

Bank of Baroda UAE Operations invites sealed bids for following:

Requirements:		
No.	Description	Qty of User
1.	Request for Proposal for Supply, Implementation and Maintenance of HRMS, Payroll and PMS Solution on a Subscription Basis	360

TENDER DELIVERYDETAILS

The vendors are requested to address and submit their proposal to:

The Chief Executive
Bank of Baroda, Zonal Office,
Umm Hurair Building, Al Karama
Dubai, UAE.

Schedule of RFP		
A.1	RFP No.	UAE:ZO:ADMN:GM:2022/761
A.2	Date & Time of Issuing RFP	29 th October 2022
A.3	Last Date of receiving request for clarifications before the Pre-bid Meeting	9 th November 2022
A.4	Date of Pre - Bid Meeting	10 th November 2022
A.5	Pre-Bid Meeting details	<ul style="list-style-type: none"> ○ Pre bid meeting will be held physically / online through Bank's Online Meeting Platform (i.e. Microsoft Teams) ○ Bidder to submit a maximum of -2- participant's names, contact numbers, designations and e-mail IDs on hr@bankofbaroda-uae.ae along with pre-bid queries. ○ Meeting invite Link will be sent by the Bank to bidder's provided email IDs to join the Online Meeting as per the schedule mentioned above. <p>Bidder representatives will have to click the Bank provided link (provided in the e-mail) to join the On-Line Pre-bid meeting.</p>
A.6	Last Date & Time of Submission of Bids	19 th November 2022 – 05:00 PM Dubai Time
A.7	Date & Time of opening of Part-I Eligibility cum Technical Bid	22 nd November 2022

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

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A.8	Date & Time of opening of Part-II Commercial Bid	The commercial bids of only those Bidders who qualify in both eligibility and technical evaluation will be opened. The date for opening of the commercial bid would be communicated separately to the technically eligible Bidders.
A.9	Performance Guarantee / FD	5% of the bid amount for the present currency of the Contract / Extended period / Fixed Deposit to the extent of Performance Guarantee (as detailed below)
A.10	RFP Coordinator Name, Contact details (Bank)	Gaurav Mathur Sr. Manager (HR & Admn.) Contact No. 04-3136694 Email: hr@bankofbaroda-uae.ae Postal Address : Bank of Baroda Mezzanine Floor (A wing) Umm Hurair Building, Al Doha Street, Karama Dubai, UAE

Important Clarifications:

Following terms are used in the document interchangeably to mean:

1. Bank, BOB means Bank of Baroda UAE Operations
2. Recipient, Respondent, Vendor, Bidder, SI (System Integrator) means the respondent to the RFP document
3. RFP means the Request for Proposal document
4. Proposal, Bid means “Response to the RFP Document”
5. Tender means RFP response documents prepared by the vendor and submitted to Bank
6. PMS means Performance Management Solution
7. Reporting Authority means supervisor or an employee’s reporting manager
8. “KRA” means key result areas or KPI – parameters on which employees will be evaluated
9. OSD means Original Solution Developer
10. AMC means Annual Maintenance Charges
11. ATS means Annual Technical Support
12. HRMS means Human Resource Management System
13. Payroll means the total amount of money that a company pays to its employees. A company's records of its employees' salaries and wages, bonuses, and withheld taxes.

Introduction and Disclaimer

This Request for Proposal (RFP) document has been prepared solely for the purpose of enabling Bank of Baroda UAE Operations (“the Bank”) to select a vendor for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution on a Subscription Basis.

The RFP document is not recommendation, offer or invitation to enter into a contract, agreement or any other arrangement, in respect of the services. The provision of the services is subject to observance of selection process and appropriate documentation being agreed between the Bank and any successful vendor as identified by the Bank, after completion of the selection process as detailed in this document.

SUBMISSION DETAILS

Please submit bids in sealed envelopes.

Contract period

The Contract with the selected bidder will be valid for a period of 5 years from the start date of subscription by Bank and may be extended on the mutual agreement between Bank and the Vendor. The contract will be deemed completed only when all the contracted services by the Bank are provided and accepted by the Bank as per the requirements of the contract executed between the Bank and the Vendor. The Bank will have the right to renegotiate these prices at the end of the contract period.

Project Details

Bank of Baroda (“the Bank”), an India-based international commercial bank, incorporated in the year 1908 and nationalized by the Government of India in 1969 is designated as a Public Sector Undertaking in India. The Bank first opened its branches in the UAE in the year 1974 and is registered in the UAE as a Foreign Branch holding a Commercial banking license. The Bank is regulated in the UAE by the Central Bank of UAE (“CBUAE”). Bank is rolling out the Request for Proposal (RFP) to select a bidder for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution on a Subscription basis for its 360 employees with an expected 2% increase annually.

The RFP document has been prepared solely to enable the Bank to select a vendor for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution. This system needs to be implemented for all the employees of the Bank. The Bank, for this purpose, invites proposal from Vendors who are interested in participating in this RFP who fulfill the eligibility criteria mentioned under Annexure 02 and are also in a position to comply with the technical requirement for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution mentioned in Annexure 10. The participating vendor must agree all our terms & conditions mentioned under this RFP.

Project Scope:

Bank intends to implement & maintain HRMS, Payroll & PMS Solution on a Subscription Basis as per banks requirement mentioned in Annexure-10.

Infrastructure

The complete Supply, Implementation and Maintenance of HRMS, Payroll & PMS solution shall be part of the scope of the vendor. The vendor must provide necessary infrastructure support required for integration bank source systems like DWH, CBS etc.

As the implementation will be done in hybrid model, the Vendor needs to size the infrastructure (hardware, Operating System, Database and other related software) for the solution based on the volume and the growth indicated in the Annexure 10 – Technical Requirement (Project Scope) and propose the same as part of their technical bid submission. Bank may use existing IT infrastructure or procure separately the required infrastructure based on the sizing proposed by the vendor.

However, the complete implementation, maintenance and support for HRMS, Payroll & PMS system shall be part of the scope of the vendor.

Vendor needs to accordingly provide sizing as part of the technical solution the complete IT infrastructure details like Server, Operating System, Database, Storage Capacity and other related requirements. The details should include.

- 1) List of Operating Systems (OS) and Databases (DB) on which the solution is compatible along with licensing details of the OS and DB for the complete solution
- 2) Details of redundancy and security setup
- 3) Application architecture along with a detailed diagram including the infrastructure setup.
- 4) Implementation procedure / road map.
- 5) Server and related infrastructure specification required as part of the solution implementation (for both UAT and production phase) along with the quantity to meet the Bank's redundancy requirement.

The Vendor is responsible to arrive at the sizing independently based on the volume and the growth indicated in the Annexure 10 – Technical Requirement (Project Scope). The Bank is not responsible for any assumption made by the Vendor with respect to the sizing. In the event the sizing proposed by the Vendor does not meet the performance / service levels of the Bank the Vendor will at their cost carry out the necessary upgrades / replacements. The Bank has the right to deduct / recover from the vendor the required additional expenses which Bank may incur on account of such upgrades / replacements.

Service Levels and Uptime Guarantee

For details, please refer to Annexure 11 that details the service levels.

EVALUATION METHODOLOGY FOR ELIGIBLE BIDDERS

The vendor quoting technically qualified bid and with the lowest commercial shall qualify as the L1/successful vendor/bidder. The vendor is expected not to add any conditions / deviations in the commercial bid. Any such conditions /deviations may make the bid liable for disqualification.

Each Recipient acknowledges and accepts that the Bank may, in its sole and absolute discretion, apply whatever criteria it deems appropriate in the selection of vendor, not limited to those selection criteria set out in this RFP document.

The issuance of RFP document is merely an invitation to offer and must not be construed as any agreement or contract or arrangement nor would it be construed as any investigation or review carried out by a Recipient. The Recipient unconditionally acknowledges by submitting its response to this RFP document that it has not relied on any idea, information, statement, representation, or warranty given in this RFP document.

After qualifying the eligibility criteria, the evaluation will be a three stage process. The stages are:

- ▶ Technical Bid Evaluation
- ▶ Commercial Bid Evaluation
- ▶ Weighted evaluation

The technical evaluation and the commercial evaluation shall have the weightage of 70% and 30% respectively and this weightage shall be considered for arriving at the successful bidder. The evaluation methodology vis-à-vis the weight-ages are as under:

Technical Bid Evaluation

The vendor needs to achieve a cut – off score of 70 marks in this evaluation stage to be qualified for commercial bid opening. Only those vendors who achieve the specified cut – off scores would be short-listed for Commercial Bid Evaluation. Further the vendor must score a minimum of 80% compliance in Technical and Functional Specifications compliance separately. Even if the vendor meets the 70 mark cut-off and does not meet this criterion of 80% compliance, the vendor would have deemed not to be meeting the RFP Technical requirements. The Technical Proposal will be evaluated for technical suitability and the criteria for evaluation of technical bids are as under:

Criteria	Evaluation Parameters	Sub Scores
The number of HRMS, Payroll & PMS Implementation carried out in the last 3 years	For each Implementation 2 marks	10
Functional Specifications compliance	As per Functional Scoring Sheet in Annexure 10	25
Technical Specifications compliance	As per Technical Scoring Sheet in Annexure 10	25
Local support existence in UAE or coming up in UAE within next 2 years	Local support existence in UAE 5 Marks. Local support coming up in UAE within next 2 years – 2 Marks	5
Technical Presentation on Proposed Solution by the Bidder	Technical presentation will be evaluated on the following parameters: 1. Proposed Solution (3 Marks) 2. IT architecture and approach & methodology (3 Marks) 3. Resource Planning (3 Marks) 4. Project Governance and Project Team (3 Marks) 5. Future Scalability (3 Marks) 6. The proposed HRMS, Payroll & PMS Solution include Mobile Solution handling employees. (10 Marks)	25
Product Demo In case Bank during this demonstration feels that any of the feature is not available and needs to be customized then no marks shall be allotted and if customization is not required and the feature is readily available then mark shall be allotted	Demonstration of in-depth understanding of the Bank's project technical and functional requirements. Major Criteria for demonstration (but not limited to) given in Annexure 10	10
TOTAL MARKS		100

Further the Bank's officials would visit reference sites provided by the Vendor if deemed necessary.

In case there is only one vendor having technical score of 70 or more, the Bank may, at its sole discretion, also consider the next highest technical score and qualify such vendor. In case, none of the participating vendors qualify on technical criteria and reach or exceed the cut-off score of 70, then the Bank, at its sole discretion, may qualify two vendors on the basis of the top 2 scores. However, the Bank at its discretion may reject the proposal of the Vendor or will not consider vendor below cutoff marks by relaxing as mentioned above, if in the Bank's opinion the Vendor could not present or demonstrate the proposed solution as described in the proposal or in case the responses received from the customer contacts / site visited are negative or the proposed solution does not meet the Bank's functional and technical requirement.

Commercial Bid Evaluation

The vendor who achieves the required cut – off technical score as part of technical evaluation shall be qualified for commercial bid opening. The commercial bid would be evaluated based on a "Total Cost of Ownership" ('TCO') basis.

Weighted Evaluation:

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On the basis of the combined weighted score for technical and commercial evaluation, the bidders shall be ranked in terms of the total score obtained. The proposal obtaining the highest total combined score in evaluation of quality and cost will be ranked as H-1 followed by the proposals securing lesser marks as H-2, H-3 etc. The proposal securing the highest combined marks and ranked H-1 shall be recommended for award of contract.

As an example, the following procedure can be followed:

A score (S) will be calculated for all qualified bidders using the following formula:

$$\frac{\text{Clow}}{C} \times 100 + T(1 - X)$$

C

C stands for rate arrived basis of commercial evaluation;

Clow stands for the lowest rate arrived basis of commercial evaluation.

T stands for technical evaluation score and

X is equal to 0.30.

#	Bidder	Technical Evaluation Marks (T)	TCO Rate (C)	T * 0.70 (A)	[(Clow / C) x 100] x 0.30 (B)	Score (S = A +B)
1	AAA	75	120	52.5	25	77.5
2	BBB	80	100	56	30	86
3	CCC	90	110	63	27.3	90.3

In the above example, Clow is 100.

In the above example, CCC, with the highest score becomes the successful bidder.

In case of more than one vendor with equal highest score (S) upto three decimal, then number of decimal will be increased.

The decision of the Bank shall be final and binding on all the vendors to this document. The Bank reserves the right to accept or reject an offer without assigning any reason whatsoever.

Delivery

The HRMS, Payroll & PMS Solution should be delivered as following timelines from the date of initiation of project:

1. HRMS - 4 months in a single phase
2. Payroll - 4 months in a single phase
3. PMS - 4 months in a single phase

It is up to bank's discretion to specify the order in which implementation will take place. The solution as per the required scope needs to be rolled out as per the delivery timelines mentioned above.

In case the deadlines are not met then the vendor will have to pay penalty to Bank @ 1% of implementation cost for respective Solution inclusive of all taxes, duties, levies etc., per week or part thereof, for late implementation beyond due date

of implementation, to a maximum of 5% implementation cost for respective Solution. Particular phase implementation cost is the cost linked against each phase as part of payment terms. If delay exceeds two weeks from due date of implementation for any of the solution, Bank reserves the right to cancel the entire order.

Any deliverable has not been implemented or not operational on account of which the implementation is delayed, will be deemed/treated as non-delivery thereby excluding the Bank from all payment obligations under the terms of this contract.

Payment Terms:

The Vendor must accept the payment terms proposed by the Bank. The commercial bid submitted by the Vendors must be in conformity with the payment terms proposed by the Bank. Any deviation from the proposed payment terms would not be accepted. The Bank shall have the right to withhold any payment due to the vendor, in case of delays or defaults on the part of the vendor. Such withholding of payment shall not amount to a default on the part of the Bank. If any of the items / activities as mentioned in the price bid is not taken up by the bank during the course of the assignment, the bank will not pay the professional fees quoted by the vendor in the price bid against such activity / item.

The payment will be released as follows:

Annual subscription charges:

The payment will be divided into four equal instalments for the year and paid quarterly in advance, on actuals. The payment will be on production of original invoice and against receipt of satisfactory report of previous quarter from the Bank's Project / Operation Manager.

Implementation Cost (OTC):

The Implementation Cost for respective solution will be released as follows:

- 40% of Implementation Cost plus applicable tax after Implementation, Integration & UAT Sign off of in the form of Acceptance Form should be signed by both Bank's identified Project Manager & vendor representative.
- 40% of Implementation Cost plus applicable tax after Go live signoff from Bank. Go Live Sign Off in the form of Go Live Sign off form should be signed by both Banks identified Project Manager & vendor representative.
- 20% of Implementation Cost plus applicable tax after Go-Live closure signoff from Bank. Go Live Closure Sign Off in the form of Final Acceptance Test should be signed by both Bank's identified Project Manager & vendor representative.

Support Charges – Payable quarterly at the end of each quarter against receipt of satisfactory support report of previous quarter from the Bank's Project / Operation Manager.

There shall be no escalation in the prices once the prices are fixed and agreed to by the Bank and the vendor. Payment will be released by Bank as per above payment terms on submission of mentioned supporting documents.

The Bank will pay invoices within a period of 30 days from the date of receipt of undisputed invoices. Any dispute regarding the invoice will be communicated to the selected vendor within 15 days from the date of receipt of the invoice. After the dispute is resolved, Bank shall make payment within 15 days from the date the dispute stands resolved.

Annexure 01 - Bid - Table of Contents:

Section #	Section Heading	Proforma Given
1	Covering letter certifying eligibility criteria compliance	Vendor to provide
2	Eligibility criteria compliance with vendor comments	Annexure 02
3	Credential letters / Purchase orders / Supporting documents	Vendor to provide
4	Undertaking Letter	Annexure 05
5	Conformity Letter	Annexure 07
6	Undertaking of Information Security	Annexure 09
7	Executive Technical Summary: Should be limited to a maximum of five pages and should summarize the content of the response. The Executive Summary should initially provide i) An overview of Vendor's organization and position with regards to Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution ii) Brief description of the unique qualifications of the Vendor iii) A summary on capabilities such as resources and past experience of providing such services Information provided in the Executive Summary is to be presented in a clear and concise manner.	Vendor to provide
8	Technical Proposal: The proposal based on Technical Specification compliance as per <u>Annexure 10</u> should be submitted with pages properly numbered, each page signed and stamped.	Vendor to provide

Section #	Section Heading	Proforma Given
10	Copy of the tender document along with the addendums duly signed by authorized signatory.	Vendor to provide
11	Masked price bid (Please note that the masked price bid should be exact reflection of the commercial bid except that the masked price bid <u>should not contain any financial information</u>)	Annexure 15
12	Integrity Pact	Annexure 16
13	Letter of authorization from the company authorizing the person to sign the tender response and related documents.	Vendor to provide
14	A certified copy of the resolution of Board, authenticated by Company Secretary/Director, authorizing an official/s of the company or a Power of Attorney copy to discuss, sign agreements/contracts with the Bank.	Vendor to provide

15	Methodology and Detailed Project Plan	Annexure 17
16	Bidder Profile Format	Annexure 18
17	Details of Past implementation	Annexure 19
18	Security and Compliance	Annexure 20
19	EPAR form for Officers	Annexure 21
20	EPAR form for CSE/Senior CSE	Annexure 22

Annexure 02 - Eligibility Criteria

Eligibility Criteria Compliance to be directly met by the bidder

S. No	Eligibility Criteria	Complied (Yes/No)	Supporting Required
A	General		
1	Bidder must have been in business for a minimum period of 3 years (as on date of RFP release)		Trade License and Documentary evidences to be attached
2	Bidder must be a Government Organization / PSU / PSE / LLC or private / public limited company in UAE at least for the last 2 years.		Documentary Proof to be attached
3	Bidder must not be blacklisted / debarred by any Statutory, Regulatory or Government Authorities or Public / Private Sector Undertakings		Letter of confirmation from Bidder.
4	The Bidder to provide information that any of its subsidiary or associate or holding company or companies having common director/s or companies in the same group of promoters/management or partnership firms/LLPs having common partners has not participated in the bid process.		Letter of confirmation from Bidder.
5	The Bidder to provide an undertaking on his letter head that all the functional and technical requirements highlighted as part of Technical Scope are covered in totality in the proposal submitted by the Bidder.		Letter of confirmation from Bidder.
B	Financial		
1	The Bidder must have registered a turnover of (Equivalent) AED 05 Mn or above in each year during the last three completed financial years.		Audited Financial statements

2	The Bidder must be net profit continuously for the last three years		Audited Financial statements
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C	Technical		
1	The Bidder should be an OSD or authorized partner of OSD for supply of licenses and solution implementation and maintenance support under warranty / AMC / ATS for the solution.		Letter of confirmation from OSD need to be submitted.
2	If OSD is bidding directly they cannot submit another bid with any Bidder.		Letter of confirmation from OSD in case if OSD is bidding directly
3	One Bidder can bid only with one OSD and similarly one OSD can bid with only one Bidder		Letter of confirmation from the Bidder and OSD
D	Experience & Support Infrastructure		
1	The proposed HRMS Solution should have been implemented and running live in at least 2 UAE Entity.		Details needs to be submitted in the format specified in Annexure 18 and Annexure 19 along with Documentary Proof of order / contract copy / customer credentials.
3	The proposed Performance Management Solution should have been implemented and running live in at least 1 UAE Entity.		Details needs to be submitted in the format specified in Annexure 18 and Annexure 19 along with Documentary Proof of order /contract copy /customer credentials.
4	Bidder should have direct support offices in UAE.		Letter of confirmation
5.	Team strength – (min 20 employee, Marks can be allotted accordingly)		

All dates if not specified to be applicable from the date of the RFP.

Authorized Signatory
Name:
Designation: Vendor's
Corporate Name
Address
Email and Phone #

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Annexure 05 – Undertaking

To

The Chief Executive,
Bank of Baroda
UAE Operations

Sir,

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution on a Subscription Basis.

1. Having examined the Tender Documents including all Annexures and Appendices, the receipt of which is hereby duly acknowledged, we, the undersigned offer to supply, deliver, implement and commission ALL the items mentioned in the ‘Request for Proposal’ and the other schedules of requirements and services for your bank in conformity with the said Tender Documents in accordance with the schedule of Prices indicated in the Price Bid and made part of this Tender.
2. If our Bid is accepted, we undertake to comply with the delivery schedule as mentioned in the Tender Document.
3. We agree to abide by this Tender Offer for 180 days from date of bid opening and our Offer shall remain binding on us and may be accepted by the Bank any time before expiry of the offer.
4. This Bid, together with your written acceptance thereof and your notification of award, shall constitute a binding Contract between us.

We undertake that in competing for and if the award is made to us, in executing the subject Contract, we will strictly observe the laws against fraud and corruption
5. We agree that the Bank is not bound to accept the lowest or any Bid the Bank may receive.
6. We certify that we have provided all the information requested by the bank in the format requested for. We also understand that the bank has the exclusive right to reject this offer in case the bank is of the opinion that the required information is not provided or is provided in a different format.

Dated this.....by 20

Yours faithfully,

Authorized Signatory

Name:

Designation:

Vendor’s Corporate Name

Address

Email and

Phone #

Annexure 06 - Comments Format

Please provide your comments on the Terms & conditions in this section. You are requested to categorize your comments under appropriate headings such as those pertaining to the Scope of work, Approach, Work plan, Personnel schedule, Curriculum Vitae, Experience in related projects etc. 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.]

Name of the Respondent:

Contact Person from Respondent in case of need. Name :

Tel No:

e-Mail ID:

Sr. No.	Page #	Point / Section #	Clarification point as stated in the tender document	Comment/ Suggestion/ Deviation
1				
2				
3				
4				
5				
6				
7				
8				
9				

Authorized Signatory

Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

Date:

Annexure 07 –Conformity Letter

(This letter should be on the letterhead of the bidder duly signed by an authorized signatory)

To

The Chief Executive,
Bank of Baroda
UAE Operations

Sir,

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution on a Subscription Basis.

Further to our proposal dated, in response to the Request for Proposal (Bank's tender No.hereinafter referred to as "RFP") issued by Bank of Baroda ("Bank") we hereby covenant, warrant and confirm as follows:

We hereby agree to comply with all the terms and conditions / stipulations as contained in the RFP and the related addendums and other documents including the changes made to the original tender documents issued by the Bank shall form a valid and binding part of the aforesaid RFP document. The Bank is not bound by any other extraneous matters or deviations, even if mentioned by us elsewhere either in our proposal or any subsequent deviations sought by us, whether orally or in writing, and the Bank's decision not to accept any such extraneous conditions and deviations will be final and binding on us.

Yours faithfully,

Authorized Signatory
Name:
Designation:
Vendor's Corporate Name
Address
Email and Phone #

Annexure 08 – Letter of Undertaking from OSD / OEM

(This letter should be on the letterhead of the OEM / OSD / Manufacturer duly signed by an authorized signatory)

To

The Chief Executive,
Bank of Baroda
UAE Operations

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution on a Subscription Basis.

Sir,

We (Name of the OSD / OEM) who are established and reputable manufacturers / developers of having factories at, and do hereby authorize M/s (who is the vendor submitting its bid pursuant to the Request for Proposal issued by the Bank) to submit a Bid and negotiate and conclude a contract with you for supply of which are manufactured / developed by us against the Request for Proposal received from your Bank by the Bidder and we have duly authorised the Bidder for this purpose.

We undertake to perform the obligations as set out in the RFP in respect of such services and hereby extend our support and services through M/s. during the 5 year contract period as per terms and conditions of the RFP.

