on the day, month and year and at the place mentioned herein below:

<b>For National Housing Bank (Authorized</b>	<b>For Bidder (Authorized</b>
<b>Signatory)</b>  <b>Place: Date:</b>  <u><b>Witness</b></u> 1. _____  <b>(Name &amp; Address)</b> 2. _____  <b>(Name &amp; Address)</b>	<b>Signatory)</b>  <b>Place: Date:</b>  <u><b>Witness</b></u> 1. _____  <b>(Name &amp; Address)</b> 2. _____  <b>(Name &amp; Address)</b>

## ANNEXURE - XVI (SERVICE LEVEL AGREEMENT)

**(To be executed on a non- judicial stamp paper)**

### **Service Level Agreement**

THIS SERVICE LEVEL AGREEMENT (hereinafter referred to “the Agreement”) is made on this \_\_\_\_\_ day of the month of \_\_\_\_\_, 201\_, by and between,

National Housing Bank, a bank constituted under the National Housing Bank Act, 1987, having its Head Office at Core 5A, 3rd -5th floors, India Habitat Centre, Lodhi Road, New Delhi-110003 (hereinafter called “NHB”), which expression shall include wherever the context so permits, its successors and assigns; AND

\_\_\_\_\_, a company registered under the Companies Act, 1956, having its registered office at \_\_\_\_\_ (hereinafter called the “Consultants”), which expression shall include wherever the context so permits, its successors and permitted assigns.

(Hereinafter NHB and the Consultants are collectively referred to as “the Parties” and individually as “the Party”)

#### WHEREAS

- a) NHB intends to hire the Consultants for \_\_\_\_\_, as detailed in the Request for Proposal no. \_\_\_\_\_ on \_\_\_\_\_ (date) (including Corrigendum/Clarification, if any, issued) (hereinafter collectively referred to the “RFP (attached hereto as **Appendix- I**).
- b) The Consultant has been selected through open tendering process by way of floating the RFP by NHB followed by evaluation of Technical & Commercial Bids of the Bidders and accordingly the letter of award no. \_\_\_\_\_ dated \_\_\_\_\_ (“LoA”) (attached hereto as **Appendix- II**) has been issued by NHB to the Consultant;
- c) The Consultant has accepted and agreed to provide the Services in accordance with terms and conditions of RFP and the LoA.
- d) In terms of the RFP, NHB and the Consultant have agreed to enter into this definitive Service Level Agreement in the manner hereinafter appearing:

NOW THEREFORE the Parties hereby agree as follows:

### **1. GENERAL PROVISIONS**

#### **1.1 Definitions**

Unless the context otherwise requires, the following terms whenever used in this Agreement have the following meanings:

- a) “Applicable Law” means the laws and any other instruments having the force of law in India, as they may be issued and in force from time to time;
- b) ” Contract” means and shall construe this Agreement;

- c) “Deliverables” means and includes the major deliverables as specified in the RFP.
- d) “Effective Date” means the date on which this Agreement comes into force and effect pursuant to Clause 2.1 hereof;
- e) “Personnel” means persons hired/to be hired by the Consultant as employees and assigned to the performance of the Services or any part thereof.
- f) “Project” means collectively the Services and the Deliverables to be provided as detailed in the RFP.
- g) “Services” or “Scope of Work” means and includes the scope of work to be performed by the Consultant as described/set out in the RFP.
- h) “Third Party” means any person or entity other than NHB and the Consultant.

## 1.2 Principles of Interpretation

In this Agreement, unless the context otherwise requires:

- a) All capitalized terms unless specifically defined in this Agreement shall have the meaning given to them in the RFP;
- b) Words and abbreviations, which have well known technical or trade/commercial meanings are used in this Agreement in accordance with such meanings;
- c) The RFP, the LoA and the NDA along with the Appendices/ Attachments hereto, shall form part and parcel of this Agreement and shall be read together for all purpose and effect.
- d) In case of any inconsistency or repugnancy between the provisions contained RFP, LoA and this Agreement, unless the context otherwise requires, the opinion of NHB shall prevail to the extent of such inconsistency or repugnancy and the same shall be binding on the Consultant.
- e) In case of any inconsistency or repugnancy between the numbers and words, the words would prevail over the numbers.

## 1.3 Purpose

1.3.1. It is hereby agreed that the Consultant shall provide the Services to NHB as set out in the RFP till the completion of the Project. The objective of the Project is to make \_\_\_\_\_.

### 1.3.2. Performance of the Scope of Work

The Consultant shall perform all the services as set out in the Scope of Work and complete the Deliverables within the prescribed timelines in terms of the RFP and the entire assignment shall be completed within the Term of this Contract.

### 1.3.3. Term/Period of Contract

The entire assignment as detailed in the Scope of Work under this Contract shall be completed within a period of \_\_\_\_\_ (“Term”) starting from \_\_\_\_\_ by the Consultant unless the period is extended in accordance with this Agreement.