We assure you that in the event of M/s not being able to fulfill its obligation as M/s vendor in respect of the terms defined in the RFP, (OEM / OSD Name) would continue to meet these either directly or through alternate arrangements without any additional cost to the Bank.

Yours Faithfully

Authorised Signatory

Name:

Phone No.

Email

Annexure 09–Undertaking of Information Security

To

The Chief Executive,
Bank of Baroda
UAE Operations

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Sir,

Sub: RFP for Supply, Implementation and Maintenance of HRMS, Payroll & PMS Solution on a Subscription Basis.

We hereby undertake that the proposed hardware / software to be supplied will be free of malware, free of any obvious bugs and free of any covert channels in the code (of the version of the application being delivered as well as any subsequent versions/modifications done)

Yours faithfully,

Authorized Signatory
Name:
Designation:
Vendor's Corporate Name
Address
Email and Phone #

Annexure 10–Technical Requirement (Project Scope)

Bank is requesting a proposal for providing a comprehensive HRMS, Payroll & PMS System on a Subscription Basis for all its staffs. HRMS and Payroll solution needs to be initially implemented for 360 employees of the Bank.

Project Scope:

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The vendor is required to supply, configure, customize, implement, integrate and maintain the HRMS, Payroll & PMS Solution in Cloud / Hybrid solution. If for any functionality hardware is required to be procured by the bank, vendor needs to provide the hardware sizing that supports the proposed solution. The solution will be accessed by all the employees of the bank.

Broad Scope of Work General (Different module should be designed according to employees (IBO's, UAE National's & Other)

Sr. No.	Process	Sub -Process
1	Human Resource	Attendance records
2	Human Resource	Leave Application – module
3	Human Resource	Payroll processing
4	Human Resource	Disbursement of salary
5	Human Resource	Reimbursements
6	Human Resource	Taxation / Statutory deductions as per the statutory requirements in UAE for local staff & in India for India based Officers
7	Human Resource	Exit of employees
8	Human Resource	Full & Final Settlement & imposition of the punishments in the salary of the staff
9	Human Resource	Annual Appraisal process
10	Human Resource	All payments / reimbursements as per the policy applicable to the local staff & India Based officer's / trainee Officers
11	Human Resource	Deduction of any kind Staff Loan from the staff salary
12	Human Resource	Implementation of the maker , checker concept , maker checker ids to be created as per the requirement of the Bank
13	Human Resource	Marking of Critical Roles for the UAE National Employees
14	Recruitment	Generation of Employee Bio data with all the personal & professional records of staff including reflection of the punishments
15	Recruitment	Generation of Employee Bio data with all the personal & professional records of staff including reflection of the punishments
16	Centralized Database on Fixed Assets (FASSETS)	FASSET Module

- 1) The bidder is expected to provide the solution in a hybrid model (involving Cloud or on premise) including implementation, testing, migration, installation, providing requisite interfaces, training and to provide

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technical support for a period of 5 years. The five-year period consists of warranty and subsequent AMC/ATS period, from the date of implementation.

- 2) The HRMS, Payroll & PMS solution must support latest versions of standard browser such as (but not limited to) Internet Explorer, Google Chrome, Mozilla Firefox. The bidder should clearly mention the browsers and versions supported in the technical bid documents.
- 3) The HRMS, Payroll & PMS solution must provide off-the-shelf mobility for latest versions of Android and iOS. The mobile application must support all the core features of the desktop application.
- 4) The bidder should provide the list of features which are available as part of mobile application. Bank can also ask the bidder to include new features or remove the existing features as deemed fit by the Bank.
- 5) The HRMS, Payroll & PMS solution must provide reporting utility that supports real-time and graphical reporting (with standard charts such as line charts, bar charts etc.).
- 6) The bidder should provide the complete documentation including technical, operations, user manual, design documents, process documents, technical manuals, functional specification, system configuration documents, system/ database administrative documents, debugging/ diagnostics documents, test procedures etc.
- 7) If there are any upgrades to the source systems such as CBS or DWH, then it will be Vendor's responsibility to ensure that appropriate integration is provided without affecting the normal course of business.
- 8) The ATS support for HRMS, Payroll & PMS Solution should include the following:
 - i. All minor and major version upgrades during the period of contract at no extra cost.
 - ii. Program updates, patches, fixes and critical security alerts as required.
 - iii. Documentation updates.
 - iv. 24*7 support for HRMS, Payroll & PMS Solution related malfunctions as defined in SLAs and ability to log requests online
- 9) If Bank selects another vendor after expiry of contract period or during the contract period due to any reason, then the bidder has to ensure seamless migration of the bank's data in the new HRMS, Payroll & PMS Solution.
- 10) In case Bank wish to migrate from cloud to on premise version, the licenses should be protected and no cost should be taken from bank for such conversion.
- 11) Bank will be at liberty to obtain unrestricted access for audits by an IS Audit agency selected by it or by Bank's internal panel of Auditors. All the data must be accessible to the auditor. Vendor should cooperate and provide necessary assistance to such IS Auditor/s and rectify all the bugs and shortcomings pointed out by the IS Auditor/s / IS audit firm appointed by the Bank or internal panel of Bank's Auditors. The expenses towards this IS Audit will be borne by the Bank.
- 12) The bidder should comply with the Bank's IS Security policy in key concern areas relevant to the RFP. Some of the key areas include (but not limited to):
 - i. Responsibilities for data and user privacy and confidentiality
 - ii. Responsibilities on system and software access control and administration
 - iii. Data Encryption/Protection /XBRL requirement of the Bank
 - iv. Protect information from unauthorized modification or destruction
- 13) The service provider must keep Bank's data in a separate schema or database from other customers.
- 14) The data should reside only in UAE region.
- 15) Bank's data under NO circumstances will be shared with any other organization / entity / individual / regulatory body etc.

- 16) The bidder should provide details of audit trails and logs implemented for other commercial banks, along with the technical bid documents.
- 17) The system must provide access to structured / unstructured data via a self- service portal through RESTFUL APIs.
- 18) Bank's data must be destroyed, not obfuscated by service provider after the contract is completed.
- 19) Any planned downtime for HRMS, Payroll & PMS Solution maintenance/ upgrade must be communicated to the bank 30 days in advance. No data loss should occur during the maintenance/upgrade.
- 20) The bidder must provide at least 1 additional environment apart from the production environment at no additional cost.
- 21) Vendor must provide an alert service for any problems with the service being unavailable. This can be in the form of SMS / E-Mails and should be sent to persons mentioned in the escalation matrix.
- 22) Solution architecture should have the capability to be configured in active-active mode or active passive mode as per the requirements of the bank.
- 23) All the requirements mentioned in Annexure 20 – Security and Compliance are met. The bidder should submit the responses for Annexure 20 as part of the technical bid.
- 24) The bidder should also provide documents related to Review Records/ Test Bug Reports/ Root Cause Analysis Report, list of all product components, list of all dependent/ external modules and list of all documents related to traceability of the product as and when applicable.
- 25) Any level or version changes, clarification, corrections and modifications in the above mentioned documents should be supplied by the bidder to the Bank free of cost in a timely manner.
- 26) The HRMS, Payroll & PMS System should support online/ real-time comprehensive and customizable management dashboard.
- 27) If additional infrastructure is required in bank's DC & DR, then the bidder must design & size the hardware required at the data center & the disaster recovery site. The bidder is supposed to provide the complete hardware and network requirement for the end-to-end functioning of the solution

B. Functional

1 Scope Requirement

1.1 General Requirements

- 1.1.1 The fundamental requirement would be to capture all types of employee data including required for payroll, claim benefits (reimbursement), staff welfare schemes, Staff Loans, incentives, and including terminal benefits (PF, Pension, Gratuity, National Pension System) as well as all data related to performance evaluation of employees including targets, actuals and minimum performance benchmarks.
- 1.1.2 The system must cater to around 360 employee's data with an increase in employees year on year of 2-5%.
- 1.1.3 The system should provide web content management capabilities for providing web based access to users.
- 1.1.4 The system should be accessible over both Bank's Intranet and Internet. It should also support mobile app for both Android and iOS platform. Employees should be able to access their profile through both web page and mobile application.
- 1.1.5 The solution should support multiple levels of authorization such as access through smart card / Biometric authentication.
- 1.1.7 The solution needs to be integrated with various bank systems like SSO, CBS, DWH, for seamless employee experience.

- 1.1.8 System should take care of organization structure on group company concept.
- 1.1.9 System should be capable of handling Bank Level, State level, Organization level, individual level of customization or configuration.
- 1.1.10 System should have hierarchy of command, responsibility-based controls.
- 1.1.11 System should be capable of payment of Arrears for Individual / bulk including wage revisions.
- 1.1.12 System should adhere to ALL the statutory requirements of the Land
- 1.1.13 System should be capable of printing regular and ad-hoc reports in EXCEL / PDF formats. System of generation of reports should be user friendly. The user should be able to design his query by selecting the desired field parameters and generate reports.
- 1.1.14 System should provide Employee Self Service and also scope for submitting “ON- BEHALF OF” facility. Using ON-BEHALF OF facility, it should be possible to part- delegate or delegate different transactions to different users.
- 1.1.15 System must be capable of catering to persons with Disability employees to use the system. (Must have standard accessibility features enabled for them.)
- 1.1.16 System should provide for 4-eye Principle/ maker-checker concept for data inputs.
- 1.1.17 System should support hierarchy of position / person / organization/ job etc.
- 1.1.18 Authorized users at ROs or branch staff should be able to download data in the form of spreadsheets (excel or lotus) and use it locally in vendor supplied tools as pivot tables. Data should be updatable in the excel sheets with upload from excel capability.
- 1.1.19 Employee data to include his photograph & signature in scanned form
- 1.1.20 Notifications to users for any Pending/Upcoming task or Reminders set by admins
- 1.1.21 System should provide email alerts / notifications to the users based on any events / Triggers. The users should be able to see the task lists / notifications on the system. The system should also be able to send auto reminders based on due dates.
- 1.1.22 System should be capable of handling employees on contract basis
- 1.1.23 Should be able to handle different salary / rules for employees even within the same grade / scale
- 1.1.24 System will be required to import legacy data into the system.
- 1.1.25 System will be required to make provision for POP-UP facility for specified fields.
- 1.1.26 Solution should provide provision of FAQs for all the general operations of the bank.
- 1.1.27 Solution should have provision to allow employees to raise query and it should in turn get assigned to respective department for resolution.
- 1.1.28 Security system should be so powerful that any hacker should not be able to make any unauthorized FTP and download sensitive information. For data stored on cloud, application should support encryption of data at rest and in transit.
- 1.1.29 Entire system should be audited for system integrity, information security & meeting privacy laws
- 1.1.30 Audit Trails need to be made available (as and when required by bank) for all the operations.

- 1.1.31 Graphic Tools to be made available in the system
- 1.1.32 On line update & batch update of central database by authorized personnel
- 1.1.33 Fast Entry Screens to allow dealing with many individual personal records and transaction at once.
- 1.1.34 Dynamic Events should be initiated by the system. When the user starts to enter the information, it indicates what he wants to achieve. In case there is any error in the input field, the system should provide an intuitive message to the user.
- 1.1.35 Automatic Date monitoring which is continuous for all dates of significance to the personnel function. Date stamping as per the concerned country format.
- 1.1.36 Maker Checker concept should be incorporated in all the workflows.
- 1.1.37 Centralized database with application tools at user level to region/area specific data
- 1.1.38 High level of parameterization
- 1.1.39 Structured formats for various employee claims.
- 1.1.40 The system should be able to cater with minimum data entry and auto updation of relevant screen and programs.
- 1.1.41 Data tool-up loader (in the form of excel/lotus 123 worksheets) for bulk up-loading of data at ROs
- 1.1.42 Provision for extracting database at user point for use in excels/lotus 123 sheets in off-line processing mode.
- 1.1.43 Provision for bulk uploading of data / documents
- 1.1.44 On-line data entry with built-in error messaging system.
- 1.1.45 Support should be available for all modules from the date of implementation.
- 1.1.46 Service level agreement should ensure payouts to be done on time (e.g support person would be made available and ensure SALARY is paid on the date of SALARY)
- 1.1.47 Performance tuning whenever required will be carried out if the system does not cater to the concurrent load of users.
- 1.1.48 Integration with other systems of the Bank
- 1.1.49 Compliance of all Laws of the land w.r.t employment
- 1.1.50 Facility to upgrade as per changes in law of the land
- 1.1.51 Role based attachment of menus / reports
- 1.1.52 Facility for print/ email bulk communication through pre-defined template.
- 1.1.53 Option to apply for NOC
- 1.1.54 Quick Help Wizard at each menu
- 1.1.55 Site Map
- 1.1.56 Responsive and user-friendly UI for easy navigation, compatible on most browsers
- 1.1.57 Option to upload video tutorials / job cards for commonly used menus

- 1.1.58 The HRMS, Payroll & PMS Solution should have the capability of providing comprehensive audit trail features to monitor activity of specific programs and data files etc. The solution should also provide on-line access to audit trail information (including time/date stamp, user ID change log). It should also keep a track of activities executed by the Application system administrator or support user.
- 1.1.59 The HRMS, Payroll & PMS Solution should be able to provide session log files. The user should be able to analyse the information (e.g., account id, session time etc.). The solution should provide tracking of the client's IP & Network Interface address.
- 1.1.60 The HRMS, Payroll & PMS Solution should support storage and display of event history of all users and transactions.
- 1.1.61 The bidder should follow international standard for Web accessibility guidelines (WCG3) and proposed solution should be fully accessible to all persons with disability.
- 1.1.62 The HRMS, Payroll & PMS Solution should support online/ real-time comprehensive and customizable dashboard for different users.
- 1.1.63 The HRMS, Payroll & PMS Solution should support the functionality of viewing/ updating/ uploading/ deleting universal docs such as process guidelines, etc.
- 1.1.64 The HRMS, Payroll & PMS Solution should provide graphical organizational chart for every user. Organizational Chart should be printable, using a delivered print functionality for at least 3 org levels.
- 1.1.65 The system should support personalization of overall solution with respect to color theme, logos, branding and background image.
- 1.1.66 The HRMS, Payroll & PMS Solution should provide a robust MIS support by way of Dashboard with certain in-built reports. These reports would inter alia cover extraction of data for various internal, external MIS and regulatory purposes including transaction monitoring activities. The indicative list of reports that are supported off-the-shelf must be provided with technical bid.
- 1.1.67 The HRMS, Payroll & PMS Solution should have an inbuilt report writing tool to build new reports based on identified parameters and schedule them at pre-set frequencies.
- 1.1.68 The HRMS, Payroll & PMS Solution should allow archiving of historical reports.
- 1.1.69 The HRMS, Payroll & PMS Solution must be simple to use and navigate.
- 1.1.70 System design must be intuitive and user centric (smart layout - easy to navigate to most core features from the landing page with minimal clicks).
- 1.1.71 System must provide multi-device and multiple form factor support.
- 1.1.72 System must support modular design with a provision to easily add/ deactivate/ remove features without additional back-end code changes.
- 1.1.73 System must support fast deployment and easy scalability.
- 1.1.74 The Cloud system must have at least four upgrades/ releases per year for the past three years. For on premise solution, the upgrade decisions will be taken by the bank.
- 1.1.75 System to provide workflow based solutions including query back to the lower level along with provision for attachments in PDF/JPG/DOC/XLS(X) formats.
- 1.1.76 System should provide for scheduling activities during Non-peak periods without manual interference.
- 1.1.77 System should provide reports regarding all types of integration & its success and failure status.
- 1.1.78 Statutory changes should be updated in system by way of patch.

1.2 PAYROLL

- 1.2.1 Payroll for all employee types OFFICERS/ CLERKS/ SUBSTAFF/ DIRECTOR, contract employees, Temporary workers, Deputed employees from other country. Pay roll processing would also be on the centralized basis.
- 1.2.2 Should handle multiple grade structure – including fixed and variable elements of pay
- 1.2.3 Given the distributed nature of branches and regional offices, All Regional Offices/ branch would print their own pay-slips for people working in their jurisdiction and arranges distribution. The module should help in CTC calculation by taking into account all quantifiable expense (direct / indirect) made by the Bank and for this it should integrate with all sorts of employee expenses be it TE/DA, **Training cost**, perks, welfare cost, medical costs, terminal benefits etc.
- 1.2.4 It should also integrate with the existing source systems of the bank like loan module for deductions details, Medical, TA/DA.
- 1.2.5 System should be capable of doing Salary Administration, Perquisites, Taxation, Calculation of Arrears, full and final settlement
- 1.2.6 Auto generation of reconciliation reports for all debits and credits made from CBS. The vendor shall be responsible for developing the reconciliation reports from the HRMS / Payroll solution. The bank will provide the reports from CBS.
- 1.2.7 System should be compatible with CBUAE WPS.
- 1.2.8 System should be capable of configuring every head of pay (earnings/deductions) as per the bank's guidelines. Should be able to calculate based on the effective date on which the component is introduced.
- 1.2.9 Should be flexible enough to allow configuration of new Heads of pay / components of pay with effect from any effective date (prior to current date or subsequent to current date).
- 1.2.10 Configuration of heads of pay should be feasible at Bank Level, state level, branch/ office level, cadre level, Grade level, Position level, Individual level etc.
- 1.2.11 Data of Employees would be available from HRMS Module which should be used for salary. System should pull in the required data from HRMS at the required frequency with effective start date and end date.
- 1.2.12 Rate charts (e.g HRA/CCA etc) should be configurable within the system.
- 1.2.13 Certain deductions are to be paid to Third Party(NSSF,COURT PAYMENTS,PROF TAX) etc, For these payments slips are to be generated and head wise amounts deducted should be made available in these heads for each branch. Proper Identification tags (CBS) to differentiate the amount credited is for which deduction and pertaining to which employees.
- 1.2.14 Should calculate arrears on every component which is to be paid on prorata basis.
 - a. Sample instances of arrear calculations required
 - b. Employee transferred from higher CCA to lower CCA. If paid on the basis of higher CCA earlier, the same should be recovered automatically by the system next month.
 - c. If employee is suspended/ effected punishment in previous month and data entry is done in current month, the system should recover amount from effective date.

- d. If employee is given fitment, it should be automatically pay rise from the effective date as per the provisions of the current HR policy & if there are any modifications suggested in the HR policy than same should be incorporated accordingly in the system.
- e. Arrears due to wage revision / Bipartite Settlement in which the entire salary structure would change with a particular effective date. System should be able to identify the changes in heads of pay with effective date and compute the arrears to be paid under each head. Calculated arrears result for each salary head should be available for each month for which arrears are calculated. Arrears computation due to wage settlement should be separately generated and should not be with the regular salary generation.
- f. System should automatically prorate payments with reference to the effective date of change of data (i.e promotion/suspension etc.)
- g. Unpaid / half paid leave effected in payroll of particular month at leave availed date.

1.2.15 Adjustments in any heads of PAY(earnings/deductions side)

- a. For any back dated payments to be made system should be able to capture with effective dates.(for e.g. basic pay fitment for ex-servicemen, each pay period what is the basic pay should be taken). Adjustments would be negative as well as positive.
- b. Adjustments Heads have to be given access as per role – e.g In Some heads adjustment is to be done at branch level, some heads it is to be done at regional/corporate level.
- c. Provision to capture the reason for making the adjustment. In each record for each heads of pay.

1.2.16 PROTECTION OF PAY: Allowances paid for protection of pay should also be configurable.

1.2.17 Deduction for these welfare associations would be based on CADRE/GRADE/CASTE CATEGORY of employee, system should allow for maintenance of master tables for these and based on these tables the deduction would be computed.

1.2.18 LOAN DEDUCTIONS::

- a. Deductions for staff loans will to be done from pay after taking data from CBS vide integration.
- b. Deductions of Loans should be returned to the CBS through integration
- c. Provision to be made available in payroll module to capture Master details of STAFF loan, Addition of any new Loan in Master to be done from front end and automatic pulling of data from CBS to begin.
- d. Loans pulled in from CBS should be visible through front end screens in Payroll.
- e. Provision to stop / change the amount of deduction in payroll.
- f. Bulk upload required for certain type of deductions.

1.2.22 TEMPORARY SPECIAL PAY: System should provide input screens for entry of temp. Special pay and calculated amount should paid under the head special pay

1.2.23 BONUS CALCULATION: System should calculate BONUS as per rules and make payment.

1.2.24 ADVANCE SALARY: Provision to generate and pay ADVANCE SALARY centrally for all employees / for a group of branches / regions (group would be separate in different months). Advance salary vouchers should be generated separately and should be squared off when actual salary generation is done.

1.2.25 Proper Identification tags to be sent to CBS for advance salary and actual salary reconciliation.

1.2.26 Salary Disbursement vouchers to be made as per bank requirement, based on the branch the employee is attached /mapped to for salary payment. Vouchers to be posted directly into the CBS platform.

1.2.27 No employee should be paid salary twice.

- 1.2.28 **VOUCHER GENERATION:** System should generate vouchers with both Debit and Credit legs both. Master to be kept to map which head of pay will post to which GL head. These masters should be modifiable from front end.
- 1.2.29 GL / PL head balances to be maintained in PAYROLL, The balances of which will be used to reconcile with CBS to check if there is any manual payment of salary / other perks by the branches.
- 1.2.30 Vouchers should be posted to the respective branch a/cs which belong to the employee's branch / mapped branch. RBOs require a different voucher.
- 1.2.31 Salary Advance is also paid to individual employees.
- 1.2.32 **DEARNNESS ALLOWANCE RATES:** Allow provision for storing of DA SLABs as also provision for changing of DA rates.
- 1.2.33 Provision to TABULATE rates wherever applicable.
- 1.2.34 **TYPES OF HRA PAYABLE:** Screens to capture details of Accommodation type of employee with an effective date. Employee will apply for change of accommodation type and the same will be approved by the approver. Only on approval the same should show effect in payroll.
- 1.2.35 **DISCIPLINARY ACTIONS:** System should provide for input screens for adding/modifying data/deleting related to punishments/ restorations/suspensions. This restrictive field needs to be highly secured. Pop up regarding pending cases at time of promotion / transfer.
- 1.2.36 Disciplinary Action Implementation screen for all types of Penalty Implementations.
- 1.2.37 **HOLIDAY MASTER:** System should be able to capture days of holiday in the bank with description for the Holidays,
- 1.2.38 Bulk upload required for Holiday Master.
- 1.2.39 Weekly off configuration.
- 1.2.40 **MASTER DATA:** Wherever master data is pulled into payroll module vide integration it should be stored with effective date and should be modifiable through front end screens.(e.g EMPLOYEE MASTER, ORGANIZATON MASTER, CHART MASTERS etc.).
- 1.2.41 Salary rules for all employee types would be different
- 1.2.42 Organization structure for Head Office and Central Office is different and would require the system to compute them as single region even though departments are attached to them as branches.
- 1.2.43 Salary to be debited to other SOL ID
- 1.2.44 Salary recovery rules to be configured, Additional recoveries like bond money, notice pay etc. also along with salary.
- 1.2.45 Availability of monthly / yearly salary slips including all heads as applicable for the employee.
- 1.2.46 Provision to incorporate any staff taxations as per the requirements of the bank.
- 1.2.47 Provisions to incorporate any changes in the HRMS / Payroll system as per the requirements of the bank without any additional cost

1.3 INCREMENT

- 1.3.1 All types of increment should be automatically generated by the system as per banks rules.
- 1.3.2 System should be configurable for release of all types of Increments annual as well as stagnation increments.
- 1.3.3 Release of PQP AND FPP as per guidelines of the bank. Including where release of increment date and release of PQP date are not same
- 1.3.4 Notional Release of increments.
- 1.3.5 Release of increments in case of Disciplinary Actions.
- 1.3.6 Stoppage of Increments.
- 1.3.7 Restoration of Increments from back date also
- 1.3.8 Qualification Increments.
- 1.3.9 Postponement of increments due to loss of pay.
- 1.3.10 Release of Subsistence Allowance.
- 1.3.11 Increment generation at the time of Suspension.(rules as per the cadre)
- 1.3.12 Increments Generation should be a scheduled activity and should run automatically as part of month begin activities.
- 1.3.13 Screens to be provided from front end to see the increment history and well as current increment details.
- 1.3.14 Increments are required to be approved for different units/ region, hence system should allow for approvals by listing down the employees and region can use single button (select all) and approve all unapproved increments.
- 1.3.15 On Approval of increments system should automatically change the values in the heads of pay which are affected in the salary module and also update the next increment date.

1.5 FULL AND FINAL SETTLEMENT.

- 1.5.1 Provision to include Investment details after employee ceases to be employee and rerun full & final settlement.
- 1.5.2 Automatically compute leave encashment payable to the employee from the leave records and incorporate while doing F&F
- 1.5.3 Payment of full & final settlement as per the provisions of the policy applicable to local staff & India Based Officers
- 1.5.4 Provision to RERUN F&F any number of times. Only excess Tax to be deducted. And diff amount to be paid
- 1.5.5 System should allow for F& F settlement any time in future also.
- 1.5.6 System should not refund any tax directly to employees.
- 1.5.7 System should handle any payment made to employee after retirement and F&F also (ie. Any kind of arrear/ recovery)

1.6 REPORTS

- 1.6.1 IN ADDITION to statutory reports other type of reports required like, Arrears computation sheet. Adjustment Report.(Details list of reports will be made available at the time of system setup).
- 1.6.2 System should also allow in end user to take out dynamic reports of any head of pay / any combination with any other data available in the system.
- 1.6.3 Establishment Expenses (details of all manpower expenses-head wise incurred in a region) and Stage wise data (details of expenses at different stage of time scale in a cadre) are submitted by Regional Offices on half yearly basis. The said functionality should also help in generating these reports. Apart from these reports, there can be ad-hoc query based reports required for various types of decision making.
- 1.6.4 Wherever arrears are payable, the Arrears calculation sheet of each employee.

2 Leave Module

2.1 LEAVE MANAGEMENT

- 2.1.1 All types of leave and rules should be configurable from front end.
- 2.1.2 Automatic credit of Leaves at the frequencies specified as per rule. Credit may be in separate intervals for different type of employee (officer, clerk, and sub-staff) / CONTRACT/ DIRECTOR. Future leave credit details to be made available to the end user via notification. Also, any expiring leaves to be notified too.
- 2.1.3 Special Leaves for Specific Employees.
- 2.1.4 Employees will apply using Employee Self Service. For some type of employees it will be applied by the supervisor on behalf of the employee. Leave can be edited/deleted before it is approved. Cancellation of leave after approval
- 2.1.5 Leave Applied through self-service would follow the approval process.
- 2.1.6 Some of the leaves are to be marked by the supervisor, for e.g. UNAUTHORISED absence.
- 2.1.7 Leaves input by the supervisor need not follow the approval process.
- 2.1.8 Approvals.
- 2.1.9 Tracking.
- 2.1.10 Maintaining of LEAVE Balances. Balances should be carried forward/ reinitialised as per the rules. Balance should be available as of today. System should provide balances as on the date the employee requests.
- 2.1.11 Online consent for Contribution of PL.
- 2.1.12 Screen for COMPENSATORY OFF/PL beyond certain no credit and extension.
- 2.1.13 Front End Screens to be available for credit of leave / Regularisation / change of type of leave/ Cancellations/ delete of approved leave.
- 2.1.14 System should automatically update balances / make salary payments in case of any changes in type of leave/cancellation/ regularisation.

2.1.15 Leave Balances if incorrectly updated during the time of migration the same should be updateable from front end.

2.1.16 Leave on Loss of Pay to be effected with retrospective effect (i.e. salary should be recovered if leave entered at a later date and if leave is condoned same should be paid back.). Balances also to be automatically updated.

2.1.17 Provision for providing leave details to other systems

2.2 LEAVE ENCASHMENT

2.2.1 Some leaves are Paid leaves when payment is released for these type of leave, leave balance should be reduced by the system.

2.2.2 System should allow employees to apply for LEAVE ENCASHMENT online using self-service. Also provision for supervisor to directly input the same the system.

2.2.3 The same should be routed for the approval process. If Supervisor is inputting into the system then approval process may be discarded.

2.2.4 Once the same is approved, leave balances should be automatically updated and payment should be routed to the CBS system.

2.2.5 Leave Encashment paid should be taken in payroll at the time of salary generation

2.2.6 At the time of employee's separation, leave encashment should be computed as per eligibility rules of Bank and paid through the F&F module while doing the full and final settlement.

2.2.7 Provision to Calculate Arrears of LEAVE ENCASHMENT from a particular period when there is a change in any of the components of leave encashment.

2.2.8 Final amount to be paid should be first adjusted to the pending loans or any other invoices (if any)

2.2.9 Arrears have to be calculated and paid for employee.

2.2.10 Payment of Leave Encashment is to be routed to CBS for credit to employees account.

2.2.11 Vouchers for the same to be posted in CBS with proper identification tags.

2.2.12 Wherever arrears are payable, the Arrears calculation sheet of each employee

2.2.13 Reports as required for this module.

3 TIME OFFCE FUNCTIONS

3.1 Time office functions (attendance management) is an independent functionality or where proposed will be required to be interfaced so that attendance data is utilized in payroll, leave module. Hence, the proposed package should have the integration functionality. The vendor is expected to provide a solution for time and attendance management in case the bank decides to implement it in the later phase of the implementation.

4 Benefits Module

4.1 BENEFIT CLAIM REIMBURSEMENTS

- 4.1.1 System should allow configuration of all types of monthly, quarterly, annual and other periodicity claim reimbursements.
- 4.1.2 System should allow employees to apply for various reimbursements as per the eligibility rules.(-- Auto-Reminders via Notifications to employee for pending claims)
- 4.1.3 Different reimbursements will have different values to be input by the employee.
- 4.1.4 System should be able to configure eligibility rules which may be based on grade, position, organization etc.
- 4.1.5 Some claims are based on BLOCKS (Entertainment expenses, Uniforms, Domiciliary Medical etc). System should allow to define scheme as blocks. Auto- Reminders via Notifications to employee for expiring LTC block.
- 4.1.6 System should automatically initialise the blocks for all employees at the frequency decided by the banks rules.
- 4.1.7 For some employee claims, manager approval is required, for others it can be taken as auto approval. System should allow for configuration of this feature.
- 4.1.8 Once approved, vouchers should be generated for credit to employees benefit account and debit to respective PL heads.
- 4.1.9 System should have tags to confirm that payment is not done twice for the same claim.
- 4.1.10 Reconciliation reports for claim applied and claim credited.
- 4.1.11 Integration with CBS to take care that when the number of claims are very high no time lag is introduced in payment or bring down the CBS system.
- 4.1.12 Web Module and Mobile app to be made available to employees and managers for claiming and approving.
- 4.1.13 Where employees are not able to do an online application, system should allow for application to be entered into the system from front end by identified branch/region/corporate user.
- 4.1.14 For some claims, balance can be carry forward to the next year. Some claim will expire if not availed, system should help configure claims to incorporate this feature.
- 4.1.15 Provision for part payment of the entitlements. As and when employee claims, the balance gets reduced.
- 4.1.16 Provision for payment of difference of enhanced amounts when the entitlement of the employee changes (Arrears Payment). Provision of payment of Difference on account of promotion
- 4.1.17 Reports as required in this module.
- 4.1.18 Wherever arrears are payable, the Arrears calculation sheet of each employee.
- 4.1.19 Accounting of these payments / expenses / reimbursements made to an individual needs to be captured in the system to have the summary of CTC calculation as well as expenses under each Expenditure Head.

5 Staff Module

5.1 TRAVEL EXPENSES (TA/DA CLAIMS), LTC/LFC claims.

- 5.1.1 Employees can apply online for the applicable schemes, Managers can approve and then payments need to be made
- 5.1.2 System should allow Approval as per rules.
- 5.1.3 Masters required for claim configurations. Claims should be configurable as per rules of the bank.
- 5.1.4 System should have provision to upload proof documents.
- 5.1.5 The Travel Expense module should be tightly integrated to Base HCM Modules.

5.2 EMPLOYEE SELF SERVICE

- 5.2.1 Ability for all employees (clerk, officer, sub staff, contract employees, director) to perform the following.
- 5.2.2 Update bank account information for payroll processing/ claim credit (two separate account nos)
- 5.2.3 Apply for leave
- 5.2.4 Submit travel requests
- 5.2.5 Obtain pay slips (every day changes to be visible once salary generation for the current month is scheduled)
- 5.2.6 Obtain month-wise salary breakdown
- 5.2.7 Check leave balances
- 5.2.8 Check loan balances.
- 5.2.9 List of claims pending for applying.
- 5.2.10 STATEMENT.
- 5.2.11 System should show provisional calculation of terminal benefits (gratuity, leave encashment etc.) as on date or any other feature to be displayed/ provide as per the requirement of the bank.

5.3.18 Ability for Managers to perform the following: Approve employee changes

- a. Approve leave applications
- b. Approve different allowance request.
- c. Approve travel requests etc.,
- d. Approve Reimbursement requests(i.e. which is following approval workflow)

5.3.19 Ability for all to perform the following

- a. View Arrear Computation sheet.
- b. View any other statement to be incorporated as per the requirement of the bank

5.3.20 For those employees who are not able to apply online, System should allow their applications to be entered into the system by the Branch/Regional office authorized user.

5.3 Employee Loan Module

5.3.1 Applications

5.3.2 Approvals based on rules

5.3.3 Administration

5.3.4 Integration with CBS

5.3.5 On sanction of loan by competent authority, auto configure account opening in CBS.

5.3.6 Loans are basic branch banking transactions routed through the base branch where an employee is posted. It can be taken care of by loan module on the basis of application, approval and administration. However, its linkage with payroll is required for deductions and CTC calculation and tracking employees' liabilities to the Bank at any point of time.

5.4 Terminal Benefits

5.4.1 The system should be capable to do accounting of the funds deployed, interest application, generate reports, and calculate pensionary and other terminal benefits payments due to employees.

5.4.2 As regards, contributions of employees towards terminal benefits data to be captured from payroll module.

5.4.3 Functionality to facilitate business decisions for funds deployment like

a. Bonus

5.4.4 Arrears calculation sheets also to be provided

5.4.5 Data should automatically flow from trust module to the salary module for payment of F&F benefits.. The trust module should provide the data in a fixed format and the same will be consumed by payroll.

5.4.6 System should be able to generate calculation sheets of the provisional amounts of all terminal benefits at any time without needing the employee to actually separate from the bank. (i.e an employee should be able to see his gratuity or any other terminal benefit as per the requirement of the bank as on date as per his eligibility).

5.4.7 Reports required for this module.

5.4.8 Preparation & Maintenance of the Agenda

5.4.9 Integrated system of Trusts, HRMS & Payroll. Integration with CBS.

6 MOBILE VERSION

6.1 MOBILE APPLICATION:

6.1.1 All features which are available in SELF SERVICE should be available in the MOBILE APP for payroll.

6.1.2 Approvals Workflow also be available in the MOBILE APP.

6.2 USER ROLES/ACCESSES

- 6.2.1 Access has to be given to screens based on the type of Organization the employee is posted in (Branch/Region/Corporate Office).
- 6.2.2 Identified person at the Branch Level is only to be having access to edit the payroll heads of pay as allowed by the corporate office and only of the employees posted in that region
- 6.2.3 Assignment of role to be allowed at the regional office level, as soon as role is assigned, the stated screens will be available to the employee of the branch.
- 6.2.4 Automatic removal of roles once the employee has been transferred from the organization for which the role was allotted or employee has separated from the organization

7 OPERATIONAL ACTIVITIES

7.1 MONTH END/BEGIN ACTIVITIES, YEAR END/BEGIN ACTIVITIES.

- 7.1.1 Leaves not accounted for in the previous month should be carry forwarded to this month for deduction in applicable heads of pay.
- 7.1.2 Menus which are to be deactivated/activated for closing of payroll month should be automatic (leave approval screens, accommodation type entry screens, etc.)
- 7.1.3 Menus to be activated or deactivated for closing at year end should be automatic.

8 HRMS

8.1 HR ADMINISTRATION- HUMAN RESOURCES INVENTORY

- 8.1.1 Maintenance of all personal information and assignment information of employees, which can be linked, tracked with various other sub-modules for decision making.
- 8.1.2 Different country staff, currency
- 8.1.3 Different employee types / cadres / grades
- 8.1.4 Photo upload
- 8.1.5 Details of dependents
- 8.1.6 Upload of documents --Document Upload facility in case of change in Personal Profile of employee
- 8.1.7 Capturing of medical insurance details.
- 8.1.8 Capturing of additional information at employee level, assignment level.

8.2 PROMOTIONS:

- 8.2.1 The system should be able to identify people who qualify for next successive positions on user-defined parameters.
- 8.2.2 The system should have provision for creating vacancies for such positions.
- 8.2.3 Provision for Online application and workflow-based eligibility check
- 8.2.4 The entire selection process should be tracked and captured in the system for later retrieval.
- 8.2.5 Seniority creation as per rules of the Bank

8.3 RECRUITMENTS:

8.3.1 The system should be able to provide for below facilities pertaining to recruitment process:

- a. Applicant tracking
- b. Skills matching between applicants and positions
- c. Generation of letters
- d. Receipt of applications
- e. Offer of employment
- f. Unsuccessful application
- g. interview
- h. Updation of Rosters
- i. Collection of fees
- j. Uploading of scanned documents

8.4 Also have suitable provision for the TRANSFERS / MOBILITY:

- 8.4.1 Deployment decisions based on skills requirement (skill-based routing) and earlier experience in the organization must be facilitated by the system.
- 8.4.2 System should be able to maintain an online career history of the employee.
- 8.4.3 Provision of Request transfers with workflow
- 8.4.4 Career progression requests
- 8.4.5 Online application for posts announced by the Bank and workflow thereof
- 8.4.6 Would-be / what if analysis

8.5 DISCIPLINE MANAGEMENT:

- 8.5.1 Provision for creating disciplinary cases of employees pertaining to vigilance and Non-Vigilance aspects.
- 8.5.2 Case summary, details of inquiring and presenting officers, progress chart of the case, punishment imposed (also historical details of such punishments), appeals, final disposal etc. should be captured.
- 8.5.3 Implementation of Punishment

8.6 HUMAN RESOURCES MIS:

8.6.1 Provision for generation of all sorts of reports in both excel and pdf format. Examples of such reports include:

- Trend analysis recruitment, separations, exit interviews etc
- Separations – including online application, exit interviews, workflow based ☐ Hiring, Experience Certificate
- Detailed metrics and analysis by job, organization, gender, etc.
- Retention analysis
- Compensation analysis

- Recruitment and training analysis

8.7 EMPLOYEE PERFORMANCE MANAGEMENT:

- 8.7.1 Tracking of employee performance appraisal completion and next appraisal date.
- 8.7.2 Employee Performance Appraisal system (including mid-term review) should have workflow basis and should be linked to business data of each branch / office where he has worked during the performance review year.
- 8.7.3 The module should also have linkages with training module (for the training need analysis), potential appraisal and identification of competencies
- 8.7.4 Uploading of EIBFS Trainings / Courses with Self Nomination with Branch recommendation (Maker/Checker process)
- 8.7.5 Generation of Certificates for In-house Trainings
- 8.7.6 Self Nomination for the Training Courses for Skill Gap Analysis
- 8.7.7 Different Appraisals formats with multiple levels of appraisal
- 8.7.8 All performance histories must be maintained in the system for easy decision making.

8.8 CAREER PLANNING & CAREER DEVELOPMENT

- 8.8.1 The system should have the feature of making known various career options / paths available to employees in the organization.
- 8.8.2 Employee should be able to gather information about his own competencies and his suitability to various career options available in the organization.
- 8.8.3 The module should have linkages with performance management, training & development, elearning etc.
- 8.8.4 Uploading of Study Materials
- 8.8.5 **Uploading of various Competitions / Quiz organized by the Bank**

Centralized Database on Fixed Assets (FASSETS)

Assets Tracking: There are schemes in the bank under which various assets like furniture, flat, cars etc, which are provided to employees. Details of all such assets attached to an individual employee is required to be captured for the purpose of calculation of CTC, perquisite value for and for administration and management of bank's assets as required by the P&E department and the job performed are as under:

- Asset Tagging & Data Collection Services
- verification and tagging of fixed assets
- Asset Reconciliation
- Consumable (Labels / Ribbon etc.) 3M Silver synthetic Labels
- Updation of Depreciation through Excel input – Asset Manager users to import the Depreciation data in a prescribed excel template to update system. Asset depreciation data upload to be done regularly as required by BoB Users.
- Update bulk purchases to system through excel import by BoB users
- Sample template will be provided and data to be filled in the template.
- Data modification to update First level location of Assets which are currently in BoB Main to New Location.
- Additional feature to revert Disposal entries to be included.
- Verification of Dead Stock Register

OTHERS

8.9.1 Online KYC maintenance of employees

8.11 GRIEVANCE Module:

8.11.1 Capturing grievances of employees and resolution thereof.

8.12 Organization related data:

8.12.1 Creation and maintenance of all the data pertaining to different units of the organization.

8.13 Fitment on promotion and reversion:

8.13.1 Provision for fitting the employee to new salary on promotion and reversion.

8.14 Manpower planning including request for staff by organization

8.15 Costing of employees

8.16 Workflow based movement of applications for various activities

8.17 Confirmation process of employee

8.18 Separation processing:

8.18.1 Provision for online processing of separation of the employee from the organization.

9 PMS

For enabling end to end performance evaluation process in the bank, following modules need to be implemented as part of PMS implementation:

9.1 ORGANIZATION MODULE

Used for looking at reporting structure by each employee, raising requests for modification in reporting structure and allocating Reporting authorities **1.1** Introduction

Every employee should know his/her reporting authority, scale, designation, role and other aspects including details of reportees. This module will help employee in identifying the employee related information captured in performance management system. Organisation module also deals with change triggers required for making changes in employee related parameters.

Organization module also houses “Rep A allocator” which ensures that system auto- allocates Rep A to every employee.

1.2 Org modification process if initiated by employee

If the employee finds that there's any mistake in the following information, he should be able to click on the relevant parameters and request for a modification:

- a. Name
- b. Designation
- c. Scale
- d. Role (primary, secondary, tertiary)
- e. Organisation name
- f. Rep A
- g. Email id
- h. Mobile no.

Once the employee clicks on the parameter, a pop-up should open up which shows employee's current information w.r.t Name, Designation, Scale, Organization name, Rep A name, Rep A employee code. All these fields will be accompanied by a free text field which will get activated and auto-populated with the same data as existing data on employee clicking the request modification. Please note that Rep A name will remain frozen and will be auto-populated basis the new Rep A employee code provided by the Employee. Also, employee will not be able to make changes w.r.t cohort id & Role (which will be separately dealt through Role clarity module – however, a link should be provided for directing the employee to Role clarity change request module).

On clicking submit, an automated mail will be generated for HR who will be notified about the change request. HR will initiate an “off-line” process for updating the “HRMS Details” basis the request from employee. However, in case of Rep A change request, HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On HR updating the “HRMS details” in the system or HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee stating that his details are updated as per the notification received and discussion with HR. Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes. Further, notification mails should also be sent to affected Rep A's about the changed reporting structure

1.3 Org modification process if initiated by Rep A

Any change in Rep A's personal information can be done through the process mentioned in “Org modification process if initiated by employee”.

Rep A should be able to see his reportees through the “My Reportees” section. Following details should be displayed when Rep A enters the “My Reportees” section:

1. Name of the reportee
2. Designation of the reportee
3. Scale of the reportee
4. Role of the reportee
5. Location of the reportee

Rep A can request a change in any of the following cases:

1. Details of reportee shown are wrong i.e. wrong location, wrong designation or any other error that the Rep A notices
2. Org module shows employees reporting to Rep A but there are no such employees reporting to Rep A in reality
3. There are employees reporting to Rep A but Org module shows no such employee reporting to Rep A

1.4 Incase of “changing the reportee details” or “Org module showing employees reporting to Rep A but there are no such employees reporting to Rep A in reality”:

Rep A should be able to click on the concerned employee on which a pop up will open with employee's current details i.e. name, designation, scale, location and employee id. All these fields will be accompanied by a free text field which will get activated and auto-populated with the same data as existing data on employee clicking the request modification. Please note that Employee name will remain frozen and will be auto-populated basis the new employee code provided by the Rep A. Please note that an option should be provided to Rep A for marking a given employee as not reporting to him. This option of marking employees not reporting to Rep A should be made available on bulk basis also i.e. on the Org module's initial page itself Rep A can select employees who are not reporting to him and report them as employees not reporting to him.

On clicking submit, an automated mail will be generated for HR and the concerned employee who will be notified about the change request. HR will initiate an “off-line” process for updating the “employee generic” basis the request from Rep A. However, incase of change request with respect to Rep A, HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On upload of the new “employee generic” in the system or HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee and affected Rep As stating that the details are updated as per the notification received and discussion with HR. Rep A and Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes.

1.5 In case employees reporting to Rep A but Org module shows no such employee reporting to Rep A

In such case, Rep A should be provided a trigger button through which Rep A can notify HR about the changes required. On clicking the trigger button, Rep A will be provided with a pop up which should provide the Rep A to input multiple employee codes. On filling the employee codes, employee names should be auto populated in the pop-up.

On clicking submit, notification mails will be generated for HR about the reporting structure change request from the Rep A. HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee and the affected Rep As stating that the details are updated as per the notification received and discussion with HR. Rep A and Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes.