### 1.3.4. Contract Price

The entire assignment to be performed under this Contract is fixed price contract and the Consultant shall be paid the total price consideration of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_) (“Contract Price”) for the satisfactory performance/execution of the entire assignment under the Project. The Contract Price shall be paid by NHB as per the payment terms agreed at Clause 4.2 of this Agreement.

## 1.4 Relation between the Parties

Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between NHB and the Consultant. The Consultant, subject to this Agreement, has complete charge of personnel to be engaged by the Consultant for performing the Services and shall be fully responsible for the works to be performed by them or on their behalf hereunder and also for the quality of the work done by their personnel.

### 1.5 Language

This Contract has been executed in the English language, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.

### 1.6 Headings

The headings shall not limit, alter or affect the meaning of this Contract.

### 1.7 Notices

- 1.7.1. Any notice, request or consent required or permitted to be given or made pursuant to this Contract shall be in writing. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent by registered mail, telex, telegram or facsimile to such Party at the following address:

For NHB: Attention: \_\_\_\_\_ Fax: \_\_\_\_\_

For the Consultant: Attention: \_\_\_\_\_ Fax: \_\_\_\_\_

- 1.7.2. Notice will be deemed to be effective as follows:

- 1.7.3. A Party may change its address for notice hereunder by giving the other Party notice of such change pursuant to this Clause.

- In the case of personal delivery or registered mail, on delivery;
- In case of telegrams, ninety six (96) hours following confirmed transmission; and
- In the case of facsimiles, seventy two (72) hours following confirmed transmission

### 1.8 Locations

The Services shall be performed at Delhi or at such location required/ approved by NHB.

### 1.9 Authority of Consultant

The Consultant hereby authorize \_\_\_\_\_ to act on their behalf in exercising the entire Consultant's rights and obligations towards NHB under this Contract, including without limitation for signing letters/communications, execution of agreements, for receiving instructions and payments from NHB.

### 1.10 Taxes and Duties

The Consultants and their personnel shall pay the taxes (excluding GST), duties, fees, levies and other impositions levied under the existing, amended or enacted laws during the tenure of this Agreement and NHB shall perform such duties in regard to the deduction of such taxes as may be lawfully imposed from the payments to be made to the Consultant.

## 2. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

### 2.1. Effectiveness of Contract

This Agreement deemed to have taken effect from the date of acceptance of the Letter of Award (LoA) by the Consultant i.e. w.e.f. ....

### 2.2. Commencement of Services

The Consultant shall begin carrying out the Services immediately viz. from the date of acceptance of LoA, or on such date as the Parties may agree in writing.

### 2.3. Expiration of Contract

Unless terminated earlier pursuant to Clause-2.8 hereof, this Contract shall expire on the expiry of the Term as stated on Clause 1.3.3 herein unless the Term is extended in accordance with the Clause 2.6.4.

#### **2.4. Entire Agreement**

This Contract contains all covenants, stipulations and provisions agreed by the Parties. No representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.

#### **2.5. Modifications**

Modification of the terms and conditions of this Contract, including any modification of the scope of the Services/Scope of Work, may only be made by written agreement between the Parties and shall not be effective until the consent of the parties has been obtained, however, each Party shall give due consideration to any proposals for modification made by the other Party.

#### **2.6. Force Majeure**

##### **2.6.1. Definition**

In the event of either Party being rendered unable by Force Majeure to perform any obligation required to be performed by them under the Contract, the relative obligation of the Party affected by such Force Majeure shall be suspended for the period during which such cause lasts.

The term "Force Majeure" as employed herein shall mean acts of God, War, Civil Riots, Fire, Flood and Acts and Regulations of respective government of the two Parties directly affecting the performance of the Contract.

Upon the occurrence of such cause and upon its termination, the Party alleging that it has been rendered unable as aforesaid thereby, shall notify the other Party in writing, the beginning of the cause amounting to Force Majeure as also the ending of the said clause by giving notice to the other Party within 72 hours of the ending of the cause respectively. If the deliveries are suspended by Force Majeure conditions lasting for more than 2 (two) months, NHB shall have the option of canceling this Contract in whole or part at its discretion without any liability on its part.

Time for performance of the relative obligation suspended by Force Majeure shall then stand extended by the period for which such cause lasts.

##### **2.6.2. No Breach of Contract**

The failure of a Party to fulfill any of its obligations hereunder shall not be considered to be a breach of or default under this Contract in so far as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Contract.

##### **2.6.3. Measures to be taken**

- a. A Party affected by an event of Force Majeure shall take all reasonable measures to remove such Party's inability to fulfill its obligations hereunder with a minimum of delay.
- b. A Party affected by an event of Force Majeure shall notify the other Party such event as soon as possible, and in any event not later than fourteen (14) days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give notice of the restoration of normal conditions as soon as possible.
- c. The Parties shall take all reasonable measures to minimize the consequences of any event of Force Majeure.