1.6 Employee screens: 1. After the initial log in, employee should be able to see

following details on the home screen: a. Name

- b. Designation
 - c. Role (primary. secondary & tertiary)
 - d. Organisation name
 - e. Scale
 - f. Email and mobile no.
 - g. Rep A
2. If the employee finds that there’s any mistake/blank in the information, he should be able to click on the relevant parameters and request for a modification as described in the “Org modification process if initiated by employee”.
 3. Employee should be able to save the modification request at any point without submitting it.
 4. On submitting the modification request, a pop up will be provided to the employee stating that change request has been received and a unique service request no. should be provided to the employee. Employee should be able to check the status of existing service requests through help center. (Details of service requests and related screens will be discussed in detail in Help center section).
 5. If the employee requests for modification while a previous request is still pending, a pop-up should be provided to inform the employee that a previous request is still in process and if any changes have to be made, please contact the HR directly.
 6. Employee should also be able to see history of changes in his/her details for past three years. Following information must be displayed when employee wishes to see the history. i. Name
 - j. Scale
 - k. Designation
 - l. Role
 - m. Organization
 - n. Email and mobile no.
 - o. Rep A
 - p. Cohort id

1.7 Rep A screens:

2. Any change in Rep A's personal information can be done through the process mentioned in "Org modification process if initiated by Employee" and screens should be similar to "Employee screens"
 3. Rep A should be able to see his reportees through the "My Reportees" section. Following details should be displayed when Rep A enters the "My Reportees" section:
 - a. Name of the reportee
 - b. Designation of the reportee
 - c. Scale of the reportee
 - d. Location of the reportee
 - e. Email id and mobile no. of the reportee

On clicking reportee name, Rep A will be able to see the similar details of the employees reporting to the reportee. This view will be in the form of a "slide-down"
 4. Change request from the Rep A in any of the following ways:
 - a. Details of the reportee shown are wrong i.e. wrong location, wrong designation or any other error that the Rep A
 - b. Org module shows employs reporting to Rep A but there are no such employees reporting to Rep A in reality
 - c. There are employees reporting to Rep A but Org module shows no such employee reporting to Rep A
 5. If the Rep A finds that any information needs to be modified, he should be able to click on the relevant parameters and request for a modification as described in the "Org modification process if initiated by Rep A"
 6. Rep A should be able to save his modification request at any time and revisit later
 7. On submission of any modification request, a pop up will be provided to the Rep A stating that change request has been received and a unique service request no. should be provided. Rep A should be able to check the status of existing service requests through help center. (details of service requests and related screens will be discussed in detail in Help center section)
 8. If the Rep A requests for modification while a previous request is still pending for a given employee, a pop-up should be provided to inform that a previous request is still in process and if any changes have to be made, please contact the HR directly. **1.8 HR screens**
-
1. This is an administrative page for "Org Module" change process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. Central HR team
 - b. Zonal HR team
 2. After the initial log in, HR should be provided with a link which will direct HR to "Org module changes" page where HR will be able to see the following information:
 - a. List of zones with no. of service requests pending
 - b. Categorisation of each service request (by person who raised it and by nature of request)
 3. Central HR should be able to deep dive into zones, regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others' service requests
 4. On clicking any of the service request, HR should be directed to different screen where HR will be able to see the following information:
 - a. Date of request
 - b. Requestor name, employee code, scale, designation and organisation name
 - c. Nature of request (name change, scale change, designation change, org. change, Rep A change, others)
 5. HR team should be able to mark any of the service requests as completed with adequate maker checker concept in place i.e. resolution of service requests is an off-line process, once the HR completes the off-line process of change updation in HRMS, HR should be able to select relevant service request and mark it as complete.

However, on marking and submitting it as complete, the same will flow to a “checker” who will confirm that the HRMS is indeed updated. On such submission, a notification mail will be sent to the respective stakeholders that their service request has been closed and system is now updated.

6. HR team should be able to approve single/bulk service requests
7. In the backend, when the HRMS is updated, the screens should automatically update the new information in real time.
8. In case of Rep A change requests, on clicking the change request, HR should be directed to separate sub-module within “Org module” to manually over-ride the existing Rep A allocation. HR should be able to see this screen in either of the following ways:
 - a. Input Rep A employee id and get a list of all employees reporting to Rep A
 - b. Input employee id and get Rep A detailsOn clicking any of the options above, HR will be directed to screens where he will be able to change the Rep A basis the employee code. This revision is finalised only after due maker/checker validation
9. MIS analytics should be provided. HR should be able to download the reports in excel formats. Some of the key data downloads will involve information pertaining to
 - a. Employee code who raised the request
 - b. Employee name
 - c. Nature of service request
 - d. No. of days since when the request is raised
 - e. Branch/unit from where the service request is raised
 - f. Region & zone from where the service request is raisedAbove information should be made available for download in the initial screen of “Org module changes”

9.2 ROLE CLARITY MODULE (ROLE ASSIGNMENT):

Every Reporting authority (branch head in case of branches) will allocate roles to his/her reportees through this module. No. of roles that can be allocated, role combinations, Key Result Areas (KRAs), weights of KRAs etc. are defined in this module.

9.3 ROLE CLARITY MODULE (ROLE MODIFICATION):

Every Reporting authority can modify allocated roles to his/her reportees, employees can request for role modification through this module

1.9 ROLE CLARITY MODULE (ROLE ASSIGNMENT AND ROLE MODIFICATION)

Introduction

Role clarity module is meant for providing clarity to officers in terms of their roles, KRAs and targets. This note details on the process to be followed for the same **1.10 Role clarity overview**

1. Every reporting authority (Rep A) should allocate roles to all his/employees at the beginning of the year or when a new employee joins or an existing employee leaves the branch/office – whichever is earlier
2. Rep A can allocate at max three roles to his/her reportees
3. On transfer or employee leaving the branch/office or new employee joining, Rep A has to reallocate the roles
4. Rep A has the option to re-allocate the roles at any point of time during the year for any number of times. However, for revisions after 2nd re-allocation, Reviewing Authority (Rev A) approval is required for making the re-allocation. System should have checks in place for getting Rev A approval if re-allocation is happening after 2nd re-allocation.
5. Certain employees in certain departments may be performing multiple roles. In such cases, system should allow Rep A to select the KRAs from list of KRAs instead of selecting a role from list of roles.
6. On Rep A allocating the roles, employees will get to know their roles, KRAs and corresponding weights, and targets on which they are being assessed

7. On such allocation, employee shall acknowledge the role allocation and state that he/she has discussed the role, responsibilities and expectations from him/her with the Rep A.
8. Employee can request for a role change at any point of time
9. All role changes should be saved in the backend with following details:
 - a. Name, id, scale and designation of the employee (incl. Sol id, alpha, org name, region and zone)
 - b. Primary, secondary and tertiary roles
 - c. Start date of the role
 - d. End date of the role
 - e. Rep A who allocated the role with details on name, id, scale and designation HR should be able to download the above reports

1.11 Rep A screens

1. Rep A can log into the PMS module and then select “Role Allocation” module for accessing the same
2. On logging into the “Role allocation” module, Rep A should be shown an overall summary view page with following details of his/reportees (basis the org module reporting structure):
 - a. Employees with roles assigned – no. of employees
 - b. Employee with roles to be assigned (incl. employee triggered requests – should be differentiated from normal employees) – no. of employees
 - c. Employee with roles assigned but requested for change – no. of employees
 - d. Employees with roles assigned pending acceptance – no. of employees
 - e. Employees with role assigned but in appeal – no. of employees

Below the above summary, a list of reportee employees should be provided with following employee details:

- a. Employee name, id, scale, designation and location
- b. Employee role status (assigned, to be assigned, closed)
- c. Employee role, if applicable

Option to be provided to sort the employees on any of the above criteria mentioned in “a” to “c”. If Rep A clicks on any of the options in (i) to (v), the employee list should be automatically sorted to display the relevant employees.

3. On clicking the option “Employees with roles to be assigned” or “Employee with roles assigned but requested for change”, the employee list should update with list of all employees for which this option holds true
4. On clicking any of these employees, Rep AA should be re-directed to “Role assignment” page where he/she should be able to assign role for that particular employee.
5. “Role assignment” page should have following three dropdowns with auto populated “Role names”
 - ☐ Primary role
 - ☐ Secondary role
 - ☐ Tertiary role

Further, all the three dropdowns should be a selection field but not write field. PMS should be capable of not allowing certain role combinations.

6. Apart from the drop downs, the “Role assignment” page should have details of employees – name, id, scale, designation, location. These details should flow into subsequent pages too until Role is finally allocated by the RA
7. On selecting the role fields above, Rep A to click “submit” page. On clicking “submit”, Rep A will be directed to “KRA assignment” page which is auto populated on the basis of predetermined criteria for a given primary,

secondary and tertiary roles. Every KRA will be assigned a pre-determined weightage based on the pre-determined criteria. The KRAs and weights should be captured from “Employee role master table”. The algorithm for KRA assignment and weights is provided in “Role Allocation – Annexure – 10” (shown at end of module). However, in case of certain roles, Rep A has the option to choose the KRAs instead of any auto allocation of KRAs. In such cases, on KRA assignment page, Rep A will be displayed a list of KRAs for a given combination of roles. Every KRA should have a checkbox which can be selected by the Rep A and submitted by the Rep A. However, system shouldn’t allow selection of more than 3 KRAs for a given role and every role must have at-least one KRA selected. After selecting the KRAs, Rep A can click submit upon which he/she will be directed to a new page where the KRAs and weights are displayed based on selection. Please note that weights are allocated basis the role combination with primary role KRAs having higher weightage, secondary role KRAs having next higher weightage and tertiary role KRAs having the lowest weightage on overall basis. Please note that in future, Rep A has the option to choose weights with some set criteria. The new PMS system should have the capability of allowing the Rep A to set weights. However, this feature should be de-activated for the time being with System Admin having the power to activate it in future.

8. RA should be directed to next page where he should be able to see targets for each of the KRA that he/she selected. Targets to be populated from “Target table” for branch roles and employees.
 - i. On being satisfied with the targets provided, Rep A to click submit which will finalize the role allocation & targets for the employee. However, in case of re- allocation of roles more than two times in a year, a notification mail should be generated for the Rev A for approval of reallocation. Only on Rev A approval, role allocation is considered final. Simultaneously, Rep A should get a notification stating the allocation is pending Rev A approval.
 - ii. If not satisfied, Rep A should be given an option to go back until the role selection page for changing the role. On being satisfied with final roles, KRAs, weights and targets, Rep A can click submit button which will generate an automated notification mail to following people
 - a. RA – FYI mail saying that Role has been assigned to a given employee (employee name, id, designation, scale and location) with KRAs and targets against KRAs
 - b. **Reportee employee** – mail that a given role is assigned to him with KRAs, weights and targets. This mail should have an automated link that takes it to the page where it says whether the employee accepts or appeals the given role, KRAs, weights and targets. Reportee has the option to either accept the mail role allocation or go on appeal for role allocation. Please note that no notification mail will be generated for employee if the reallocation is pending Rev A approval. Only on approval by Rev A, a notification mail will be generated for the employee.
 - i. On acceptance, FYI mail will be sent to both employee and Rep A that given role is now assigned and accepted by the employee along with the KRAs, weights, and targets. In the background, the “target table” should be updated with employee id. If no such acceptance or appeal is made within 2 working days, employee is deemed to have accepted the new role. Employee should be able to download the role allocated, KRAs, weights and targets in the form of a pdf.
 - ii. If employee chooses to appeal to Rep A, he can click on “Appeal”, upon which he will be directed to comments page where Employee will give his comments for appeal. Once final comments are submitted, notification mails will be sent to employee and RA. These mails should contain
 - Details of employee (employee name, id, scale, designation, location),
 - Details of Rep A (employee name, id, scale, role, designation and location)
 - RA allocated roles, KRAs, weights and Targets allocated,
 - Employee comments on why he is appealing
 - iii. Until the role is accepted or appealed, the given employee should figure in “Role assigned pending acceptance” (to show whether pending acceptance or appealed) and should be removed from the list of “Employees with roles to be assigned”.
 - If the role is accepted, it should be moved to “Employees with roles assigned”

- If the role is appealed, it should be moved to “Employee with roles assigned but in appeal”
- C. Rep A’s mail on appeal will have a button which directs him to “Reportee role appeal” page where he should be provided an option to submit his views/comments on the appeal and submit, or accept the employee’s proposed role and weights.
 - i. If Rep A accepts the employee proposed modification, Rep A should be re-directed to “Role assignment” page for the respective employee. Rep A has to restart the role modification process to update the employee role. On such modification, old allocation should be replaced with the new allocation with new KRAs and targets assigned
 - ii. However, if the Rep A doesn’t accept the employee’s appeal, he can provide his comments and press submit button which would direct the appeal to Reviewing Authority (Rev A) on which three notification mails are generated to reportee, Rep A and Rev A that a given role allocation has been appealed. These mails should contain
 - Details of employee (employee name, id, scale, designation, location),
 - Details of Rep A (employee name, id, scale, role, designation and location) ▪ RA allocated roles, KRAs, weights and Targets allocated,
 - Employee allocated roles, KRAs, weights and targets allocated.
 - Employee comments on why he is appealing
 - Rep A’s comments on the appeal
- d. Rev A mail should contain a dispute resolution button which will direct the Rev A to a page where Rev A will comment on what the role of the employee will be. System generated reminder mails/HR follow up mails should be put in place. Once Rev A submits his views, Rep A and the employee should be sent notification mails on how the appeal is resolved.
- e. On receipt of Rev A appeal resolution mail, Rep A has to go to “Employees with role assigned but appealed” page for role modification in line with the Rev A comments. Once the role is assigned, notification mails are sent to Rep A and employee that the new role is assigned to the employee with following details
 - i. Details of employee (employee name, id, scale, designation, location),
 - ii. Details of Rep A (employee name, id, scale, role, designation and location)
 - iii. New roles, KRAs, weights and Targets allocated
 - iv. In the background, on such acceptance or modification, “Employee Generic” and “Target Table” should be updated with the new final decided roles and employee ids

This role will be final role and no further appeal is provided. Only acceptance button is provided in this case.
- 9. For an allocated role, if any given budgetary or measureable KRA has no targets populated against it, a notification mail should be generated in the backend for HR and Planning Team (Regional, zonal and central teams) stating that a given role allocation has budgetary or measurable KRAs which have no targets against it. HR should be able to trigger notifications for planning team to act on setting targets for the role.
- 10. An employee is deemed to be present in a given role from the date on which he accepts the role or when his appeal is settled as the case may be.
- 11. It’s possible that all employees listed in the org module may not be necessarily present due to long leaves or other reasons. Rep A should have the option of selecting those employees and marking them as so (with expected return date – any return date more than 6 months has to be approved by HR). On such marking, role allocation is deemed to be completed for those employees. However, on the expiry of expected return date, employee’s name should pop up in “employees with roles to be assigned”
- 12. If a new employee is transferred/reporting to the Rep A, then the role allocation for that employee has to be completed by Rep A. Transferred/newly reporting employee will have no roles allocated to them unless Rep A allocates one. HR and Rep A should get a notification mail that a new employee is reporting to Rep A and that

role allocation has to be completed for the transferred or newly reporting employee by Rep A. HR should receive a notification mail on completion of role allocation for the transferred or newly reporting employee

13. The new Rep A and HR will receive a notification for completion of role allocation for the transferred employee. However, previous roles of transferred employee should be stored in backend for tracking purpose.

1.12 Rep A transfer

1. If a Rep A gets transferred during a given year, then the employee list of the Rep A in “Role Allocation” module should be automatically updated from the effective date of transfer
2. Any change in reporting structure that Rep A believes to be made should follow the work flow as described in “Org Module”
3. Existing reportee roles will not change on Rep A transfer

1.13 Employee view of Role Allocation module for Role Clarity

1. Employee can log into the PMS module and then select “Role Clarity” module for accessing the same
2. On logging into the “Role clarity” module, employee should be shown an overall summary view page with following details:
 - i. Primary, secondary and tertiary roles allocated
 - ii. KRAs expected from the employee
 - iii. Weights of each of the KRAs
 - iv. Targets against each of the KRAs
3. A trigger button should be provided to employee in following cases
 - i. Request for role modification i.e allocating a new role or re-allocating roles for the given employee
 - ii. If the employee is not yet allocated a role, he/she should be able to activate a trigger for non-allocation of role
 - iii. On clicking such trigger button, a pop-up should open with auto-populated dropdown that the area of trigger is in Role Clarity module. Pop-up should contain a free text field enabling the employee to provide any comments. On clicking submit, a notification mail will go to Rep A on the request and gets populated in the overall summary screen of the Rep A
4. Employee should be provided an option to “accept” or “appeal” a newly allocated role/KRAs/weights/targets
 - i. In case employee accepts, a specific text should pop-up asking whether employee had conversation with Rep A on the role allocation. Role is deemed to be accepted only on confirming yes on the popup screen.
 - ii. In case employee chooses to appeal, he should be provided a field to input his reasons for the appeal
 - iii. Employee should be able to view the status of his appeal until it is resolved in following stages
 - a. Pending with Rep A for comments
 - b. Pending with Rev A for resolution
5. If an employee is transferred after the role allocation, role of that employee should be reset from the effective transfer date. The new Rep A and HR will receive a notification for completion of role allocation for the transferred employee. However, previous roles of transferred employee should be stored in backend for tracking purposes.

1.14 Rev A view of Role Clarity module

1. In addition to Role allocation and Role Clarity module, Rev A should have access to “Appellate Authority” module. The process for “Role allocation” and “Role clarity” module will remain same as mentioned above. The process below is for “Appellate Authority” module.
2. Rev A can log into the PMS module and then select “Appellate Authority” module for accessing the same
3. On logging into the “Appellate Authority” module and selecting “Role clarity” option, Rep A should be shown an overall summary view page with following details:

- i. No. of appeals to be resolved
- ii. No. of appeals to be resolved and are beyond due date of 5 working days Below the above summary, a list of appeals (pending resolution) should be provided with following details:

- a. Appellant name, scale, grade and location
- b. RA name, scale, grade and location
- c. No. of days since the appeal is launched
- d. Reasons for appeal

Option to be provided to sort the employees on any of the above criteria mentioned in “a” to “c”. If Rev A clicks on any of the options in (i) to (ii), the employee list should be automatically sorted to display the relevant employees.

4. Rev A should be able to click on any of the employee name/id and be directed to a resolution page
5. On landing in such page, Rev A should be able to see details of appeal, Employee comments on appeal, Rep A's comments on appeal
6. Rev A should be provided with a comment box where he will provide his views and resolve the appeal. On clicking “submit” next to that box, notification mails are sent to respective effected parties that their appeal has been resolved.
7. On the Role allocation module, apart from the list which Rep A sees, Rev A should also be able to see list of employees where Rev A approval is required as roles are being re-allocated more than 2 times. Following information should be displayed:
 - i. Name, id, scale and designation of the employee
 - ii. Name, id, scale and designation of the Rep A
 - iii. No. of times role has been re-allocated for the employee
 - iv. Comments made by Rep A for re-allocation
 - v. Approve/reject button for either approving or rejecting the role allocation. Such approval or rejection should be in the form of a pop-up where Rev A will be able to provide his/her comments for approval or rejection

On clicking the employee id/name, Rev A will be able to see (in the form of a pop- up) the roles allocated to the employee by the Rep A along with all the other information mentioned above. On approving or rejection, a notification mail shall be generated for Rep A that role re-allocation made by him/her has been approved or rejected. If approved, employee should also get a notification mail that his/her role has been modified

1.15 HR screens

1. After the initial log in, HR should be provided with a link that directs HR to Role clarity module
2. On the home screen of Role Clarity module, HR should be able to see following information w.r.t his/her region/zone or bank as a whole:
 - i. No. of employees assigned roles for his/her region/zone/bank as a whole
 - ii. No. of employees yet to be assigned roles
 - iii. No. of service requests from employees pending for resolution
 - iv. No. of role allocation appeals pending for resolution

Please note that a regional HR can see information only w.r.t his/her region, zonal HR w.r.t his/her zone, and central HR w.r.t. whole bank. There should checks and balances in place for division of responsibilities among HR personnel.
3. HR should be able to deep dive on any of the above number by clicking on them. On clicking the number, HR should be shown following information:
 - i. Employee name, id and scale
 - ii. Alpha, region and zone
 - iii. Rep A of the employee

- iv. Date of service request/trigger/appeal (if applicable)
- v. Employee name, id and scale with whom service request/appeal is pending (if applicable) HR should be able to download the above lists in the form of excel. On clicking on the employee id in option (e), a pop-up should open where HR will be shown following details
 - i. Nature of service request or appeal
 - ii. Date of service request or appeal
 - iii. Comments provided by employee, if any, for raising the request or appeal
 - iv. A trigger button for sending out notification mail and SMS to employee who has to take action on the service request or appeal
 - v. Submit button – clicking of which will generate a notification mail and SMS to the concerned employee to take action on a given appeal or request raised by a particular employee id and name.
- 4. HR should have access to report where allocated roles with budgetary or measurable KRAs have no targets against them. The report should contain following fields:
 - i. Employee id & name
 - ii. Rep A id & name
 - iii. Alpha
 - iv. Region
 - v. Zone
 - vi. Primary Role allocated to employee with date
 - vii. Secondary Role allocated to employee with date
 - viii. Tertiary Role allocated to employee with date
 - ix. KRA on which target is not set

HR should be able to download the above report in the form of excel sheets

HR screens can also be made available to respective Zonal and regional managers for viewing the completion of Role clarity.

9.4 PERFORMANCE DASHBOARD:

This module forms the core of the new PMS. Every employee can view his/her performance on monthly basis with actuals against targets and comparison to historical performance for comparable period. Further, YTD scores and peer comparison is provided. Focus areas or areas of improvement is provided in the form of “digital nudges”. Further, all this process is system driven with no or minimal manual intervention.

1.16 Introduction

Performance dashboard shows employee’s current performance w.r.t KRA score achieved, how he/she has performed against targets, things he/she can do to improve score etc. This will be landing page for all employees after logging in.

1.17 Employee screens –

1. On clicking the date, a drop down should open that employee should be able to go back into previous months for any given year or months. On selecting the month, employee will be able to see his performance for that particular month on YTD basis (financial year basis). All the fields mentioned in point 1 above should update basis the month selected.
2. Clicking any KRA provides key details such as target, actuals, % achievement, target for next month, relative position in the cohort / group etc.
3. A link will be provided to go into deep dive analysis of each parameter, with information and drill down details such as historical performance, input drivers, key focus areas based on pre-defined logic etc.

1.18 RM/DRM screens

1. RM/DRM screens will be similar to “Employee screens – retail branches” with branch performance as additional parameter. In addition to information provided “Employee screens – retail branches”, employee will be shown branch mix as follows for each KRA. Full list of information provided in the RM/DRM screens at home page level similar to branch head page including employee details, monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
2. On clicking on any branch, RM/DRM should be able to view details of the branch – this view needs to be similar to branch head view providing key details such as KRA wise score, trend in score, target vs achievement, relative performance etc.
3. On clicking on any of the branches, RM/DRM should see the full flow of branch head screens for that particular branch. **1.19**
Manger screens

1. Manger screens will be similar to “Employee screens – retail branches” with Region performance as additional parameter. In addition to information provided “Employee screens – retail branches”, employee will be shown Region mix as follows for each KRA
2. On clicking on Region mix on any of the KRA, Manger should be able to view key details such as employee details, monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
3. On clicking any of the region, Manger should be able to see view region-wise and branch-wise drill down details including monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
4. On clicking on any of the branches, RM/DRM should see the full flow of branch head screens for that particular branch.

9.5 PERFORMANCE HISTORY:

This is an extension of performance dashboard where employee can see his/her historical performance in various roles and on various KRAs along with scores obtained. Employee will also be able to see Reporting authority comments, final rating received in previous years etc.

1.20 Introduction

Every employee would be interested in knowing how he/she has been graded in the past, what were achievements against the targets, what is his/her score etc. “Performance history” is the module which deals with any queries that an employee has w.r.t his/her historic past information on performance. This module can also be used by the HR for looking in to employees’ performance history.

1.21 Employee screens

1. After the initial log in employee should be provided a link that directs him to “performance history” module
2. On the landing page of “Performance History” module, employee will be shown his current role, current overall YTD score, KRA wise YTD score, current cohort, YTD discretionary score achieved, and Rep A (including name and employee id) comments on employee’s performance and areas of development.
3. An employee should be able to see any historical form- employee should be shown all the information at that point of time
4. Another link should be provided to employee for seeing a summary of all years. This screen should show following information:
 - a. YTD score obtained every time score is banked. If score is not banked for a given period, then reason for non-scoring (leave, absconding, sabbatical etc.)
 - b. Period for which score is banked.
 - c. Grade obtained, if applicable
 - d. Role, scale, designation and location during the period score is banked
 - e. Cohort name for the score
 - f. Rep A during the score banked period

Employee should be able to click on any of the period above on which he/she will be directed to a screen where with detailed view.

5. Performance history module should allow the employee to select any full financial year (over the last 3 full financial years) and show him how the overall score was moving during that period on a monthly basis. The tabular format should contain information as detailed in point 4 above. This functionality should be capable of providing visualizations on scoring (nature of visualization TBD). However, on clicking on any of the scores, employee should be directed to a separate screen where he/she will be shown full details as in point 3 above

1.22 HR screens

1. A separate “Employee performance history” module should be provided to HR for tracking the performance of all employees who fall under their scope i.e. Regional HR should be able to see information pertaining only to their region, Zonal HR should be able to see information pertaining only to their zone etc.
2. After the initial log in HR should be provided a link that directs him to “Employee performance history” module
3. On the landing page of “Employee Performance History” module, a search option should be made available to HR for inputting the employee code for which they want to see the performance history. A quick search option should also be made available to HR for searching the employee by name or branch (alpha/sol id) or department. The search option should be on multiple criteria:
 - a. Employee code
 - b. Name of employee
 - c. Scale
 - d. Role (primary/secondary/tertiary)
 - e. Designation
 - f. LocationAll search results should populate with all the above information and HR should be able to deepdive into any of the employees by clicking on employee code.
4. On HR searching for the employee, key information regarding the employee should be displayed such as role of employee, designation, location, overall score, RepA, relative score etc.
6. Another link should be provided to HR for seeing a summary of all years for the selected employee. This screen should show following information:
 - a. YTD score obtained every time score is banked. If score is not banked for a given period, then reason for non-scoring (leave, absconding, sabbatical etc.)
 - b. Period for which score is banked
 - c. Grade of employee, if applicable
 - d. Role, scale, designation and location during the period score is banked
 - e. Cohort name for the score
 - f. Rep A during the score banked periodHR should be able to click on any of the period above on which he/she will be directed to a screen where full information as detailed in Point 5 above is displayed
7. Performance history module should allow the HR to select any full financial year (over the last 3 full financial years) and show him how the overall score was moving during that period on a monthly basis. This functionality should be capable of providing visualizations (nature of visualization TBD). However, on clicking on any of the scores, HR should be directed to a separate screen where he/she will be shown full details as in point 5 above
8. “Employee performance history” module should also contain a link where HR can download (excel format) list of employees (with name, id, scale, role, designation, location, organization, Rep A id and name) in following cuts
 - a. By scale

- b. By designation/role/organization
- c. By Rep A (employee code based)
- d. By period (monthly level)
- e. By KRA
- f. By Cohort
- g. By grade

The information displayed should contain overall YTD score obtained plus discretionary score, if any along with the information as mentioned in point 4 above. Module should allow HR to select multiple criteria with in each of the dimension i.e. for e.g. HR must be able to select both scale I and scale II employees if HR is trying to filter by scale. Further, HR should be able to filter the employees basis multiple criteria in multiple dimensions i.e. for e.g. HR must be able to select both scale I and scale II employees within scale dimension and further be able to select 4 different cohorts for filtering the relevant employees

9.6 EMPLOYEE RECOGNITION:

All eligible employee can recognize any employee for the exceptional performance displayed by the employee. Every employee who is recognized will have his/her name/photo/badge displayed in the PMS landing page. This module works on gamification model, which pushes the employees to better their performance for recognition. **1.23 Introduction**

This module is for formally recognizing and appreciating (by giving awards and badges) exceptional work. Major part of this module is a Leader board section where high performers can be showcased to the whole workforce. This section should be accessible from every user's main Performance Dashboard page and via targeted notifications. Employee recognition should work on “gamification” model which is explained in detail in this note.

1.24 Employee recognition process

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to
 - a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”) c. Leader board
 “Eligible employee” is defined as
 - a. Employee who is at least 2 scales below the awarding employee (one who is awarding badge) and the awarding employee is not a direct Reporting Authority for the employee
2. On clicking “award badge” link, employee will be directed to a screen where he/she will be able to search for an employee by name, id and scale. On the same page, awarding employee should be able to see the total number of badges he/she has left to award (every employee has at max. 3 badges to allot for a given month. Any unallocated badges in a given month are not allowed to be carry forwarded and are lapsed). When the employee searches for a given employee, the resultant search results should contain the following details:
 - a. Name, employee code, scale, designation, organization and location of the employee
 - b. Primary, secondary and tertiary roles
 - c. Rep A of the employee
 - d. An identifier (in the form of tick or cross or something similar) to show that a given employee is not eligible for a badge from him due to eligibility criteria
3. On clicking the employee name, a pop-up should open where awarding employee will be able to select the dimension on which he/she wants to offer the badge. Please note that a pop-up error should open up if awarding employee doesn't have any badges left with him/her. If awarding employee has badges left, awarding employee will be provided with following list of dimensions for badge in the form of a dropdown. On selecting any of the above dimensions, a free text field should open for enabling the awarding employee to provide comments for awarding a badge. Comments will be in the form of congratulatory tone for work done by the awardee employee. eg: “Mr. Sekhar has shown exceptional stewardship and customer centricity during

the demonetization drive. We are proud of you Mr Sekhar!” System should have “text tip” capability that can suggest language that awarding employee can use while providing the comment. Awarding employee cannot award a badge without providing comments.

4. On awarding employee providing his/her comments, he will be able to submit the badge for vetting by HR. On submission, number of badges available with the awarding employee will reduce by one. Awarding employee should not be able to submit more badges than what was made available to him/her over a given period.
5. HR will vet the language used in the comments and may make suggest modifications to the awarding employee. A modification button to this extent should be provided in the screen to this extent. On clicking the modify button, HR should be able to put in new text and click submit.
On clicking submit, the awarding employee will get a notification that a new text has been suggested by the HR and he/she can approve the text. On such approval or modifying the text, HR will get a notification for approving the comments or moderate the comment as discussed above.
6. On HR vetting and submitting the badge, the badge will be released for the awardee employee. In parallel, a notification mail will be sent to the following stating that a badge (with color of the badge) is awarded to the employee:
 - a. Awardee employee
 - b. Awarding employee
 - c. Rep A of awardee employee
 - d. All employees of the Cohort to which awardee employee belongs
 - e. Branch employees to which awardee employee belongs. Department employees in case of non-branch employeesFurther, an sms will also be generated to all the above recipients about awardee employee and the badge. Also, system should post the news of badge awarding with employee photo in a closed group of Facebook page.
7. Awardee employee can log into the performance management system and be directed to a “Rewards and recognition” page through a link on the landing page. Upon clicking the page, awardee employee should be able to see details on the badge awarded, comments provided, details of awarding employee and date of awarding.
8. Cohort employees can provide congratulatory comments to the awardee employee. Comments can be either private or public. Public messages get populated and are shown to cohort employees when they click on any awardee employee in the performance management system. Also, HR/any assigned person should be able to moderate comments if need be.

1.25 Awarding employee screens:

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link through which he/she can award a badge using the process as mentioned in “employee recognition process”
2. Employee should be provided with a link to see history (from the beginning of current financial year) of badges awarded by him/her. The details should contain the following:
 - a. Name of the awardee employee (incl. details of scale, role, designation, organization name and location)
 - b. Dimension for which badge is awarded
 - c. Date of award
 - d. Comments on awarding badge

Awarding employee should be able to sort the employees by any of the criteria mentioned above.

1.26 Awardee employee screens

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to

- a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”) c. Leader board
2. On clicking option 1(a) above, he should be able to see list of badges awarded to him by dimension. He/she should be able to see the following information
- a. Overall level of recognition
 - b. No. of additional badges/conditions required to jump to next level of recognition
 - c. Total no. of badges received including no. of comments received from cohort employees
 - d. No. of badges received by dimension including no. of comments received from cohort employees
- “Levels of recognition” is discussed in detail in annexure 10 – “employee recognition norms” (shown at end of module). Please note that the details of badges should be only for those mentioned during the current financial year. Also, the landing page and all screens which display the employee name or id should show an “icon” next to employee’s name/id which indicates the level of recognition that employee has achieved
3. On clicking any of the numbers mentioned in “Total no. of badges received” or “No. of badges received by dimension”, a summary of following information should be provided to employee:
- a. Badge received date
 - b. Dimension on which badge is received
 - c. Awarder name, designation and scale
 - d. Awarder comments for awarding the badge
 - e. No. of comments received on the badge (comments should be displayed in the form of a pop up when comments number is clicked. Comments should have an identifier to differentiate between private and public messages. Comments should also contain the name, scale, location and designation of the employee providing the comments)
4. An option should be provided to select any of the past three full financial years to know details of badges awarded in the past:
- a. Overall level of recognition
 - b. Total no. of badged received
 - c. No. of badges received by dimension
- 1.27 Cohort employee screens:**

1. On the landing page of performance management system, every employee with in a cohort should be able to see the following information:
- a. Image of the employee (accompanied by name) who has achieved the “Mr. GEMS Bond” recognition during the last one quarter
 - b. Images of employees (accompanied by name) who have achieved the highest level of recognition with in the cohort over the last one month
 - c. Images of employees (accompanied by name) who have received a badge during the last one week within the cohort
- The above feed should be refreshed on weekly basis. However, employee should be given an option to select overall region or zone or bank for seeing information of employees on above three parameters.
2. On clicking any of the images, a pop-up should open which shows the following details:
- a. Name, scale, designation, role and location of the employee
 - b. Phone no. and email id of the employee
 - c. Date of award and dimensions in which employee has received badges (with visuals of badges awarded)
 - d. Name, scale, designation, role and location of the awarding employee for each of the badges
 - e. Comments from awarding employee for awarding the badge

- f. A scrolling “comments box” where all public messages are listed
The popup should contain a “comments box” which allows the cohort employee to post congratulatory messages. However, system should be capable of filtering out offensive comments. These messages should have the option of being private or public. In case of private messages, the awardee employee will get a notification mail that a given employee has commented on his/her badge.
3. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to
 - a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”) c. Leader board
4. On clicking the “Leader Board”, employee will be directed to a new page where he/she will be able to see the full list of employees who have received badges by level of recognition. On top of the list, employee’s position should be displayed. If employee has not been awarded any badge, then a message should be shown that employee has not yet been awarded a badge. The list should contain the following:
 - a. Image of the employee
 - b. Name, scale, designation and location of awardee employee
 - c. Name, scale, designation and location of awarding employee
 - d. Dimensions in which badge is received
 - e. Comments received from the awarding employee on the dimension
 - f. Rank of awardee employees.

List should be sorted on the basis of level of recognition and in case of a tie, it should be sorted by no. of badges and then by seniority and years of experience with Bank of Baroda. Employee can search for any person in leader board by employee id, name, designation, location or dimension. The list should refresh on weekly basis
5. Employee should be able to click on any image and see the comments made by other employees. An option should be provided for the employee to enter his comments in private or public mode (by way of a check box - “send this message in private mode”). In public mode, comments will be visible to all in the cohort. In private mode, comments will be visible only to awardee employee – separate marking to this extent should be shown that the comment is in private mode.

1.28 HR Screens

1. HR screens in this module mostly deal with moderating the comments of awarding employees and congratulatory comments made by cohort employees. Further, HR should be able to different MIS reports w.r.t employees awarded badges in different dimensions, levels of recognition achieved etc. These screens are available only for central HR.
2. After the landing page, HR will be directed to “Rewards & recognition” page through a link. On this page, HR should be able to see a list of employees for whom the comments have to be vetted. The list should contain the following:
 - a. Name, scale, designation and location of awarding employee
 - b. Name, scale, designation and location of awardee employee
 - c. Dimension on which badge is awarded
 - d. Comments provided by the awarding employee
3. On clicking the comments, a popup should open with either “approve” or “edit” option. On clicking the approve option, comments will be made available to cohort and process as mentioned in “Employee recognition process” will be followed for communication. If HR selects “edit” option, then the comments field filled by awarding employee will become editable and HR can edit the comments (post confirmation with

awarding employee) and approve the same. Post HR approval, the same gets posted in the performance management system

6. In the “Rewards and recognition” page, a link should be provided for the HR to access the leaderboard. On clicking the leaderboard link, HR will be directed to a page where HR can select any cohort and look at the leaderboard stats of employees who have received badges by level of recognition. The list should contain the following:

- a. Image of the employee
- b. Name, scale, id, designation and location of awardee employee
- c. Name, scale, id, designation and location of awarding employee
- d. Dimensions in which badge is received
- e. Comments received from the awarding employee on the dimension
- f. Rank of awardee employees.

List should be sorted on the basis of level of recognition and in case of a tie, it should be sorted by no. of badges and then by seniority and years of experience with Bank of Baroda. Employee can search for any person in leader board by employee id, name, designation, location or dimension. The list should refresh on weekly basis

7. HR should be able to download the list of employee who got recognized in the form of an excel. A clickable button to this extent should be provided on top of the table. Further, a calendar should be provided on top of the list to view leaderboard on any given date. Also, HR should be able to download the list of all employees who have been awarded badges over a given period. Downloads should contain the following information

- a. Name, scale, id, designation and location of awardee employee
- b. Name, scale, id, designation and location of awarding employee
- c. Dimension in which badge is received
- d. Comments received from the awarding employee on the dimension
- e. Name, scale and designation of HR employee vetting the comments

HR should have the option to download the full dump for a given period along with branch, region and zone names.

8. HR should be able to add new badges/dimension (including design and imagery) or change names of badges/dimensions as and when need be. This could be provided through a separate a link titled “Recognition administration”. On clicking the link, HR will be directed to a separate screens, where HR will be shown list of badges, levels of recognition, and images used for the same. On clicking the same, a popup should open which should show following information

- a. Current name (non-editable)
- b. Current image (non-editable)
- c. Free text field for enabling HR to provide new name
- d. Attachment field for enabling HR to upload a new image
- e. Upload button uploading the attachments and previewing the image
- f. Submit button for transferring the form for approval

9. On clicking submit, the form flows to a “checker” HR who will approve the changes. A notification mail will be generated for the “checker” HR with a link that directs him/her to the approval page.

10. On clicking the link in notification mail, checker HR will be directed to approval page where he/she will be able to see the following information:

- a. Current name
- b. Current image/design
- c. New name
- d. New image/design

- e. Approve button for approving the change (dual confirmation to be in place i.e. an additional “are you sure” screen should pop up on approving the change)
- f. Modify button for changing name or image or both (dual confirmation to be in place i.e. an additional “are you sure” screen should pop up on approving the change)
- g. Reject button for not accepting the change – if clicked, a new field should open up for giving rejection comments

On approving (incl. modified approval) or rejecting, PMS system should update all the badges with new images and names. In the backend, a notification mail should be generated to the HR who raised the request that his/her request has been approved, approved with modification or rejected.

9.7 MID TERM REVIEW:

Mid-term review involves employee completing self-appraisal and Reporting authority providing his comments on the performance (incl. areas of strength and development) of the employees.

9.8 END TERM APPRAISAL:

End-term review involves employee completing self-appraisal, Reporting authority providing comments, scoring for non-measurable KRAs, conduct of cohort workshops, deciding the ratings and closing the roles.

1.29 PERFORMANCE APPRAISAL (Mid-Term and End-term) Introduction

This module covers the mid and end term appraisal of employee’s performance. This page can look different for different users depending on the role they are on. The idea of this page is to enable the employees and other stakeholders on assessing the performance of the employees based on actuals achieved against targets and subjective scores provided by the Reporting Authority (Rep A).

1.31 End term review process flow

At the end of every financial year (i.e. March 31 or any other date as may be notified by the Bank), employee’s performance will be reviewed and assessed for the purpose of grading.

HR will trigger an automated mail at the beginning of the year which will be sent to all employees stating end term appraisal for previous Financial year is now active and also indicate the due date (as may be decided by the HR – can be different for different employees) for completion of end term appraisal.

The notification mail should contain a link to the self-appraisal page

On receipt of mail, employees should be able to click open the link and be directed to the self-appraisal page where he will be shown following information:

1. Basic details of the employee (name, designation, scale, branch, Rep A etc)
2. Year for which assessment is being done
3. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
4. Weights for each of the KRAs on which he is being assessed
5. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
6. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
7. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
8. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance
9. An overall free text field where employee will comment on his overall performance

Employee will fill in his view on his performance in the free text field and submits the application. If self-assessment is not completed within 10 days from the date of process trigger (i.e. date on which the notification mails are sent out), then employee would be deemed to have completed the self-appraisal with no comments.

On employee submitting the self-appraisal form, Rep A will receive a notification mail stating that a given employee has completed his self-appraisal and that now Rep A can start scoring/role closure process. However, an option should be provided to the Rep A requesting the employee to complete self-assessment.

1.32 If an employee has spent less than a pre-defined time period (e.g. 3 months) in a particular role during year-end, no score will be generated for the employee in such a scenario.

On clicking the link in the self-appraisal completion notification mail, Rep A should be directed to the page where following information is displayed:

1. Performance evaluation to be done as per the prevalent HR policy & procedures in the Bank
2. Employee information (Name, Scale, Designation, Role, etc)
3. Overall system generated score of the employee
4. List of KRAs (incl. discretionary parameters), weights, targets and achievements against the KRAs
5. Employee comments on his performance against each of the KRAs
6. A free text field against each of the KRAs through which Rep A will be able to provide comments on each of the non- discretionary parameters
7. An overall free text field where Rep A will comment on the overall performance of the employee
8. Restricted number field (min & max criteria) for scoring non-system driven, non- discretionary KRAs
9. A multiple choice form for scoring five discretionary KRAs with scale 1-6 and related rating description.

If the difference between the achievement of discretionary score % and achievement of non-discretionary score % is +/-20% points, then it would be ideal to make it mandatory for Rep A to give justification for the variance. Rep A should not be able to submit the end term appraisal without filling the reason for variance. If there's no such variance, Rep A can directly submit the end term appraisal. Work-around can also be suggested.

On Rep A submitting the end term appraisal form, Rev A will receive a notification mail stating that the Rep A has completed the end term appraisal for a given employee. On clicking the link in the mail, Rev A will be directed to following page, where following information is displayed for that particular employee:

1. Details of the employee (name, scale, designation, roles, location etc)
2. Details of Rep A (name, scale, designation, location etc)
3. Overall score of the employee with breakup of system generated and discretionary score.
4. List of KRAs, weights, targets and achievements on which employee is assessed
5. Employee comments on his performance and Rep A comments on employee performance
6. Rep A's comments on discretionary score
7. Rep A's comments on variance between discretionary and non-discretionary score.
8. A button for revising the Rep A provided scores on discretionary parameters. On clicking the button, a multiple choice form for scoring the discretionary KRAs should be displayed i.e. for each of the discretionary parameters, Rev A will be given five options on each of the discretionary parameters where, on selecting the option, score for that parameter is auto-populated. Rev A should be shown score for each of the parameter even before selection. Please note that the "Variance check" (i.e. difference between % achievement in discretionary score and % achievement in non-discretionary score should be less 20% points) should be again run if Rev A changes discretionary score. If the "Variance check" flag goes off, then Rev A should be provided additional field to fill in reasons for such variance
9. An overall free text field where Rev A can comment on the employee performance Score for a given employee will be frozen on Rev A submission in following cases:

1. Rev A doesn't make any change in the discretionary scores and directly approves the scores provided by the Rep A
2. Rev A makes changes discretionary score but difference is less than 5 points and there has been no "slab change" i.e because of modification in score, employee may move from average to high performer, or outstanding to high performer etc.

In both the above cases, Rep A will be notified about freezing of score and changes if any

In following cases, Rev A would send the form back to Rep A to make modification and send back to him:

1. Where the difference between Rep A provided discretionary score and Rev A provided discretionary score is more than 5 points
2. Where the difference between Rep A provided discretionary score and Rev A provided discretionary score is less than 5 points but there is a "slab change"

After Rep A makes the modification, Rev A would submit the form and scores will be frozen. In cases other than above 2 cases, Rev A can directly submit the form and scores would be frozen.

If Rep A chooses to appeal the Rev A scoring, then a notification mail will be generated for Accepting Authority (AA) and Rev A, who will see the following information on the appeal:

1. Details of the employee (name, scale, designation, roles, location etc)
2. Details of Rep A (name, scale, designation, location etc)
3. Overall score of the employee with breakup of system generated and discretionary score.
4. List of KRAs, weights, targets and achievements on which employee is assessed
5. Employee comments on his performance and Rep A comments on employee performance
6. Rev A's & Rep A's comments on discretionary score
7. Rev A's & Rep A's comments on variance between discretionary and non- discretionary score.
8. Free text field in which AA will provide comments/reasons for appeal disposal

AA will have the option to choose either Rep A discretionary score or Rev A discretionary score. On selecting one option, AA will have to provide reasons for selecting the option and submit the same. On resolving the appeal, scores for the employee will be frozen and Rev A/Rep A will be appropriately notified

On freezing of scores, HR will be notified about the details of employees (along with discretionary and non-discretionary scores they achieved) where scores have been frozen and a "communication trigger" will be provided to HR to convey scores to employees. On activating this trigger, all the employees for whom the scores are frozen, should be able to see scores in the system including following details:

1. YTD Non-discretionary (system driven and non-system driven separately) and discretionary scores achieved. Quarterly scores achieved on Non-discretionarynon system driven scores and discretionary scores. YTD non-discretionary non-system driven scores and discretionary scores are weighted average scores of quarterly scores for respective parameters
2. Rep A's comments on employee's performance along with scores provided by Rep A
3. Rev A's comments, if any, on employee's performance along with scores provided by Rev A
4. Accepting authority's comments, if any, on appeal disposal

In case employee is not ok with the scores or grades provided, then employee can make an appeal. However, this appeal process will be off-line. Final score/grade from such appeal will be uploaded by HR and the final score/grade should be updated in the system for a given employee.

Loop closure: If employee chooses to appeal the scores, the process for the same will be off line and the final score from such appeal process will be uploaded by the HR and can be later seen by the employee

Guidelines on Employee Performance Appraisal System for Local Employees (other than Support Staff)

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

Confidential

i. Objectives:

- Introduced performance appraisal system for the Local Employees of the Territory.
- To facilitate improve one's performance through quantitative target setting.
- Goal setting process at the beginning of the review year.
- Provide role-clarity – clearly defining and describing the responsibilities to bring more objectivity in the appraisal process.
- Role of the Supervising / Reporting Authority in setting expectations and mutually planning for Performance along with the individual local employee.
- Aligning the individual performance to the Performance of the Territory.
- Giving feedback to the employee on his / her performance vis-à-vis the expectations and formulating a system for continuous improvement.
- To reviewing the renewal process of Labour Contract of staff members by relating with their performance.

ii. Components & Weightage:

- The distribution of weightage for different components of performance has been kept as under :

Officers' Cadre which includes Junior Officer :

	Components	Weightage
1.	Key Responsibility Areas (Quantitative Aspects)	30
2.	Job/Role Related Areas	25
3.	Customer Service	5
4.	Job Knowledge(Including knowledge on IT Products & Services, Awareness of Banking Products , Services & Schemes & Market Awareness)	10
5.	Public Relation & Marketing	5
6.	Team Spirit & Achievement of business Goals as a Team	5
7.	Potential to handle higher responsibilities, responsiveness to corporate concern	5
8.	Knowledge of Arabic	5
9.	Communication Skill	5
10.	Any other achievement not mentioned above	5
	Total Marks	100

For Customer Service Executive and Senior Customer Service Executive :

	Components	Weightage
1.	Key Responsibility Areas (Job/Role Related Areas)	55
2.	Customer Service	5
3.	Job Knowledge(Including knowledge on IT Products & Services, Awareness of Banking Products , Services & Schemes & Market Awareness)	10
4.	Public Relation & Marketing	5
5.	Team Spirit & Achievement of business Goals as a	5

	Team	
6.	Potential to handle higher responsibilities, responsiveness to corporate concern	5
7.	Knowledge of Arabic	5
8.	Communication Skill	5
9.	Any other achievement not mentioned above	5
	Total Marks	100

Negative – Marks with all cadres to align with the Central Bank requirements of Consumer Protection:

Negative marks will be as per the Customer complaints received by the Head - Customer Experience Vertical, Zonal office, UAE and the same to be shared on case to case basis till the final action / resolution of the Complaint.