##### **2.6.4. Extension of Time**

Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

##### **2.6.5. Consultation**

Not later than thirty (30) days after the Party, as the result of an event of Force Majeure, has become unable to perform a material portion of the Services, the Parties shall consult with each other with a view to agreeing on appropriate measures to be taken in the circumstances.

## 2.7. Suspension

NHB may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if NHB is not satisfied with the performance of the Consultant or if the Consultant fails to perform any of their obligations under this Contract, including the carrying out of services, provided that such notice of suspension (i) shall specify the nature of the failure, and (ii) shall request the Consultant to provide remedy for such failure within a period not exceeding thirty (30) days after receipt by the Consultant of such notice of suspension and shall invoke contract performance guarantee.

## 2.8. Termination

### 2.8.1. By NHB

NHB may by not less than fifteen (15) calendar days written notice of termination to the Consultant, (except in the event listed in paragraph (g) below, for which there shall be a written notice of not less than sixty (60) days) such notice to be given after the occurrence of any of the events specified in paragraphs (a) to (f) of this Clause-2.8.1, terminate this Contract:

- a. If the Consultant fails to remedy a failure in the performance of their obligations hereunder, as specified in a notice of suspension pursuant to Clause-2.7 here-in above, within thirty (30) days of receipt of such notice of suspension or within such further period as NHB may have subsequently approved in writing;
- b. If the Consultant becomes insolvent or bankrupt or enters into an agreement with its creditors for relief of debt or take advance of any law for the benefit of debtors or goes into liquidation receivership whether compulsory or voluntary;
- c. If the Consultant fails to comply with any final decision reached/award passed as a result of arbitration proceedings pursuant to Clause-8 hereof;
- d. If the Consultant submits to NHB a statement which has a material effect on the rights, obligations or interests of NHB and which the Consultant knows to be false;
- e. If, as a result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) days; or
- f. In the event it comes to the notice of NHB that any of the representations and/or warranties made by the Consultant either in the Bid Documents or in the subsequent correspondences are found to be false and/or the Consultant/its personnel are found to be involved in any fraudulent or criminal act;
- g. If NHB, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.

### 2.8.2. Cessation of Rights and Obligation

Upon termination of this contract pursuant to Clause- 2.8.1 hereof or upon expiration of this Contract pursuant to Clause-2.3 hereof, all rights and obligations of the Parties hereunder shall cease, except:

- a. Such rights and obligations as may have accrued on the date of termination or expiration,
- b. The obligation of confidentiality set forth in Clause-3.7 hereof,
- c. Any right which a Party may have under the Applicable Law.

### 2.8.3. Cessation of Services

Upon termination of this Contract by notice pursuant to clauses-2.8.1 hereof, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum.

### 2.8.4. Payment in case of termination of contract

The entire contract is to be completed in full and any prior termination / inability to complete the project by the bidder shall result in no payment and forfeiture of EMD submitted by the bidder. No request for pro-rata payment shall be entertained by the Bank.

### **3. OBLIGATIONS OF THE CONSULTANT**

#### **3.1. Standard of Performance**

The Consultant shall perform the Services and carry out their obligations hereunder with all due diligence, efficiency and economy, in accordance with generally accepted techniques and practices used with professional engineering and consulting standards recognized by professional bodies, and shall observe sound management, technical and engineering practices, and employ appropriate advanced technology, safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as faithful advisers to NHB, and shall at all times support and safeguard NHB's legitimate interests in any dealings with third parties.

#### **3.2. Law Governing contract**

The Consultant shall perform the assignment in accordance with the applicable Law and shall take all practicable steps to ensure that the Personnel of the Consultant comply with the Applicable Law.

#### **3.3. Conflict of Interest**

The Consultant shall hold NHB's interest paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their corporate interests.

#### **3.4. Consultant Not to Benefit from Commissions/Discounts etc.**

The payment of the Consultant by NHB shall constitute the Consultant's only payment in connection with this Contract or the Services, and the Consultant shall not accept for their own benefit any trade commission, discount, or similar payment in connection with activities pursuant to this Contract or to the Services or in the discharge of their obligations under the Contract, and the Consultant shall use their best efforts to ensure that its Personnel similarly shall not receive any such additional payment.

#### **3.5. Consultant and Affiliates not to be otherwise interested in /benefited from the Project**

The Consultant agrees that, during the term of this Contract and after its termination, the Consultant shall not create any work/ opportunity for itself and for any of its affiliates from this Project/ assignment and/or derive any financial benefits directly or otherwise, other than what is agreed to be paid as professional fee.

#### **3.6. Prohibition of Conflicting Activities**

The Consultant and its affiliates shall not engage, either directly or indirectly, in any business or professional activities which would conflict with the activities assigned to them under this Contract. The Consultant and its affiliates hired to provide services for the proposed assignment will be disqualified from services related to the initial assignment for the same Project subsequently.

#### **3.7. Confidentiality**

The Consultant and its Personnel shall not, either during the term or after the expiration of this Contract, disclose any proprietary or confidential information relating to the Project, the Services, this Agreement or NHB's business or operations without the prior written consent of NHB.