The log book for the same is maintained by the Head - Customer Experience Vertical, Zonal office, UAE and reported on monthly basis in Complaints Trend Analysis.

The details of negative marks are as under:

	PARAMETER FOR MINUS MARKS for all staff	Negative marks
1	For every Customer complaints due to wrongful method/approach adopted to increase the sales & staff negligence is proved after investigations in the appraisal year	-5 marks for each complaint in the appraisal year
2	For every Customer Complaints due to Staff Behavior & staff negligence is proved after investigations in the appraisal year	-5 marks for each complaint in the appraisal year
3	For every Staff abusive practices/ behavior recorded in the Abusive practices log & staff negligence is proved after investigations in the appraisal year	-5 marks for each complaint in the appraisal year
4	For every Customer Complaints due to delay/ Not responding to customer queries which lead to escalation & staff negligence is proved after investigations in the appraisal year	-2 marks for each complaint in the appraisal year
	If the total negative score of any staff is more than 40 for appraisal year then the labour contract may not be renewed or appropriate action will be taken against erring staff as per the prevalent labour law & as deemed fit by the bank.	

Reporting & reviewing structure to make the same more flexible:

The final score for the concerned local employee would be the scores awarded by the Reviewing Authority.

In case there is a variation of 15% +/- in the marks awarded by the Reporting Authority & Reviewing Authority then proper justification is required to be entered in the Appraisal Form by the Reviewing Authority. HR department will review the cases in which deviation is more than +/- 15%

& requisite justifications are not submitted then those appraisal forms will be returned to the branches

Scoring points: Only in case of employees scoring **55** or more marks in their EPAS will be sanctioned annual increment.

Performance Review Discussion & Development Plan:

The finally reviewed APA form for all local employees, shall then be sent back to the Branch and Branch Head shall complete the form with his recommendation/ comments on the following in the space provided followed by a feedback discussion:

1. Release of Annual Increment
2. Training Need & Developmental Plan
3. Renewal of Labour Contract

This information will be utilized in order to compile the training needs and impart necessary training or extend the required support.

Feedback discussion is a very vital component of the process which envisages communicating the final ratings and giving feedback to the individual employee about what he / she has done well and what went wrong and the training need and development plan, if any.

Besides communicating the rating, the employee will also be communicated about the decision as to whether the labour contract will be renewed for a further period of two years or not. The Feedback discussion has to be carried out in a one to one meeting by the Branch Head preferably in the presence of the Reporting Authority.

iii. **Processes to be followed:**

1. **Goal Setting:**

At the beginning of the review year, the process will commence with finalization of specific business targets and other KRAs for various performance parameters keeping in view the business plan and potential for growth during the review period for various performance metrics.

The mutually discussed and finalized targets / KRAs as above will be incorporated in the form and to be signed by the immediate Reporting Authority and the local employee and a copy of the same retained by the employee and Reviewing Authority as a guide for performance and monitoring the performance during the review period.

2. **Mid Term review:**

The performance review has to be a continuous and regular process. This involves a mid-year review of performance based on the KRAs and business targets finalized to be undertaken during the year, to take stock of progress, constraints, extend support and even reset goals as required.

The mid-year review discussion between RA and the local employee is to be carried out in the month of October for which the local employee should himself / herself evaluate his / her own performance, incorporate the achievement figures pertaining to various performance metrics and the KRAs set in mid-term review page provided in each of the formats and carry the same to the Mid-Term Review discussion.

Upon undertaking such mid-year review, if any goals / KRAs are to be re-set or changed, the same should also be done and recorded in the relevant page, which should be duly signed by both.

3. **End Term Review**

Self-appraisal

The annual appraisal of performance should take place at the beginning of next review year starting with a self- appraisal on each and every parameter / KRA dimension by the local employee. The employee should specify the achievement (for the quantitative parameters) and the description of the work done in the case of qualitative parameters in the KRA scorecard against each parameter.

The employee can also state any mitigating circumstances which prevented him / her from meeting the goals / objectives set, for the consideration of the Reporting Authority in the self appraisal page.

1.34 An officer will be allocated a score for a particular role only if (s)he has spent more than a particular time period (e.g. 3 months) in that role

In case the Rep A changes during a particular role, the officer who was the Rep A for the most duration for the officer during the role must provide discretionary score for that role. In case of retiring Rep A, then automated SMS/notifications should be sent to Rep A, Rev A, employee and HR for completing the appraisal of employee until the retirement date (not required if retiring Rep A has been Rep A for the employee for less than 3 months)

1.35 Employee screens:

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, Rep A will be directed to an interim page where Rep A should be able to choose whether he wants to continue as an “Employee” or as a “Reporting authority”
3. On clicking, “Reporting Authority”, Rep A will be directed to a screen where he should be able to see
 - a. List of all employees reporting to Rep A along with system generated scores for each of the employee
 - b. Status of the respective employee appraisal applications
 - i. Self-appraisal stage
 - ii. Pending for scoring
 - iii. With Rev A
 - iv. Score changed by Rev A
 - v. With AA
 - vi. With Cohort Chair (in case of non-measurable roles)
 - vii. With HR
 - viii. Scores frozen
4. Rep A should be able to sort and filter the employees using any of the stages as described above. Also, Rep A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”
5. In case of employees where application is still in “Self-Appraisal” stage, Rep A should be able to trigger a reminder mail to the respective employees (bulk triggering can be made possible using other alternatives as well)
6. In case of “pending for scoring”, Rep A can select any employee and complete scoring as described in “End term appraisal process”. Rep A should be provided with options to save the scores without submitting for Rev A
7. In case of “scores changed by Rev A”, Rep A should be able to either accept or appeal the score as described in the “End term appraisal process”. Options to be explored for enabling Bulk/multiple approval or appeal facility should be made available to the Rep A **1.37 Rev A screens**

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, Rev A will be directed to an interim page where Rev A should be able to choose whether he wants to continue as an “Employee”, as a “Reporting authority” or as a “Reviewing authority”
3. On clicking, “Reviewing Authority”, Rev A will be directed to a screen where he should be able to see
 - a. List of all employees for whom the scores have to reviewed along with breakup of system generated and discretionary scores
 - b. Reporting authority of respective employee whose scores have to be reviewed
 - c. Status of “Variance check” – i.e. is it on or off
 - d. Appealed by Rep A and pending with AA
 - e. Scores frozen
4. Rev A should be able to sort and filter the employees using any of the stages/parameters as described above. Also, Rev A should be able to click any of the employees and be able to deepdive into details of those employees as described in the “End term appraisal process”. On making the changes, if any, Rev A should be able to save the changes in discretionary score without submitting the same
5. Rev A should be provided with an option to bulk/multi submit the scores

1.38 Accepting Authority Screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, AA will be directed to an interim page where AA should be able to choose whether he wants to continue as an “Employee”, as a “Reporting authority”, as a “Reviewing authority” or as an “Accepting Authority”
3. On clicking, “Accepting Authority”, AA will be directed to a screen where he should be able to see list of all pending appeals with following details
 - a. List of all employees for whom the scores have to reviewed along with breakup of system generated and discretionary scores as provided by Rep A and Rev A
 - b. Reporting authority of respective employee
 - c. Status of “Variance check” – i.e. is it on or off
4. AA should be able to sort and filter the employees using any of the stages/parameters as described above. Also, AA should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”. **1.39 Cohort Chair screens**

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, employee will be provided another link titled “Cohort chair” which will direct the employee to cohort chair page which displays following information
 - a. List of employees for whom scoring is to be frozen and scores given by Rep A for those employees
 - b. List of Rep As who have to be invited for cohort chair meetings
 - c. Cohort against which the employee belongs
3. Cohort chair should be provided with a trigger to request for “cohort chair” meeting with a notification mail to regional, zonal and central HR teams
4. On completion of “Cohort chair” meeting, Cohort Chair will be able to mark a particular cohort as completed i.e scores frozen.

1.40 Vertical head screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, employee will be provided another link titled “Inputs for RM” which will direct the employee to RM appraisal page which displays following information
 - a. List of RMs for which form is to be filled (Name and location should be displayed)
 - b. Status of each forms of each of the RMs (i.e. not started, started, submitted) VH should be able to filter and sort basis the above the parameters

3. VHs should be able to save the forms without submitting it

1.41 HR screens

1. This is an administrative page for running the “end term appraisal” process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. HR head for kick starting the process of end term appraisal
 - b. Central HR team for tracking countrywide progress of end term appraisal process
 - c. Zonal HR team
 - d. Regional HR teams

2. On the home page of “end term appraisal”, HR should be able to see following statistics:
 - a. % of employees for whom end term eval and discussion with Rep A is completed
 - b. % of employees where end term eval is pending for discussion
 - c. % of employees where end term eval is pending with employee
 - d. % of employees where end term eval is pending with Rep A or Vertical head
 - e. Median employee score
 - f. Grade curve with an option to choose cohort in the form of a dropdown – marks or percentile at each cutoff should be highlighted
3. After the initial log in, HR should be provided with a link which will direct HR to a page where HR will be able to see (and download) the following information:
 - a. List of zones with no. of employees
 - b. No. of employees where scores are frozen in each of the zones (along with completion %)
 - c. No. of employees where self-appraisal is pending
 - d. No. of employees where Rep A scoring is pending
 - e. No. of employees where Rev A reviewing is pending
 - f. No. of employee where AA appeal resolution is pending
 - g. No. of employees where Cohort scoring is pending
 - h. No. of employee where scores are to be uploaded by HR
4. HR should be able to filter the zones using any of the parameters above. Further, Central HR should be able to deep dive into regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep- dive only for their respective zones/regions and will not be able to see others’ performance
5. Central HR can set grade curve. A separate screen to this extent should be provided. On the home screen of grade curve sheet, HR should be able to see the grade with an option to see grade curve of any cohort with marks or percentile at each cut-off. On this screen, central HR can upload the excel sheet on what are the cut-offs for each grade. The cut off can be either relative score (i.e. top 10%, top 20% etc) or an absolute score (i.e. 90 marks, 80 marks etc). On such upload, grade curve should be reset basis the new cut-offs and HR should be able to see the same on making the upload (selecting cohort option should still be present)
6. Central HR should be provided with a trigger to release scores to all employees where scores are frozen. Trigger can be individual, group, multi employee or bulk.
7. Central HR team should be provided with a screen to upload the scores of non- measurable employees after completion of cohort chair meetings
8. Central HR team should be provided with a screen to upload final scores/grades in case of appeal by employee

1.42 Mid-term review process flow

Mid-term review is meant to give employees an assessment of their performance, strengths and weaknesses they have to work on so that the targets are achieved at the end of the year. Mid-term review can happen on quarterly basis (except for last quarter where only end term happens). Review for a particular quarter happens after the completion of that quarter and at the beginning of next quarter i.e. mid-term review for Q1 will happen at the beginning of Q2.

At the beginning of every quarter, a notification mail will be sent to all employees (HR should be able to select category of employees, such as branch and non-branch employees, for whom the mail has to be generated) stating that they are eligible for mid review. On logging in at the beginning of every quarter (except for the 1st quarter), employee will be provided with a pop-up which states that employee is eligible for mid review of his performance and the same can be accessed through “midterm review” page.

On receipt of mail, employees should be able to click open the link and be directed to the self-appraisal page where he will be shown following information:

1. Basic details of the employee (name, designation, scale, branch, Rep A etc)

2. Period for which assessment is being done

Employee will fill in his view on his performance in the free text field and submits the application. If self assessment is not completed within 10 days from the date of process trigger (i.e. date on which the notification mails are sent out), then employee would be deemed to have completed the self-appraisal with no comments.

On employee submitting the self-appraisal form, Rep A will receive a notification mail stating that a given employee has completed his self-appraisal and that now Rep A can start midterm review. However, an option should be provided to the Rep A requesting the employee to complete self-assessment.

On clicking the link in the self-appraisal completion notification mail, Rep A should be directed to the page where following information is displayed:

1. Employee information (name, scale, designation, roles, etc)
2. Overall system generated score of the employee
3. List of KRAs (incl. discretionary parameters), weights, targets and achievements against the KRAs
4. Employee comments on his performance against each of the KRAs
5. A free text field against each of the KRA for Rep A to provide his/her comments. Free text field should be divided into multiple sections viz-a-viz details of achievements and details of areas for development
6. An overall free text field where Rep A will comment on the overall performance of the employee. Free text field should be divided into multiple sections viz-a-viz details of achievements and details of areas for development

Rep A has the option to provide comments against each of the KRAs and on overall performance of the employee. Once details are filled in and submitted by Rep A, a notification mail will be generated for the employee stating that Rep A has provided comments on employee's performance.

Employee screens:

1. During the midterm appraisal cycle, on initial log in, employee should be provided a pop-up which notifies start of appraisal cycle and that the employee has to complete self-appraisal by a given date
2. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to "midterm appraisal" page
3. In the "midterm appraisal" page, employee should be able to see the status of the appraisal in following stages in the form of a "donut" and deadline for completion for each of the stage where the application is pending:
 - a. Self-appraisal
 - b. With Rep A
 - c. With Vertical Head
 - d. Self-appraisal completed
4. On clicking "self-appraisal", employee will be shown following information:
 - a. Basic details of the employee (name, designation, scale, branch, Rep A etc)
 - b. Year for which assessment is being done
5. There should be a "Save" option for the employee so that employee can revisit the self-appraisal form later
6. On clicking submit on self-appraisal page, status should change from "Self- Appraisal" stage to "With Rep A" stage. As soon as the application moves forward along the process chain, the status page should refresh with latest stage.
7. On the application status changing to "Self-appraisal completed", employee should be able to check following information with respect to end term appraisal
 - a. Rep A's comments on employee's performance against each of the KRAs
 - b. Rep A's comments on employee's overall performance along with areas of strength and development
 - c. Vertical head's comments employee's performance (in case of Manger)

d. A button for employee to acknowledge that he/she had mid eval discussion with Rep A **1.46 Rep A screens**

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “Mid-term appraisal” page
2. On clicking the “Mid-term appraisal” page, Rep A will be directed to an interim page where Rep A should be able to choose whether he wants to continue as an “Employee” or as a “Reporting authority”
3. On clicking, “Reporting Authority”, Rep A will be directed to a screen where he should be able to see
 - a. List of all employees reporting to Rep A along with system generated scores for each of the employee
 - b. Whether employee is Budgetary/measurable and non-measurable
 - c. Status of the respective employee appraisal applications
 - i. With employee
 - ii. Pending with Rep A
 - iii. Mid-term eval completed
4. Rep A should be able to sort and filter the employees using any of the stages as described above. Also, Rep A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “Mid-term appraisal process”
5. In case of employees where application is still in “With employee” stage, Rep A should be able to trigger a reminder mail to the respective employees (bulk triggering should be made possible)
6. In case of “pending with Rep A”, Rep A can select any employee and complete mid-term feedback as described in “Mid-term appraisal process”. Rep A should be provided with options to save the feedback at any point of time

1.47 Vertical head screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “Mid-term appraisal” page
2. On clicking the “Mid-term appraisal” page, employee will be provided another link titled “Inputs for RM” which will direct the employee to RM appraisal page which displays following information
 - a. List of RMs for which form is to be filled (Name and location should be displayed)
 - b. Status of each forms of each of the RMs (i.e. not started, started, submitted) VH should be able to filter and sort basis the above the parameters
3. On clicking any of the RM name, a pop-up will open where VH will be able to provide comments on RM’s performance. A free text field to this extent should be provided to VH. The free text field should have sections for highlighting areas of strength and areas of development. VHs should be able to save the forms without submitting it **1.48 HR screens**

1. This is an administrative page for running the “Mid-term appraisal” process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. HR head for kick starting the process of Mid-term appraisal
 - b. Central HR team for tracking countrywide progress of end term appraisal process
 - c. Zonal HR team
 - d. Regional HR teams
2. On the home page of “mid-term appraisal”, overall bank numbers with respect to following should be displayed:
 - a. % of employees who completed self-appraisal and had discussion with Rep A
 - b. % of employees where self-appraisal is still pending with employee

- C. % of employees where self-appraisal is still pending with Rep A/Vertical head
- 3. After the initial log in, HR should be provided with a link which will direct HR to a page where HR will be able to see (and download) the following information:
 - a. List of zones/regions with no. of employees
 - b. No. of employees where self-appraisal is pending
 - c. No. of employees where Rep A scoring is pending
 - d. No. of employees where Vertical head scoring is pending
 - e. No. of employees for whom mid-eval is completed and is not acknowledged by the employee
 - f. No. of employees for whom mid-eval is completed and is acknowledged by the employee
- 4. HR should be able to filter the zones using any of the parameters above. Further, Central HR should be able to deep dive into regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep- dive only for their respective zones/regions and will not be able to see others' performance
- 5. Central HR should be provided with a trigger to release scores to all employees where scores are frozen. Trigger can be individual, group, multi employee or bulk.

Central HR team should be provided with a screen to upload the scores of non- measurable employees after completion of cohort chair meetings.

9.9 HR ADMIN:

This module is an exclusive access to certain employees of HR for various activities revolving around the employee performance management including resolving employee queries/service requests, kick start appraisal process, follow-up for role allocation and closure etc. **1.49 Introduction**

This module details out various screens which HR must have access to. While many of these screens are already covered in other module BRDs, this note details out additional screens which HR requires access to.

1.50 Modules accessible by HR should

have access to following modules:

1. Mid-term appraisal screens
2. End term appraisal screens
3. Org module
4. Employee recognition
5. Performance history
6. Role/KRA assignment
7. Role modification
8. Target viewing
9. Help center

All the above screens should be made available through "HR admin" section. Further, checks and balances should be in place to ensure that adequate access rights are provided depending on the HR level. For instance, a regional HR should be able to see the details (of employees, process status etc.) only in his/her region for the above modules. Similarly, zonal HR should be able to see details only in his/her zone. Also, system should have the capability to divide the responsibilities i.e. it is not necessary that all the modules are to be seen by a single HR person. They can be divided among multiple HR people along with maker checker concept in place.

1.51 Please note that different roles and privileges are provided to HR, so that HR employee log in for managing own PMS should be different from HR logging into dispose of his/her duties as HR.

Key activities performed by HR in various modules

1. Upload of cohorts
2. Upload of roles, KRAs and related targets

3. Upload of cohort chair scores 4. Setting of grade curve

Please note above list is not exhaustive and additional activities can be added and system should have the flexibility to add new process flows or activities. **1.52 HR screens**

1. After the initial log in, HR should be able to see the following dashboard:

- a. % of employee completing end term appraisals or mid-term appraisals
- b. % of employees with roles allocated
- c. No. of employees for whom role closure is to be completed
- d. Median score of employees
- e. % of budgetary/measurable role KRAs with no targets prescribed
- f. Grade curve based on the existing criteria and % of employees at each segment
- g. Total number of employees in region/zone/bank
- h. Status of Cohort workshops and pending cohorts

HR should be able to download the above reports in the form of an excel sheet with details on employees and Rep A at following levels:

- i. Branch level
- j. Zone level

v. Cohort level (in-case of grade curve and median scores)

2. HR should be provided with screens for uploading various tables. A separate “Uploads” tab can be provided to this extent. Within the uploads tab, HR should be able to see following segments for uploading data in the form of excel:

- a. Cohort groups
- b. Cohort chair scores
- c. KRA master
- d. Role master
- e. Targets master
- f. Audit score upload
- g. Grade curve cutoffs (can be in the form of marks or % of employees)

Please note above list is not exhaustive. Additional data files can be uploaded.

3. After selecting any of the above segments, a new screen should open that allows HR to upload data in the form of excel sheet. When a new data sheet is uploaded, the old ones should be replaced for all backend calculations or front end display. However, HR should still be able to download the old files.

4. HR should be able to download the above list in the form of a excel sheet. Also, HR should be able to sort the employees by any of the parameters listed above.

Further, a search option should be provided for HR to retrieve any particular request basis service request no. and employee id of the person raising the request. HR should be able to come back to this screen at any point of time. A separate “Service Requests” screen may be provided for HR which will display the information as stated above

5. On the home screen itself, HR should be provided with links to following modules:

- a. Mid-term appraisal screens
- b. End term appraisal screens
- c. Org module
- d. Employee recognition
- e. Performance history
- f. Role/KRA assignment

- g. Role modification
- h. Target viewing
- i. Help center

On clicking each of the screens, HR should be able to follow the steps/screens mentioned in the respective modules.

9.10 APPLICATION ADMIN:

Application admin is a screen used for monitoring performance management system with respect to downtime, logins, peak users, updating screens etc.

1.53 Introduction

Admin section details out the process flow involved in service requests raised that require System Administrator intervention. There are five main areas where application admin's intervention or usage of application is required:

- Availability monitoring w.r.t uptime and downtime of system
- Adoption and other stats w.r.t no. of concurrent users, peak users, average time spent per session etc
- Incident monitoring w.r.t lack of access to certain pages or data mismatch
- Service requests w.r.t. adding/deleting/modifying content on the application screen
- New user creation or Deletion of existing users

1.54 Processes involved for Service Request/incident monitoring

1. Following are examples of admin issues which may be faced by an employee:

- a. Access to screens
- b. Upload or download failures
- c. Viewing screens which are not relevant to employee
- d. Data or visual inconsistencies i.e. (data not aligning with visual representation)
- e. Adding/modifying/deleting content from screens incl. pop-ups

Please note that the list above is not exhaustive and additional issues may be faced by user.

2. If an employee faces any issue with respect to navigation or PMS, he/she can log a service request through help center
3. On the home page of help menu, employee should be able to see three separate links
 - a. Raise service request
 - b. FAQs
 - c. See status of live and past service requests
4. On clicking "Raise Service Request", a new popup will open with following dropdown for selecting the module in which service request is being raised
 - a. Mid-term appraisal
 - b. End term appraisal
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. HR admin (to be visible only for HR)

- j. Admin
- 5. On choosing (j) above, a new pop up screen will open with following fields:
 - a. A drop down for selecting the area of request as mentioned in point 1 above.
 - b. A free text field where employee can elaborate the nature of his/her request
 - c. An attachment field where employee can upload any document incl. word, excel, picture, pdf
 - d. Submit button for submitting the service request
- 6. On clicking “submit” button, a service request number should be shown to the employee which confirms the raising of request. In parallel, a notification mail should be generated for the admin on service request.
- 7. On clicking the link in the notification mail, the system admin should be directed to the screen where he/she will be able to see the following information:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee
 - d. Documents uploaded by employee (system admin should be able to download and view the same)
 - e. Service request number and date of service request
 - f. Close button
 - g. A free text field for system admin to provide comments on closing the service request
- 8. On resolving the request, system admin can close the request as resolved. No such closure should be allowed without comments. On closure, a notification mail should be generated to the concerned employee that his/her request has been resolved and he/she can approve/reopen the closed request
- 9. On clicking the link in notification mail, employee will be directed to a screen where he/she will see following information:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee
 - d. Documents uploaded by employee (should be able to download and view the same)
 - e. Service request number and date of service request
 - f. Comments provided by System admin for closing the service request
 - g. Approve button
 - h. Re-open button
 - i. A free text field and attachment field (to be opened only on clicking re-open) for providing comments on re-opening the service request

1.55 Processes involved for adding/modifying/deleting user requests

1. Access to all users should be basis the entry in employee generic i.e. only those employees whose id is present in employee generic will have access to performance management system
2. This access rights should be system driven i.e. on adding a new id to the generic, an automated notification mail should be sent to the new employee regarding the user id and access should be basis Single sign on. Similarly, if an employee id is deleted from employee generic, access for that employee should be automatically terminated
3. Performance management system should be able to directly liaison with existing HRMS system for accessing the employee generic on daily basis
4. However, HR should be able to upload excel sheet for identifying cohort chairs and appellate authorities.

1.56 Employee screens

1. After initial log in, employee should be able to raise a service request as mentioned in “Process involved for Service request/incident monitoring” section

2. Employee should be able to see the information on previous service requests through Help center section and as per the processes mentioned in “Help Center” module

1.57 System admin screens

1. System admin log in should be different from normal employee log in
2. After initial log in, on the home page (preferably at the bottom half), system admin should be shown following information on service requests with broad numbers (i.e. overall requests pending, Requests re-opened and pending) on overall requests pending for resolution:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee (first 160 characters)
 - d. Documents uploaded by employee (should be able to download and view the same)
 - e. Service request number
 - f. Status – Pending or Re-opened
3. On clicking the service request number, system admin should be able to see the full details including the commentary
4. System admin can close the service request as mentioned in “process involved” section 5. On the home screen, system admin should be able to see following information too:
 - a. No. of users logged in (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - b. Peak users logged in over last one week – (should be able to change the period by selecting to and from date)
 - c. No. of Daily and Monthly active users – definition active should be flexible (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - d. Average user time spent on the application (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - e. Average no. of times an user visits the application (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
6. A separate link should be provided to System Admin to download reports on user statistics as mentioned above. On clicking the link, system admin should be directed to a new screen where he/she will be shown following reports for download:
 - a. No. of users by period (date wise by zone, region, alpha)
 - b. Employee log-in details by period (date, employee id, alpha, region, zone, log in time, logout time)
 - c. Peak users details by period (date wise by zone, region, alpha) – peak period definition can be daily, weekly, fortnightly, monthly or any other period as the user may define. Daily peak user calculation should be on rolling basis i.e. if report run is weekly peak user report is run for period June 01 to June 30, then the peak users for June 01 should be peak users over last one week
i.e. May 26 to June 01, and for June 30, peak users over June 24 to June 30.
 - d. Average time spent by an employee on application over a given period by alpha, region and zone (employee id, alpha, region, zone)
 - e. Average no. of times an user visits the application over a given period by alpha, region and zone (employee id, alpha, region, zone)
 - f. Application uptime or availability
 - g. Any other item which may be deemed as important as per SLA
7. Above reports should be shown in the form of a dropdown. Below the dropdown, time period should be provided in two ways

- a. By period (daily, weekly, fortnightly, monthly, quarterly, half yearly, yearly)
 - b. By date (to and from dates)
8. On selecting both the above parameters, system admin can click submit and a visualization should first appear basis the data and system admin should have the ability to convert the visualization to table and download the data in the form of a excel
9. All the base and back end data (incl. historical data) for all the above reports should be stored and system admin should have the option to download the raw data dump through a separate link. The base raw data for each of the reports should be separate and shown in the form of a dropdown with option of choosing to and from date
10. System admin should be provided with a link to provide notifications to employees on logging in application i.e. on logging in the application, a pop up will open where any information is displayed to employees in the form of a text, image or scroll.
11. On clicking on the link, admin will be directed to a page where he will be provided following fields:
 - a. Free text field for inputting message
 - b. Upload button for uploading any attachment in the form an image
 - c. Time period during which information is to be displayed (incl. time of display)
 - d. Free text field for system admin to provide comments on approvals obtained for displaying the message
 - i. To contain upload button to allow admin to upload any approvals (doc, image, pdf, email)
 - e. Submit button
12. On submitting the form, the form will go to a checker who can either approve or reject the same. A notification mail to this extent will go to checker for approval. On clicking the link, checker will be directed to a screen for approval or rejection. The screen shall have following information:
 - a. Message text to be displayed
 - b. Image to be displayed
 - c. Time period during which information is to be displayed (incl. time of display)
 - d. Admin comments on approvals obtained incl. documents uploaded authenticating the display
 - e. Approve or reject button
13. On clicking reject button, a free text field should open up for the checker to provide comments on reason for rejection. On clicking approve, message text and image will be relayed on the pop-up screen on log-in during the time period over which message is authenticated to be displayed. System should automatically display the information from the given date and time and take it down on the given date and time
14. On approval or rejection, admin will receive a notification mail that his/her request for message is approved/rejected
15. Home page of system admin should contain a link for accessing the list of messages that are:
 - a. Currently in display
 - b. To be displayed in future
 - c. Messages pending authentication
 - d. Messages already displayed

The list should contain details on time period over which message is to be displayed, message content and service request number. Admin should be able to sort the above basis any parameter including the time period.
16. System admin can click on any message and a new pop up should be opened with an option to modify or cancel the message notification.
 - a. On clicking Modify button, admin will be able to change the message text, image or time period over which message is displayed. Also, admin should be able to provide comments for modification and upload any supporting documents. On clicking submit after making changes, form will flow to

checker for approval. Checker should be able to see the original message, time and image along with modified message, time, image and comments. Checker has the option to either approve or reject the request. As long as modified message is approved or rejected, original message will continue as it is.

- b. On clicking cancel button, message will no longer will be displayed for the given period. A dual confirmation should be put in place highlighting to the employee that pressing cancel button will invalid the message and no message will be displayed on the given date

17. There can't be multiple messages on a single pop up, and only one pop-up notification is allowed at any point of time.

9.11 HELP CENTER:

This module is used for raising service requests and houses the FAQs sections along with meaning of the search terms, process involved, navigation help etc.

1.58 Introduction

This module details out the screens which should be displayed if an employee needs any help with any of the following:

1. Meaning of any term
2. Process involved against the search query
3. How to navigate or access various screens
4. Raise service requests in the system

An employee can either search for the term or click on various modules within the Help center module to know more about any term or process or navigation. Help center should have “search term predictability” capability and should be able to display results basis the relevance and user feedback. Content on the search term should display the meaning of search term, processes involved and how to access the screens relevant for the search term.

1.59 Employee Screens

1. After initial log in, a separate link should be provided to every employee that takes the employee to “Help” section
2. On the home page of help menu, employee should be able to see three separate links
 - a. Raise service request
 - b. FAQs
 - c. See live and past service requests
3. On clicking “Raise Service Request”, a new popup will open with following dropdown for selecting the module in which service request is being raised
 - a. Mid term appraisal
 - b. End term appraisal
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. HR admin (to be visible only for HR)
 - j. Admin

For (a) to (j), employee will be directed to respective modules for raising the service requests in the appropriate screens as per the process laid out in BRDs of respective modules.

4. On clicking the “see past service requests”, employee will be directed to a new screen where he/she will be able to see the following information:
 - a. Service request number
 - b. Area in which service request is raised
 - c. Date of raising the service request
 - d. Status of service request – pending or resolved
 - e. Date of closure of service request
 - f. First 160 characters of the service request
 - g. Comments provided on closure of service request

On clicking service request number, a new popup will be opened in which full details of the service request will be shown including the full text of service request and attachments if any.

5. On clicking “FAQs”, employee will be re-directed to a new screen where employee should be able to search for any issue on which he/she requires further clarity. A “Search” field should be provided to this extent. The field should have “search-term predictability” capability (similar to Google search where on entering first few letter, search terms are suggested). On the home page of FAQ, application should display most commonly used search terms, trending search terms, most commonly used links etc.
6. Basis the search term, system should be capable of producing search results upto a maximum of 10 per page with most relevant (along with those which are voted to be most useful) shown at the top.
7. On clicking any of the result, a new pop-up should open where employee should be provided two distinct pieces of information:
 - a. Meaning of the search term and process flow involved around the query employee has raised
 - b. Path for accessing and using screens
8. A user feedback system should be put in place on the quality of search results. The feedback system will be in the form of drop down with four distinct categories of satisfaction level:
 - a. Results do not match with my question
 - b. Results only partially match my question
 - c. Results answer my query to a large extent
 - d. Results are exactly what I am looking for

Also, two free text fields should be provided for employee – one to provide Query term used, and second a free text field for providing any additional comments. All such feedback submissions should be stored in the backend for further analysis at later point of time for making the FAQ section more robust. System admin should be able to download this report through reports section with details on

- a. Search term used
- b. User feedback received
- c. User comments, if any
- d. Date of search query

Alternatively, on the home page of FAQs section, different module sections can be provided to employee where he will be able to click and deep-dive into each section for further clarity.

9.12 INTERFACE WITH OTHER SYSTEMS:

9.12.1 HRMS: Employee details such as employee ID, name, scale, location, designation, unit / department, etc.

9.12.2 DATA WAREHOUSE: All performance related numbers with respect to budgetary or measurable KRAs at individual level

Following abbreviations are used in the following section to describe each of the module mentioned above in further detail:

Abbreviation	Meaning
Rep A	Refers to reporting authority or immediate manager (L+1) of the employee
Rev A	Refers to manager's manager (L+2)
BM	Branch manager
YTD	Year to date

10 AUDIT

10.1.1 System should have audit feature.

10.1.2 Package should allow keeping audit on fields as is required by the bank.

10.1.3 Records should have time stamp of when last created and when last updated and by which User.

C. Technical

- 1) The HRMS, Payroll & PMS Solution must be web based solution and should support latest versions of standard browser such as (but not limited to) Internet Explorer, Google Chrome, Mozilla, Opera etc. The bidder should clearly mention browsers and versions that are not supported by the solution.
- 2) The Solution must support mobile handset and tablet operating systems iOS (8.0 and higher) and Android (4.4 and higher) through downloadable apps. Other operating systems to be supported through downloadable apps or a web browser version
- 3) Mobile app must be part of and closely integrated with core product offering
- 4) The Solution should be able to track, monitor and report unsuccessful attempts at log-in and provide these details to the admin.
- 5) The Solution should be able to generate common, customizable landing page and interface for the users across different platforms such as internet, mobile app, tablet etc.
- 6) It should also have the capability to generate alerts (e-mails/SMS/ App notifications) to users, as per pre-defined rules from front-end – standard template and bank's logo need to be incorporated in such messages
- 7) The System must support user concurrency of at least 10% of the total registered users.
- 8) An authenticated session, together with its encryption protocol, should remain intact throughout the interaction with the customer. In the event of interference, the Developer will ensure controls are in place to terminate the session and reverse out the affected transactions. As an integral part of the two-factor authentication architecture, appropriate measures to minimize exposure to a middleman attack which is more commonly known as a man-in-the-middle attack (MITMA), man-in-the browser attack or man-in-the application attack, are implemented.
- 9) The bidder must create adequate controls ensuring that, when exception or abnormal conditions occur, resulting errors do not allow users to bypass security checks or obtain core / data dumps
- 10) System should support all standard OS and databases (like Oracle, MySQL, MS- SQL)
- 11) Change in parameters and conditions should be supported through front-end (no back-end dependency)

- 12) Provision for various types of alerts such as customized campaign management, bulk messaging feature to specific mailing lists and user groups, push notifications for mobile app, alert on system downtime etc.
- 13) Solution is capable of multi-country implementation with a single instance
- 14) Application should be supported by bank's MDM
- 15) Supports addition of new fields to the existing data tables and creation of new data tables as per requirements
- 16) Solution architecture has the capability to be configured in active mode
- 17) The bidder should also support the requisite certifications, integration, and maintenance, compliance, etc. and day to day operations on 24* 7* 365 basis.
- 18) The bidder should host the on premise solution in Bank's advised premise and in Cloud in High Availability mode, along with DR and a minimum uptime time of 99.5%. Any planned downtime for maintenance/upgrade should be communicated 30 days in advance.
- 19) The bidder should provide a separate Test/ Development/ UAT environment.
- 20) The bidder must provide pre and post-implementation support for the contract period.
- 21) The Solution should support encryption and digital signature feature. The bank will provide the digital signature solution.
- 22) The Solution should follow a standard development process to ensure that it meets functional, security, performance & regulatory requirements of the Bank and regulator.
- 23) The Solution should check/record/verify authentication of source of each transaction such as user IDs, IP address, machine address etc., which is required for audit purpose.
- 24) The bidder should comply with the Bank's IS Security policy in key concern areas relevant to the RFP. Some of the key areas include (but not limited to):
 - Responsibilities for data and application privacy and confidentiality
 - Responsibilities on system and software access control and administration
 - Custodial responsibilities for data, software, hardware and other assets of the Bank being managed by or assigned to the bidder
 - Physical Security of the facilities, wherever required to be provided by the bidder
 - Physical and logical separation from other customers of the bidder, wherever required to be provided by the bidder
 - Incident response and reporting procedures
 - Password Policy of the Bank
 - Data Encryption/Protection /XBRL requirement of the Bank
- 25) The solution should offer versatile and robust transaction authorization matrix, software access controls and user rights controls – both physical and logical. The solution should support super administration for the Bank as whole as well as local administrators and user controls at different level.
- 26) The bidder must provide application and database backup as per the requirement of the Bank. The bidder needs to provide a dump of all the data stored by the bank in the system in a user readable/manageable format.
- 27) Supports secure login; passwords for all users should be stored in encrypted/ hashed format in database - minimum encryption strength of 128 bit for end-to- end transactions
- 28) System should support for HTTP/SSL for secured data transfer
- 29) Security safeguards should also be implemented to protect the information from unauthorized modification or destruction
- 30) System security is password controlled (for operating system, database, and application) which complies with the Bank's security policy (e.g. minimum password length, no. of attempts for logout, recycle of passwords etc.)

- 31) Session expires after a pre-defined length of time (auto log-off) and sensitive information that is passed in the cookies is encrypted. The session identifier shall be random and unique
- 32) The solution must have the capability of batch/file uploads of the data.
- 33) Solution supports storage of all parameters the database with ease in retrieval and display
- 34) Supports real time / online data replication from production site to DR site and permit manual & automatic shift of the application to DR site
- 35) Supports batch/file processing of data from external data source (e.g. DWH)
- 36) The Solution should be able to access services through multiple channels including but not limited to SFTP, REST and XML APIs, SQL and web-services for seamlessly integrating with bank's source systems like the data warehouse (SAP Business Objects).
- 37) The HRMS Solution must support open APIs so that the Bank's different applications can be integrated with the HRMS System. The bidder should provide API's to the bank that are compatible with its applications.
- 38) The bidder must troubleshoot any problems occurring in the system during contract period. First-point-of-contact for all service issues (Web, Email and Telephone support) should be readily available to the bank. If the issue is not resolved in one working day, then on-site support should be provided and issue should be resolved within two working days. Escalation matrix has to be provided for escalation of issues which are not resolved within the stipulated time.
- 39) The bidder should provide on-site comprehensive warranty for the software solution & produce documentary evidence from software OSD of having agreed to provide back-to-back warranty and technical support for its supplied products and related services on the terms agreed between the parties.
- 40) The bidder has to ensure seamless migration of the bank's data in the application and solution after expiry of contract period, if Bank selects another bidder after the contract period or during the contract period due to any reason.
- 41) The HRMS and Payroll System must be capable of migrating data from existing HRMS system and existing Payroll System.
- 42) The solution must be capable of supporting LDAP and system can be integrated with Windows Active Directory to achieve Single Sign On (SSO).
- 43) The HRMS Solution should be capable of importing the organization and reporting structure from the legacy HRMS system
- 44) Architecture should support online real time updates between the application & database; data integrity maintained between the application & database at all times
- 45) System should support traditional integration
- Bulk upload of flat files
 - API based integration
 - Message based integration
- 46) The solution should have ability to generate various MIS reports as per regulators / statutory requirements. The bidder must arrange for necessary customizations wherever required during the contract period at no additional cost. (e.g. date range, user activity, status for which data has to be extracted)
- 47) The HRMS, Payroll & PMS solution should have the capability to view / export / print files and reports in standard formats such as csv, xls, XML, pdf etc. with requisite security measures.
- 48) Customization / Personalization of various screens and transactions – Design, Content, Color, Language, Logos, etc.
- 49) The HRMS, Payroll & PMS integration testing will be followed by user acceptance testing, plan for which has to be submitted by the bidder to the Bank. The UAT includes Functional tests, Resilience tests, Benchmark Comparisons, Operational tests, Load tests etc. BOB staff/ third Party bidder designated by the Bank will carry out the functional testing. This staff / third party bidder should be trained by the bidder

for this purpose. Bidder should carry out other testing like resiliency / benchmarking / load etc. bidder should submit result log for all testing to the Bank.

- 50) The ATS support for HRMS, Payroll & PMS Solution should include the following:
 - All minor and major version upgrades during the period of contract at no extra cost
 - Program updates, patches, fixes and critical security alerts as required.
 - Documentation updates.
 - 24*7 support for System related malfunctions as defined in SLAs and ability to log requests online
- 51) The Application architecture should have the ability to increase the number of concurrent instances to keep the application server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)
- 52) The Database architecture should have the ability to increase the number of concurrent instances to keep the database server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)
- 53) The Solution should support database level clustering with active-passive failover.
- 54) Interface should support exception handling (e.g. generation of log files, retries) when data transmission is unsuccessful
- 55) Should be suitable for use by ~55,000 enterprise wide users who will access and retrieve data for HRMS, Payroll & PMS solution in a network environment; solution should be scalable in the future to support larger user base with no adverse effect on performance
- 56) The Cloud subscription needs to be based on the number of users entitled to use the application.
- 57) All the patches/fixes, version upgrades of all the software components released by the Principal OEM during the contract period should be provided. The Vendor should ensure implementation of all the patches/ fixes and version upgrades in the production environment to the latest version during the contract period.

3. Training:

The Vendor shall organize for training (familiarization) to the Bank's team as follows: a. Five working days training to Bank's Core Team is to be imparted before UAT.

- b. Training of IT team, HR team, administrators and key users to be provided separately in different batches in Modular form. At least 5 full days training is to be given to the users for each group.
- c. Module wise Job cards to be provided (both in Hard and soft copies) to all the trainees along with accounting entry illustrations for each type of transactions, including relevant system generated transactions.
- d. Training to the IT team should cover the system administration viz
 - i. User management
 - ii. Management of server,
 - iii. Management of Operating System,
 - iv. Management of Database,
 - v. Management of Application software
 - vi. Report writing
 - vii. Security & Network management;
 - viii. Backup & Disaster Recovery Operations
 - ix. Troubleshooting etc.
- e. Training to the User Groups of around 50 engaged with various domains of Bank's operations about :
 - i. Functionality available in the Module
 - ii. Parameterization

- iii. Auditing Techniques
- iv. Report Generation etc.

4. Hardware Sizing and Performance Required

The Vendor has to implement HRMS, Payroll & PMS solution in hybrid model. If required for infrastructure in bank's premise, the Vendor has to provide necessary requirement of infrastructure (Servers/ OS/ Database/ Middleware etc. which are required for the system) as under:

- Data Centre (DC) – Production (UAE Region)
- Data Centre (DC) - Test, Development and Training
- Disaster Recovery Site (DR) (UAE Region)

The Vendor must provide requirement of optimal size of the Hardware and any additional infrastructure requirements keeping in view the current average and peak volume of transactions and to extrapolate the same for the full TCO period (i.e. 5 years). Some of the basic parameters (indicative) for sizing are given herein under.

- Number of users → 56,000
- Projected Growth per year – 15-20%
- System Uptime per month – 99.5%
- Static Page loading like login page - < 2 Seconds
- Executing search and rendering search result on application user interface - < 3 Seconds
- Viewing of report of size <1 MB – < 5 Seconds.
- Making transaction on the system report generation - < 4 Seconds

The system should be capable of keeping online data of at least 2 years. Thereafter, the system should provide purging & archival of data. The response time at server end should be always less than 3 second. During the agreement period, if at any stage, it is found that the solution provided by the Vendor is not able to give the requisite performance as per the sizing parameters (i.e. up time above 99.5% and response time

< 3 second) the Vendor shall have to provide additional hardware, software without any additional cost to the Bank. The hardware proposed for the solution as part of this RFP) should not exceed 70% of CPU(s), Memory(s), Hard Disk(s) utilization levels at any given point in time during the TCO Period.

The Data replication should happen from Primary site to DR site on real time to keep them in sync.

- Recovery Time Objective (RTO) – 60 Minutes
- Recovery Point Objective (RPO) – 30 Minutes

Vendor is also required to conduct at least one DR drill in a quarter

5. Support

Support for the solution will be 24x7 and charges to be provided based on the manpower efforts in 1 shift per day. The Bank has discretion to avail support services and number of support engineers at person day cost given. The support should extend to services like helpdesk, data backup, user management, database management/ maintenance, updation of data, maintaining integrity of data, loading application upgrades, technical support for ad-hoc queries, archival of data etc.

6. Helpdesk Requirement

- i. 24*7, 365 days a year, online support facility through phone, email and SMS alerts by L1, L2 and L3 onsite/remote staff with at least 6 persons from Systems integrator /vendor depending on the criticality of the issue.
- ii. Escalation process should be in place for unresolved issues.
- iii. The Vendor support staff should be well trained to effectively handle queries raised by the Bank customer / employees, etc
- iv. The Vendor should have ability to generate MIS reports periodically for example: volume of calls / per day, resolution % per day etc.

V. The Vendor should have proven experience and expertise in providing 24*7, 365 days help desk support.

7. Performance Requirements:

- Average support call back time - 60 minutes
- Average Problem Response time – 240 minutes ➤ Number of concurrent user – at least 5,000 ➤ Response time:
 - ✓ Static page- maximum 2 sec.
 - ✓ Form validation from back end - maximum 5 sec

8. Monitoring and Audit

- Compliance with security best practices may be monitored by periodic computer security audits / Information Security Audits performed by or on behalf of the Bank. The periodicity of these audits will be decided at the discretion of the Bank. These audits may include, but are not limited to, a review of access and authorization procedures, backup and recovery procedures, network security controls and program change controls. The Vendor must provide the Bank access to various monitoring and performance measurement systems. The Vendor has to remedy all discrepancies observed by the auditors at no additional cost to the Bank.
- For service level measurement, as defined in SLA, data recording is to be captured by the industry standard tools implemented by the Vendor. These tools should be a part of the proposed solution.

9. Functional scoring sheet: Functional scoring will be evaluated on following criteria as part of Technical evaluation

Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
1	The Solution should support online/ realtime comprehensive and customizable management dashboard.	Mandatory				
2	The Solution should provide web content management capabilities for providing web based access to users.	Mandatory				
3	The Solution should be accessible through both web page and mobile app. It should be available for both	Mandatory				

Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
	android and iOS based apps.					