A separate non-disclosure cum confidentiality agreement ("NDA") will be signed between the Consultant and NHB, if required.

#### **3.8. Insurance to be taken out by the Consultant**

The Consultant shall take out and maintain at their own cost, appropriate insurance against all the risks, and for all the coverage, like workers compensation, employment liability insurance for all the staff on the assignment, comprehensive general liability insurance, including contractual liability coverage adequate to cover the indemnity of obligation against all damages, costs, and charges and expenses for injury to any person or damage to any property

arising out of, or in connection with, the services which result from the fault of the Consultant or their staff on the assignment.

### **3.9. Liability of the Consultant**

The Consultant shall be liable to NHB for the performance of the Services in accordance with the provisions of this Contract and for any loss suffered by NHB as a result of a default of the Consultant in such performance, subject to the following limitations:

(a) The Consultant shall not be liable for any damage or injury caused by or arising out of any act, neglect, default or omission of any persons other than the Consultant and its Personnel; and

(b) The Consultant shall not be liable for any loss or damage caused by or arising out of circumstances over which the Consultant had no control.

### **3.10. Indemnification of NHB by the Consultant**

The Consultant shall indemnify NHB and shall always keep NHB, its employees, personnel, officers and directors, both during and after the term of this Agreement, fully and effectively indemnified against all losses, damage, injuries, deaths, expenses, actions, proceedings, demands, costs and claims, including legal fees and expenses, suffered by NHB or any Third Party, where such loss, damage, injury is the result of (i) any wrongful action, negligence or breach of contract by the Consultant or its personnel; and/or (ii) any negligence or gross misconduct attributable to the Consultant or its personnel; and/or (iii) any claim made by employees who are deployed by the Consultant against NHB; and/or (iv) any claim arising out of employment, non-payment of remuneration and nonprovisional of benefits in accordance with the statues/various lab our laws by the Consultant to its employees; and/or (v) any or all Deliverables or Services infringing any patent, trademarks, copyrights or such other Intellectual Property Rights; and/or (vi) any breach of the confidentiality obligations mentioned under clause 3.7 and /or NDA.

### **3.11. Limitation of Liability**

(i) The Consultants aggregate liability, in connection with the obligations undertaken as a part of this Project, whether arising under this Project regardless of the form or nature of the action giving rise to such liability (whether in contract, tort or otherwise), other than the circumstances mentioned in the sub-clause (ii) below, shall be limited to 1X times of the total contract value.

(ii) The Consultant's liability in case of claims against NHB resulting from infringement of patents, trademarks, copyrights or such other Intellectual Property Rights or breach of confidentiality obligations committed by the Consultant shall be actual and unlimited.

(iii) Under no circumstances, NHB shall be liable to the Consultant for direct, indirect, incidental, consequential, special or exemplary damages arising from termination of this Agreement, even if he has been advised of the possibility of such damages.

### **3.12. Consultant's Actions Requiring Owner's Prior Approval**

The Consultant shall not enter into a subcontract for the performance of any part of the Services, without the prior approval of NHB in writing. However, the Consultant can hire the services of Personnel to carry out any part of the services. The Consultant shall remain fully liable for the performance of the services by its personnel pursuant to this Contract.

### **3.13. Reporting Obligations**

The Consultant shall submit to NHB the reports and documents within the timelines set forth in the Offer Letter, including any supporting data required by NHB.

### **3.14. Documents prepared by the Consultants to be the Property of NHB:**

All reports and other documents prepared/developed by the Consultant in performing the Services shall become and remain the property of NHB, and the Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to NHB, together with a detailed inventory thereof. The Consultant may retain a copy of

such documents and shall not use them for purposes unrelated to this Contract without the prior written approval of NHB.

### **3.15. Consultant's Personnel**

The Consultant shall ensure that personnel/employees engaged by him in the project/contract, have appropriate qualifications and competence as stipulated under the RFP and are in all respects acceptable to NHB. The Consultant will do its utmost to ensure that the personnel identified by the Consultant to work under this Agreement completes the Term. If any such personnel resign from his job and leaves the Consultant, the Consultant will provide NHB with other personnel of equivalent knowledge, skill and experience acceptable to NHB as his substitute.

The Consultant shall strictly comply with all applicable labour laws and such other laws in relation to the services to be provided and the personnel engaged by the Consultant and he shall be solely responsible for all acts of the said personnel so enrolled and there shall and will not be any privity of contract for any purpose and to any intent between NHB and said personnel so engaged by the Consultant.

The Consultant shall be responsible for making appropriate deductions in respect of income tax and any other statutory deductions under applicable laws in respect of its personnel/employees engaged by the Consultant under this Agreement. The Consultant agrees to indemnify NHB in respect of any claims that may be made by statutory authorities against NHB in respect of contributions relating to the personnel/employees engaged by the Consultant for performing the work under this Agreement. NHB is authorized to make such tax deduction at source as may be necessary as per law/rules in force in respect of payments made to the Consultant.

### **3.16. Non-Compete**

The Consultant will neither approach nor make any proposal for work for any employee of NHB directly or indirectly during the validity of this Agreement and for one year from the date of termination of this Agreement.

### **3.17. Change in Ownership or Constitution:**

The Consultant will inform NHB immediately about any change in its ownership or its constitution. The Consultant will ensure that the NHB's interest will be protected with utmost care. If NHB is not satisfied with the change of ownership or constitution of the Consultant and/or with the new owner, NHB shall have the right of termination and in that event, the payment, if any, upon termination may be made as provided in clause 2.8.4.

## **4. OBLIGATIONS OF NHB**

### **4.1. Support**

NHB will provide the support as required necessary by it including giving access to the relevant and limited data maintained in its system to the Consultant for carrying out the assignment under the Contract.

### **4.2. Consideration & Payment Terms**

In consideration of the Services performed by the Consultant under this Agreement, NHB shall make to the Consultant such payments and in such manner as specified in the RFP and/or the LoA.

The Consultant shall submit the bills to NHB of firms printed bill forms indicating the work done by him during the period for which payment is sought. NHB shall make payments to the Consultant as per the payment schedule given in the RFP. But if the progress is not satisfactory and according to agreed work program/schedule the payment may be withheld.

### **4.3. Non-Solicitation:**

NHB agrees not to make an offer for employment to any personnel provided/deployed by the Consultant under this Agreement, and, not to accept any application for employment from him/her, while he is under the term of this Agreement, and, for up to twelve (12) months from the date of last assignment of the work under this Agreement with NHB.

## **5. FAIRNESS AND GOOD FAITH**

### **5.1. Good Faith**

The Parties undertake to act in all fairness and good faith in respect to each other's rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract

## **6. UNDERTAKINGS:**

The Consultant hereby further undertakes:

(i) That the Consultant has gone through all the required/relevant and extant instructions/ circulars of Government of India, Reserve Bank of India and /or any other concerned authority, GFR issued by Ministry of Finance, guidelines of CVC and provisions of the manual/relevant instructions of NHB, as applicable to the scope/area of its work/operation under this Agreement and the advice/services to be rendered by it as the Consultant and it complies/will comply with all such requirements.

(ii) That the Consultant has the necessary expertise to work and execute the Project as per the scope of work set out in detail in the RFP and it has the capability to deliver efficient and effective advice/services to NHB. It shall carry out the assignment under this Agreement with due diligence and with the highest standard of professionalism and business ethics.

(iii) That being the Consultant of NHB for a consideration, it shall be accountable for (a) any improper discharge of the assignment under this Agreement and/or (b) any deviant conduct keeping in view the norms of ethical business and professionalism.

(iv) That NHB shall have every right at its discretion to enforce such accountability in case of any improper discharge of contractual obligations and/or any advice/service rendered in the views of NHB is found to be grossly faulty/negligent/deficient and/or any deviant conduct by the Consultant and as a consequence of it, NHB can, irrespective of anything stated herein, terminate this Agreement by giving 15 days prior notice, including to withhold/retain the dues payable to the Consultant by NHB under this Agreement and appropriate/adjust the same for the losses, if any, suffered by NHB without requiring NHB to prove the actual loss.

(v) That the Consultant shall not do anything that will be of any conflict of interest to the Consultant while discharging the obligations under this Agreement and it shall bring to the notice/knowledge of NHB beforehand any possible instance of conflict of interest while rendering any advice or service. Further, the Consultant shall not receive any remuneration in connection with the assignment except as provided in this Agreement. The Consultant and/or any of its affiliates shall not engage in consulting or other activities that will be in conflict with the obligations under this Agreement.

(vi) That the Consultant has not been hired for any assignment that would be in conflict with its prior or current obligations to NHB or that may place the Consultant in a position of being unable to carry out the assignment in the best interest of NHB.

(vii) That the Consultant shall act at all times in the interest of NHB and render advice/service with highest professional integrity and shall cooperate fully with any legitimately provided/constituted investigative body, conducting inquiry into processing or execution of the consultancy contract/any other matter related with discharge of the contractual obligations by the Consultant.

## **7. SEVERABILITY:**

Each clause of this Agreement is enforceable independently. Should any clause of this Agreement become not enforceable due to any reason, it will not affect the enforceability of the other clauses.

## **8. SETTLEMENT OF DISPUTES:**

In the event of any dispute or difference arising out of, in relation to, or in connection with this Agreement, or the breach thereof, shall be settled amicably through mutual discussions. If, however, the parties are not able to settle them amicably without undue delay, the same shall be settled by the process of arbitration in accordance with the provisions of the Arbitration & Conciliation Act, 1996 (as amended from time to time). The venue of such arbitration shall be at New Delhi and the proceedings shall be conducted in English. The arbitration tribunal shall consist of Sole i.e. 1(one) Arbitrator to be appointed jointly by the Parties within thirty (30) days from the date of first recommendation for appointment of arbitrator in written form one Party to the other. If the Parties fail to agree on appointment of such Sole Arbitrator, arbitral tribunal consisting of Sole Arbitrator shall be appointed in accordance with the provisions of the Arbitration and Conciliation Act, 1996. The award of arbitrator made in

pursuance thereof shall be final and binding on the Parties. All costs and expenses of such arbitration shall be borne equally by the Parties at the first instance which however subject to the provisions of the said Act.

Notwithstanding, it is agreed that the Consultant shall continue the remaining work for the assignment under this Agreement during the pendency of arbitration proceedings unless otherwise directed in writing by NHB or unless the matter is such that the work cannot possibly be continued until the decision of the arbitrator, as the case may be, is obtained.

#### **9. JURISDICTION AND APPLICABLE LAW**

This agreement including all matters connected with this Agreement, shall be governed by the laws of India (both substantive and procedural) for the time being in force and shall be subjected to exclusive jurisdiction of the Courts at New Delhi.

IN WITNESS WHEREOF, the Parties hereto have caused this Agreement signed in their respective names on the day and year first above written at New Delhi.

FOR AND ON BEHALF OF NATIONAL HOUSING BANK

By \_\_\_\_\_ Authorized  
Representative

FOR AND ON BEHALF OF [CONSULTANT]

By \_\_\_\_\_ Authorized  
Representative WITNESSES:

1. (Name and address)

2. (Name and address)

## ANNEXURE - XVII (NON-DISCLOSURE AGREEMENT)

### CONFIDENTIALITY –CUM- NON DISCLOSURE AGREEMENT

(To be executed on a non- judicial stamp paper)

This Confidentiality –cum-Non Disclosure Agreement is entered into a New Delhi on this ..... day ..... of \_\_\_\_\_, 201\_\_, by and between;

\_\_\_\_\_, a ..... incorporated \_\_\_\_\_, having its Registered Office at ..... (hereinafter referred to as “the Consultants”), which expression shall include wherever the context so permits, its successors and permitted assigns; and

The National Housing Bank, a bank constituted under the National Housing Bank Act,1987 (Central act No. 53 of 1987) having its Head Office at Core-5A,5th Floor, India Habitat Centre, Lodhi Road, New Delhi-110003; (herein after referred to as “NHB”), which expression shall include wherever the context so permits, its successors and permitted assigns:

WHEREAS the Consultant & NHB would be having discussions and negotiations concerning \_\_\_\_\_ (“Purpose”) between them as per the Service Level Agreement dated ..... (hereinafter referred to as “SLA”). In the course of such discussions & negotiations, it is anticipated that either party may disclose or deliver to the other party certain of its trade secrets or confidential or proprietary information for the purpose of enabling the other party to evaluate the feasibility of such a business relationship. The parties have entered into this Agreement, in order to assure the confidentiality of such trade secrets and confidential & proprietary information in accordance with the terms of this Agreement. As used in this Agreement, the party disclosing Proprietary Information (as defined below) is referred to as “the Disclosing Party” & will include its affiliates and subsidiaries, the party receiving such Proprietary Information is referred to as “the Recipient/Receiving Party” and will include its affiliates & subsidiaries and its personnel.

Now this Agreement witnessed: -

#### 1. Proprietary Information:

As used in this Agreement, the term Proprietary information shall mean as all trade secrets or confidential or Proprietary information designated as such in writing by the Disclosing Party, whether by letter or by the use of an appropriate prominently placed Proprietary stamp or legend, prior to or at the time such trade secret or confidential or Proprietary information is disclosed by the Disclosing Party to the Recipient/Receiving Party. Notwithstanding the foregoing, information which is orally or visually disclosed to the Recipient/Receiving Party by the Disclosing party or is disclosed in writing unaccompanied by a covering letter, proprietary stamp or legend, shall constitute proprietary information if the disclosing party, within 10(ten) days after such disclosure, delivers to the Recipient/Receiving Party a written document or documents describing such Proprietary Information and referencing the place and date of such oral, visual or written disclosure and the names of the employees or officers of the Recipient/ Receiving party to whom such disclosure was made.

#### 2. Confidentiality:

a) Each party shall keep secret and treat in strictest confidence all confidential information it has received about the other party or its customers and will not use the confidential information otherwise than for the purpose of performing its obligations under this Agreement in accordance with its terms and so far this may be required for the proper exercise of the Parties respective rights and obligations under this Agreement.

b) The term confidential information shall mean and include all written or oral information (including information received from third parties that the Disclosing Party is obligated to treat as confidential) that is (i) clearly identified in writing at the time of disclosure as confidential and in case of oral or visual disclosure, or (ii) that a reasonable person at the time of disclosure reasonably would assume, under the circumstances, to be confidential. Confidential Information shall also mean, software programs, technical data, methodologies, know how, processes, designs, customer names, prospective customer's names, customer information and business information of the Disclosing Party.

c) Confidential information does not include information which:

- i. is publicly available at the time of its disclosure; or
- ii. becomes publicly available following disclosure; or
- iii. is already known to or was in the possession of Recipient/Receiving party prior to disclosure under this Agreement; or
- iv. is disclosed to the Recipient/Receiving party from a third party, which party is not bound by any obligation of confidentiality; or
- v. is or has been independently developed by the Recipient/Receiving party without using the confidential information;
- vi. is disclosed with the prior consent of the Disclosing Party.

**3. Non –Disclosure of Proprietary Information: For the period during the agreement or its renewal, the Recipient/Receiving Party will:**

a) Use such Proprietary Information only for the purpose for which it was disclosed and without written authorization of the Disclosing Party shall not use or exploit such Proprietary Information for its own benefit or the benefit of others.

b) Protect the Proprietary Information against disclosure to third parties in the same manner and with the reasonable degree of care, with which it protects its own confidential information of similar importance and

c) Limit disclosure of Proprietary Information received under this Agreement to persons within its organization and to those 3rd party contractors performing tasks that would otherwise customarily or routinely be performed by its employees, who have a need to know such Proprietary Information in the course of performance of their duties and who are bound to protect the confidentiality of such Proprietary Information.

**4. Limit on Obligations:**

The obligations of the Recipient/ Receiving Party specified in clause 3 above shall not apply and the Recipient/ Receiving Party shall have no further obligations, with respect to any Proprietary Information to the extent that such Proprietary information:

- a) is generally known to the public at the time of disclosure or becomes generally known without any wrongful act on the part of the Recipient/ Receiving Party;
- b) is in the Recipient's/ Receiving Party's possession at the time of disclosure otherwise than as a result of the Recipient's/ Receiving Party's breach of an obligation of confidentiality owed to the Disclosing Party;
- c) becomes known to the Recipient/ Receiving Party through disclosure by any other source, other than the Disclosing party, having the legal right to disclose such Proprietary Information.

d) is independently developed by the Recipient/ Receiving Party without reference to or reliance upon the Proprietary Information; or

e) is required to be disclosed by the Recipient/ Receiving Party to comply with applicable laws or governmental regulation, provided that the Recipient/ Receiving Party provides prior written notice of such disclosure to the Disclosing Party and take reasonable and lawful actions for such disclosure.

#### 5. Return of Documents:

The Recipient/ Receiving Party shall, upon request of the Disclosing Party, in writing, return to the Disclosing party all drawings, documents and other tangible manifestations of Proprietary Information received by the Recipient/ Receiving Party pursuant to this Agreement (and all copies and reproductions thereof) within a reasonable period. Each party agrees that in the event, it is not inclined to proceed further with the engagement, business discussions and negotiations or in the event of termination of this Agreement, the Recipient/ Receiving Party will promptly return to the other part or with the consent of the other party, destroy the Proprietary Information of the other party. Provided however the Receiving Party shall retain copies to follow its statutory, regulatory, internal policy or professional obligations.

**6. Communications:** Written communications requesting transferring Proprietary Information under this Agreement shall be addressed only to the respective designees as follows (or to such designees as the parties hereto may from time to time designate in writing)

\_\_\_\_\_  
NATIONAL HOUSING BANK

(Consultants)

**7. Term:** The obligation pursuant to clause 2 and 3 (Confidentiality & Non-Disclosure of Proprietary Information) will survive for a period of \_\_\_\_\_ years from the termination of the SLA.

8. The provisions of this Agreement are necessary for the protection of the business goodwill of the parties and are considered by the parties to be reasonable for such purposes. Both the parties agree that any breach of this Agreement will cause substantial and irreparable damages to the other party and, therefore, in the event of such breach by one party, the other party shall be entitled to appropriate remedy, which may be available under law.

9. Notwithstanding anything stated in this Agreement, any report/finding/document delivered/submitted by the Consultants to NHB as a part of the outcome or deliverables under the SLA and which, in the opinion of NHB, requires any further study/analysis by any third party agency/institution depending on the requirement of the case, the same can be shared by NHB with such third party agency/institution for conducting such study/analysis and no prior consent of the Consultants is required for the same. Such report/finding/document delivered/ submitted by the Consultants to NHB shall become exclusive property of NHB and as such NHB shall not be bound by any restriction from disclosure of such report/ finding/ document or content thereof, being the Receiving Party.

10. This Agreement shall be governed and construed in accordance with the laws of India and shall be subjected to the Jurisdiction of courts at Delhi. It is agreed that any dispute or differences arising out of or touching this Agreement if not resolved amicably shall be referred to the arbitration as per clause \_\_\_\_\_ of the SLA executed between the parties hereto.

#### 11. Miscellaneous

a) This Agreement may not be modified, changed or discharged, in whole or in part, except by a further Agreement/amendment in writing signed by both the parties.

b) This Agreement will be binding upon & ensure to the benefit of the parties hereto and it includes their respective successors & assigns

c) The Agreement shall be construed & and interpreted in accordance with the laws prevailing in India.

In witness whereof, the parties hereto have agreed, accepted and acknowledged and signed these presents, on the day, month and year mentioned herein above.

FOR \_\_\_\_\_

**FOR NATIONAL HOUSING BANK**

**Authorized Signatory**

**Authorized Signatory**

**Name:**

**Name:**

**Designation:**

**Designation:**

**Place:**

**Place:**

**Date:**

**Date:**

**WITNESSES:**

1.

2.

## ANNEXURE - XVIII (BANK GUARANTEE FORMAT)

### (Format of Bank Guarantee)

#### (To be executed on a non- judicial stamp paper)

To

National Housing Bank \_\_\_\_\_,

In consideration of the National Housing Bank (hereinafter referred to as "NHB", which expression shall, unless repugnant to the context or meaning, thereof include its successors, representatives and assignees), having awarded in favor of M/s. \_\_\_\_\_ having its registered office at \_\_\_\_\_ (hereinafter referred to as "the Consultants", which expression shall unless repugnant to the context or meaning thereof include its successors, administrators, representatives and assignees), a contract to provide \_\_\_\_\_ on terms and conditions set out in the Request for Proposal dated..... \_\_\_\_\_ ("the RFP") and the Service Level Agreement dated \_\_\_\_\_ ("the SLA") (hereinafter the RFP and the SLA are together referred to as "the Contract"), and the Consultants having agreed to provide a Performance Bank Guarantee for the faithful performance of the services as per the terms of the "Contract" including the warranty obligations /liabilities under the contract of equivalent value amounting to \_\_\_\_\_/ which is \_\_\_\_\_% of the value of the Contract if any, to NHB amounting to \_\_\_\_\_ (in words) in the form of a bank guarantee,

, we, \_\_\_\_\_ (Name) \_\_\_\_\_(Address) (hereinafter referred to as "the Bank", which expression shall, unless repugnant to the context or meaning thereof, include its successors, administrators, representatives and assignees) at the request of the Consultants do hereby irrevocably guarantee for an amount of Rs. \_\_\_\_\_ (Rupees. \_\_\_\_\_) (hereinafter referred to as the "Guaranteed Amount") and undertake to pay NHB the Guaranteed Amount merely on demand, without any previous notice from NHB, without any demur or protest and without referring to any other source, any and all monies payable by the Consultants by reason of any breach by the said Consultants of any of the terms and conditions of the said Contract including non-execution of the Contract at any time till \_\_\_\_\_ (day /month/ year). Any such demand made by NHB on the Bank shall be conclusive and binding, absolute and unequivocal notwithstanding any disputes raised/pending before any court, tribunal, arbitration or any other authority by and between the Consultants and NHB. The Bank agrees that the guarantee herein contained shall continue to be enforceable till the sum due to NHB under this bank guarantee is fully paid and claims satisfied or till NHB discharges this bank guarantee. Unless a demand for claim under this bank guarantee is made on the Bank in writing on or before \_\_\_\_\_, the Bank shall be discharged from all liabilities under this bank guarantee thereafter.

NHB shall have the fullest liberty without affecting in any way the liability of the Bank under this guarantee, from time to time, to extend the time of performance by the Consultants. The Bank shall not be released from its liabilities under these presents by any exercise of NHB of the liberty with reference to the matter aforesaid.

NHB shall have the fullest liberty, without affecting this guarantee to postpone from time to time the exercise of any powers vested in them or of any right which they might have against the Consultants and to exercise the same at any time in any manner, and either to enforce or to forbear to enforce any covenants, contained or implied in the Contract between NHB and the Consultants or any other course or remedy or security available to NHB and the Bank shall not be released of its obligations/ liabilities under these presents by any exercise by NHB of his liberty with reference to the matters aforesaid or any of them or by reasons of any other act or forbearance or other acts of omission or commission on part of NHB or any other indulgence shown by NHB or by any other matter or thing whatsoever which under law would, but for

this provision, have the effect of relieving the Bank Guarantee. The Bank further undertakes not to revoke this guarantee during its currency without the previous consent of NHB in writing.

The Bank further agrees that the decision of NHB as to the failure on the part of the Consultants to fulfil their obligations as aforesaid and/or as to the amount payable by the Bank to NHB hereunder shall be final, conclusive and binding on the Bank.

The Bank also agrees that NHB shall be entitled at his option to enforce this guarantee against the Bank as a principal debtor, in the first instance notwithstanding any other security or guarantee that it may have in relation to the Consultants liabilities.

This guarantee will not be discharged due to the change in the constitution of the Bank or the Consultants.

Notwithstanding anything contained herein:

(a) our liability under this bank guarantee shall not exceed Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ in words);

(b) this bank guarantee shall be valid up to \_\_\_\_\_; and

(c) We are liable to pay the guaranteed amount or any part thereof under this bank guarantee only and only if you serve upon us a written claim or demand on or before \_\_\_\_\_.

**(Signature)**

**Designation/Staff Code No.**

**Bank's seal**

**Attorney as per power of Attorney No. Dated**