4	The Solution should have a provision of providing restricted functionalities in internet when compared to functionalities present in intranet.	Mandatory				
5	The Solution must be able to provide capability to create new workflows and modify existing workflows.	Mandatory				
6	The Solution should support multiple levels of authorization such as access through smart card / Bio-metric authentication.	Mandatory				
7	The Solution should be able to print Bank of Baroda logo on all reports generated (whether standard or customized)	Mandatory				
8	The Solution should provide a robust MIS support by way of Dashboard with certain in-built reports. These reports would inter alia cover extraction of data for various internal, external MIS and regulatory purposes including transaction monitoring activities. The indicative list of reports that are supported off-the-shelf must be provided with technical bid. The reports should be generated for different domain such as universal, entity specific and frequency for generating these reports should be as per Bank's requirement (monthly, quarterly, annually etc). Adequate checks and balances in place to ensure people are able to access such scores only on adequate authorization from department heads	Mandatory				

Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks / comments
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9	The Solution must provide the capability of document upload and transfer both from users and back end. It is expected that the bidder clearly specifies the file types supported and the estimated bandwidth requirement for a given file size.	Mandatory				
10	The Solution must have the capability of logging successful and unsuccessful authentication and authorization event attempts.	Mandatory				
11	The Solution should have the capability to allow version control for tracking documents	Mandatory				
12	The Solution should have the capability of providing comprehensive audit trail features to monitor activity of specific programs and data files etc. The solution should also provide on- line access to audit trail information (including time/date stamp, user ID, change log).	Mandatory				
13	The Solution should also keep a track of activities executed by the Application system administrator. It should also allow for segregation of duties (e.g. segregated function between system and application administration).	Mandatory				
14	The bidder should provide details of audit trails and logs implemented for other commercial banks, along with the technical bid documents.	Mandatory				
15	The Solution should be able to provide session log files. The user should be able to analyze the information (e.g., account id,	Mandatory				

Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks comments /
	session time etc.). The solution should provide tracking of the client's IP & Network Interface address.					
16	The Solution should be capable of providing time - based and event - based reminders and notifications.	Mandatory				
17	The Solution should be capable of displaying the appropriate reporting structure to the users (of any department or any particular employee) on demand	Mandatory				
18	The Solution must have the ability to send out emails/ SMS messages to employees on periodic basis	Mandatory				
19	The Solution must have search functionality based on parameters (e.g. employee name, unit etc.)	Mandatory				
20	The Solution should support pop- up message alerts for submission and confirmation of actions	Mandatory				
21	The Solution should support the functionality of viewing/updating/uploading/deleting universal docs such as process guidelines, etc.	Mandatory				
22	The Solution should have an inbuilt report writing tool to build new reports based on identified parameters and also schedule them at pre-set frequencies	Mandatory				
23	The Solution should allow archiving of historical reports	Mandatory				
24	The Solution should support storage and display of event history of all users and transactions	Mandatory				

Sr. No	Type	Mandatory / Desired	RA	CU	UA	Remarks comments
25	The Solution should provide Calendar Maintenance, to do list display / maintenance, due dates monitoring, etc.	Mandatory				
26	The Solution should have standard accessibility features enabled for the disabled persons.	Mandatory				
27	The Solution should be able to handle multiple languages with facility for translation/ transliteration.	Mandatory				
28	The Solution should allow bulk upload of data into the system.	Mandatory				
29	The Solution should be able to handle multiple salary grade structure including fixed and variable pay components along with increment updation.	Mandatory				
30	The Solution should be able to handle arrear calculation on account of wage settlement/ employee transfer/ Promotion.	Mandatory				
31	The Solution should allow to configure various heads of salary from front head by authorized personnel.	Mandatory				
32	The Solution allow configuration of holiday master based on the region/state.	Mandatory				
33	The Solution should be able to provide Statements,	Mandatory				
34	The Solution should have provision of providing Terminal Benefits as well as Full & Final Settlement to the employees on account of employee leaving the organization.	Mandatory				

37	The Solution should have Leave Management module allowing authorized personnel to configure various types of leave of employees in the system.	Mandatory				
38	The Solution should have provision of integration of office time functionality for corporate/zonal/regional offices.	Mandatory				
39	The Solution should allow configuration of all types of monthly, quarterly, annual and other periodicity claim reimbursements.	Mandatory				
40	The Solution should allow employees to submit and approve all types of claims online such as TA/DA, LFC/LTC, Overtime, Compensatory claims.	Mandatory				
41	The Solution should have provision of in built Recruitment module which can be configured	Mandatory				
42	as per the requirements of any new recruitment exercise in the bank. In case of selection in recruitment exercise, the information captured during recruitment process should be made available during on-boarding process.					
43	The Solution should have provision of front end or back end updation in case of employee getting transferred or promoted.	Mandatory				
44	The Solution should be able to store the training details of individual employees and provide information and allow them to apply for current training programs with approval of their managers.	Mandatory				

45	The Solution should have in-built FAQs system for employees which can be updated by authorized persons at regular interval of time.	Mandatory				
46	The Solution should have in-built Grievance module which should be configurable as per the bank's requirements.	Mandatory				
47	The Solution should have provision of Whistleblower and other Compliance related features. The workflow should be configurable as per the bank's requirements.	Mandatory				
48	The standard Performance Management System should be integrated with the HRMS system and all the goal setting and self-	Mandatory				
49	appraisal processes should be configurable in the system.					
50	The Solution should be capable of providing reports of all the functionalities available in the system. The solution should also allow the users to configure new reports from front end as per the requirements.	Mandatory				

Scoring methodology for functional parameters:

Feature Status	Short form	Remarks
Readily Available	RA	The feature is already supported and included in the out-of- the-box solution (3 Marks shall be allotted)
Customization	CU	Can be developed / customized and delivered along with the Solution, prior to implementation at no extra cost. (1 Mark shall be allotted)
Not supported / Unavailable	UA	This capability is neither supported nor available with this Solution. (No Mark shall be allotted)

Requirement weightage: All the features have been divided into “Mandatory” or “Desired”:

- **Mandatory:** All *Mandatory* items carry a weightage of 2 points

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- **Desired:** All *Desired* items carry a weightage of 1 point

Overall score in the technical scoring sheet is calculated as follows:

$$1.60 \text{ Total functional score} = \sum (\text{Parameter wise Functional score}_i * \text{Requirement weightage}_i)$$

The list above is not exhaustive and Bidders who offer additional functionalities over and above the list mentioned below can indicate the same in *Annexure 17*.

10. Technical scoring sheet: Technical scoring will be evaluated on following criteria as part of Technical evaluation

Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks comments /
A	Application architecture					
1	The HRMS, Payroll & PMS Solution must support latest versions of standard browser such as (but not limited to) Internet Explorer, Google	Mandatory				

Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks comments /
	Chrome, Mozilla, Opera etc. The bidder should clearly mention browsers and versions supported.					
2	The HRMS, Payroll & PMS Solution must support mobile handset and tablet operating systems iOS (8.0 and higher) and Android (4.4 and higher) through apps available from Google and Apple app stores.	Mandatory				
3	The HRMS, Payroll & PMS portal must support local language on its user interface for web and mobile users, along with help content / tutorials for guiding customers on functions / searches.	Desired				
4	Mobile app must be part of and closely integrated with core product offering.	Mandatory				
5	The HRMS, Payroll & PMS Solution should be able to track, monitor and report unsuccessful attempts at log- in and provide these details to the admin.	Mandatory				

6	The HRMS, Payroll & PMS Solution should be able to generate common, customizable landing page and interface for the users across different platforms such as internet, mobile app, tablet etc.	Mandatory				
7	The HRMS, Payroll & PMS Solution should also have the capability to generate alerts (e-mails/SMS/ App notifications) to users, as per pre-defined rules from front-end – standard template and bank's logo need to be incorporated in such messages	Mandatory				
8	The HRMS, Payroll & PMS Solution must support user concurrency of at least 10% of the total registered users.	Mandatory				
9	The bidder must create adequate controls ensuring that, when exception or abnormal conditions occur, resulting errors do not allow users to bypass security checks or obtain core / data dumps	Mandatory				
10	System should support all standard OS and databases (like Oracle, MySQL, MSSQL)	Mandatory				
11	Provision for various types of alerts such as customized campaign management, bulk messaging feature to specific mailing lists and user groups, push notifications for mobile app, alert on system downtime etc.	Mandatory				
12	Solution is capable of multi-country implementation with a single instance	Mandatory				
13	Application should be supported by bank's MDM	Mandatory				
14	Supports addition of new fields to the existing data tables and creation of new data tables as per requirements	Mandatory				
15	Solution architecture has the capability to be configured in active mode	Mandatory				

16	All the patches/ fixes, version upgrades of all the software components released by the Principal OEM during the contract period should be provided. The Vendor should ensure implementation of all the patches/ fixes and version upgrades in the production environment to the latest version during the contract period	Mandatory				
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Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
B	Security					
1	The bidder should also support the requisite certifications, integration, and maintenance, compliance, etc. and day to day operations on 24* 7* 365 basis.	Mandatory				
2	The bidder should host the solution at Bank's advised premise and in Cloud in High Availability mode, along with DR and a minimum uptime time of 99.5%. Any planned downtime for maintenance/ upgrade should be communicated 30 days in advance.	Mandatory				
3	The bidder should provide a separate environment other than the Production environment free of cost.	Mandatory				
4	The bidder must provide pre and post implementation support for the contract period.	Mandatory				
5	The HRMS, Payroll & PMS Solution should support encryption and digital signature feature.	Mandatory				

6	The HRMS, Payroll & PMS Solution should follow a standard development process to ensure that it meets functional, security, performance & regulatory requirements of the Bank.	Mandatory				
7	The Solution should check/ record/ verify authentication of source of each transaction such as user IDs, IP address, machine address etc., which is required for audit purpose.	Mandatory				
8	The bidder should comply with the Bank's IS Security policy in key concern areas relevant to the RFP.	Mandatory				
	<p>Some of the key areas include (but not limited to):</p> <ul style="list-style-type: none"> - Responsibilities for data and application privacy and confidentiality - Responsibilities on system and software access control and administration - Custodial responsibilities for data, software, hardware and other assets of the Bank being managed by or assigned to the bidder - Physical Security of the facilities, wherever required to be provided by the bidder - Physical and logical separation from other customers of the bidder, wherever required to be provided by the bidder - Incident response and reporting procedures - Password Policy of the Bank - Data Encryption/ Protection/ XBRL requirement of the Bank 					

9	The solution should offer versatile and robust transaction authorization matrix, software access controls and user rights controls—both physical and logical. The solution should support super administration for Bank as whole as well as local administrators and user controls at different level.	Mandatory				
10	The bidder must provide application and database backup as per the requirement of Bank.	Mandatory				
11	Supports secure login; passwords for all users should be stored in encrypted format in database - minimum encryption strength of 128 bit for end-to-end transactions	Mandatory				
12	System should support for HTTP/ SSL for secured data transfer	Mandatory				
13	Security safeguards should also be implemented to protect the information from unauthorized modification or destruction	Mandatory				
14	System security is password controlled (for operating system, database, and application) which complies with the Bank's security policy (e.g. minimum password length, no. of attempts for logout, recycle of passwords etc.)	Mandatory				
15	Session expires after a pre-defined length of time (auto log-off) and sensitive information that is passed in the cookies is encrypted. The session identifier shall be random and unique	Mandatory				
16	Procedure for external backing up of data & software (data backup and archiving)	Mandatory				
C	Database requirements and data integrity					

1	The HRMS, Payroll & PMS solution must have the capability of batch/file uploads of the data.	Mandatory				
2	The HRMS, Payroll & PMS solution must enrich / enhance each document with additional meta-data fields to ensure end-to-end audit trail and tracking.	Mandatory				
3	The solution should be able to support Disaster Recovery by replicating the data at remote locations.	Mandatory				

Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
4	The solution should support multi-level data structures.	Mandatory				
5	Solution should support storage of all parameters in the database with ease in retrieval and display	Mandatory				
6	Ability to implement SAN's for data storage in the architecture	Desired				
7	Supports real time / online data replication from production site to DR site and permit manual & automatic shift of the application to DR site	Mandatory				
8	Supports batch/file processing of data from external data source (e.g. DWH)	Mandatory				
D	Integration and interfacing with other applications					
1	The HRMS, Payroll & PMS solution should be able to access services through multiple channels including but not limited to SFTP, REST and XML APIs, SQL and web-services for seamlessly integrating with bank's source systems like the data warehouse (SAP Business Objects).	Mandatory				

2	The HRMS Solution must support open APIs so that the Bank's different applications can be integrated with the HRMS System. The bidder should provide API's to the bank that are compatible with its applications.	Mandatory				
3	The bidder has to ensure seamless migration of the bank's data in the application and solution after expiry of contract period, if Bank selects another bidder after the contract period or during the contract period due to any reason.	Mandatory				

Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
4	The HRMS and Payroll System must be capable of migrating data from existing HRMS system and existing Payroll System.	Mandatory				
5	The solution must be capable of supporting LDAP and system can be integrated with Windows Active Directory to achieve Single Sign On (SSO).	Mandatory				
6	The HRMS Solution should be capable of importing the organization and reporting structure from the legacy HRMS system	Mandatory				
7	Architecture should support online real time updates between the application & database; data integrity maintained between the application & database at all times	Mandatory				
8	System should support traditional integration a) bulk upload of flat files b) API based integration c) message based integration	Mandatory				

9	PMS System should be capable of importing the organization and employee data from the legacy HRMS system as well as performance and target data form data warehouse	Mandatory				
10	The PMS Solution must support open APIs so that the Bank's different applications can be integrated with the PMS System. The bidder should provide API's to the bank that are compatible with its applications.	Mandatory				
E	Reporting					

Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks / comments
1	The solution should have ability to generate various MIS reports as per regulators/statutory requirements. The bidder must arrange for necessary customizations wherever required during the contract period at no additional cost. (e.g. date range, user activity, status for which data has to be extracted)	Mandatory				
2	The HRMS, Payroll & PMS solution should have the capability to view / export / print files and reports in standard formats such as csv, xls, XML, pdf etc. with requisite security measures.	Mandatory				
3	Customization / Personalization of various screens and transactions – Design, Content, Color, Language, Logos, etc.	Mandatory				
F	Load and Performance					

1	The HRMS, Payroll & PMS integration testing will be followed by user acceptance testing, plan for which has to be submitted by the bidder to the Bank. The UAT includes Functional tests, Resilience tests, Benchmark Comparisons, Operational tests, Load tests etc. BOB staff/ third Party bidder designated by the Bank will carry out the functional testing. This staff / third party bidder trained by the bidder for this purpose. Bidder should carry out other testing like resiliency / benchmarking / load etc. bidder should submit result log for all testing to the Bank.	Mandatory				
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Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks comments
2	<p>The ATS support for HRMS, Payroll & PMS should include the following:</p> <ul style="list-style-type: none"> - All minor and major version upgrades during the period of contract at no extra cost. - Program updates, patches, fixes and critical security alerts as required. -Documentation updates. - 24*7 support for system related malfunctions as defined in SLAs and ability to log requests online 	Mandatory				
3	The Application architecture should have the ability to increase the number of concurrent instances to keep the application server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)	Mandatory				

4	The Database architecture should have the ability to increase the number of concurrent instances to keep the database server parameters below 70% utilization (CPU, Memory, Hard disk, etc.)	Mandatory				
5	The HRMS, Payroll & PMS solution should support database level clustering with active-passive failover.	Mandatory				
6	Interface should support exception handling (e.g. generation of log files, retries) when data transmission is unsuccessful	Mandatory				
7	Should be suitable for use by 360 enterprise wide users who will access and retrieve data for HRMS, Payroll & PMS solution in a network environment; solution should be scalable in the future to support larger user base with no adverse effect on performance	Mandatory				
Sr No	Type	Mandatory/ Desired	RA	CU	UA	Remarks comments
8	All the patches/fixes, version upgrades of all the software components released by the Principal OEM during the contract period should be provided. The Vendor should ensure implementation of all the patches/ fixes and version upgrades in the production environment to the latest version during the contract period.	Mandatory				

Scoring methodology for technical parameters:

Feature Status	Short form	Remarks
Readily Available	RA	The feature is already supported and included in the out-of-thebox solution (<i>3 Marks shall be allotted</i>)
Customization	CU	Can be developed / customized and delivered along with the Solution, prior to implementation at no extra cost. (<i>1 Mark shall be allotted</i>)

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Not supported / Unavailable	UA	This capability is neither supported nor available with this Solution. <i>(No Mark shall be allotted)</i>
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Requirement weightage: All the features have been divided into “Mandatory” or “Desired”:

- **Mandatory:** All *Mandatory* items carry a weightage of 2 points
- **Desired:** All *desired* items carry a weightage of 1 point

Overall score in the technical scoring sheet is calculated as follows:

1.61 Total technical score = Σ (Parameter wise technical score_i * Requirement weightage_i)

The list above is not exhaustive and Bidders who offer additional technical features over and above the list mentioned below can indicate the same in *Annexure 17*.

11. Product Presentation and Demonstration Criteria: Major criteria for demonstration of the solution are as per follows (but not limited to):

- Front-end portal and user interface
- Mobile app for HRMS, Payroll, PMS application
- HRMS – Personal Information, Organization Setup, Attendance Information
- Payroll – Payroll Management, Leave Management, Claim Benefits
- Performance Management System – Performance dashboards, Role assignment and KRA allocation
- Reporting and analytics for all modules
- Event based SMS/MIS/Alerts
- HR and Payroll administration portal

Please Note – During Demonstration if any of the required features are not demonstrated but the same feature has been mentioned as “Readily Available (RA)” as part of Technical Scoring Sheet then the same shall be changed to “No Marks (Not Supported / Unavailable)” in the Functional and Technical Scoring Sheet

2. Annexure 11 - Service Levels

The Vendor understands the largeness of this Project and that it would require tremendous commitment of financial and technical resources for the same, for the tenure of Contract under this RFP. The Vendor therefore agrees and undertake that an exit resulting due to expiry or termination of Contract under this RFP or for any reason whatsoever would be a slow process over a period of six (6) months, after the completion of the notice period, and only after completion of the Vendors obligations under a reverse transition mechanism. During this period of Reverse Transition, the Vendor shall continue to provide the Deliverables and the Services in accordance with the contract under this RFP and shall maintain the agreed Service levels. The Bank shall make payment for these services as per terms.

The Bank expects that the successful Vendor to adhere to the following minimum Service Levels:

- Any fault/ issue/ defect failure intimated by Bank through any mode of communication like call/email/fax etc. are to be acted upon, so as to adhere to the service levels. Business/ Service Downtime and Deterioration shall be the key considerations for determining “Penalties” that would be levied on the Successful Vendor.
- The Vendor should have 24X7 monitoring, escalation and resolution infrastructure.
- Time bound problem addressing team (onsite/offsite) for the complete contract period.
- Vendor to arrange for updation required in the system to meet the changes suggested by regulatory authorities towards compliance as part of ATS at no extra cost to bank for the entire contract period. Any delay in meeting the timelines would result in penalty.

Vendor will have to guarantee a minimum uptime of 99.5%, calculated on a monthly basis. Application (As a whole / any module of the application) availability will be 99.5% on 24x7x365. The penalty will be calculated as per the details given below.

Uptime percentage - 100% less Downtime Percentage

Downtime percentage - Unavailable Time divided by Total Available Time, calculated on
a monthly basis.

Total Available Time – 24hrsper day for seven days a week excluding planned downtime

Unavailable Time - Time involved while the solution is inoperative or operates inconsistently or erratically.

The proposed solution should provide 99.5% uptime on monthly basis. The performance and uptime review will be done by Bank monthly and in case of downtime/downgraded performance, a penalty will be charged by the Bank as per below mentioned table:

Uptime Percentage	Penalty Details
A >= 99.5%	No Penalty
99.5% =< A <99%	2% of cost of monthly ATS charges
99% =< A <= 98.5%	5% of cost of monthly ATS charges

Uptime Percentage	Penalty Details
A < 98.5%	Penalty at an incremental rate of 1% (in addition to a base of 5%) of cost of monthly ATS charges for every 0.1% lower than the stipulated uptime

The above mentioned table is applicable to all the products/features which will be offered to the Bank in response to this RFP.

The uptime percentage would be calculated on monthly basis and the calculated amount would be adjusted from every subsequent quarter payment. The SLA charges will be subject to an overall cap of 10% of the Monthly ATS Charges and thereafter, Bank has the discretion to cancel the contract. If Vendor materially fails to meet an uptime of 99.50% for three (3) consecutive months, the Bank may have the right to terminate the contract. In case if there is no pending invoices to be paid by the Bank to the vendor, the vendor has to submit a pay order / cheque in favour of Bank for the same within 15 days from the notice period from the Bank.

2.1 Availability Service Level Default

- Availability Service Level will be measured on a monthly basis.
- A Service Level Default will occur when the vendor fails to meet Minimum uptime (99.5%), as measured on a monthly basis.

Bidder shall determine the severity levels based on the criteria mentioned below:

Severity Level	Number of users impacted	Effective Downtime
Severity 1	Any problem where > 20% of the users of the application are affected	100%
Severity 2	Any problem <= 20% of the users and > 10% of the users of the applications are affected	90%
Severity 3	Any problem where <= 10% of the users of the applications are affected	80%

SLA Penalty Calculation:

E.g. - There is an incident which occurs under the Severity Level 2 for which the downtime is for 5 hours in a month. Therefore the effective downtime for the month would be:

$$5 \text{ hours} \times 90\% = 4.5 \text{ hours}$$

Therefore, the downtime of 4.5 hours would be considered due to this incident while computing the availability of the application.

5. Annexure 14 – Commercial Bid Format

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	TAX	TAX (%)	TAX AMT
[A] HRMS Solution											
Mandatory Component											
1	Subscription Cost for existing employee (360 Employees)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
[A] Total for HRMS Solution								0.00			

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	TAX	TAX (%)	TAX AMT
[B] Payroll Solution											
Mandatory Component											
1	Subscription Cost for existing employee (360 Employees)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00

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3	Any other Charges	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
4											
[B] Total for Payroll Solution								0.00			

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	TAX	TAX (%)	TAX AMT
[C] PMS Solution (Optional Solution)											
Initially Deployment Component											
1	Subscription Cost for existing employee (360 Employees)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
[C] Total for PMS Solution								0.00			

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	TAX	TAX (%)	TAX AMT
[D]Support Charges (Optional Service)											
1	Onsite Support Charges	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00

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[D] Onsite Support Charges	0.00			
----------------------------	------	--	--	--

Total Cost of Ownership of all three solutions i.e. HRMS, Payroll PMS Solution [A]+[B]+[C]+[D]	0.00			
-------------------------------------------------------------------------------------------------------	-------------	--	--	--

5.1 Note

- a) For each of the above items provided the vendor is required to provide the cost for every line item where the vendor has considered the cost in BOM.
- b) The vendor needs to clearly indicate if there are any recurring costs included in the above bid and quantify the same. In the absence of this, the vendor would need to provide the same without any charge. Vendor should make no changes to the quantity.
- c) If the cost for any line item is indicated as zero then it will be assumed by the Bank that the said item is provided to the Bank without any cost. d) All Deliverables to be supplied as per RFP requirements provided in the tender
- e) The Service Charges need to include all services and other requirement as mentioned in the RFP
- f) The vendor has to make sure all the arithmetical calculations are accurate. Bank will not be held responsible for any incorrect calculations however for the purpose of calculation Bank will take the corrected figures / cost
- g) All prices should be Exclusively in AED only.
- h) The prices quoted by the bidder shall be all inclusive, that is, inclusive of all taxes, duties, levies etc. except Goods and services Tax which will be paid extra.

Authorized Signatory Name:

Designation:

Vendor's Corporate Name

6. Annexure 15 – Masked Commercial Bid Format

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	TAX	TAX (%)	TAX AMT
[A] HRMS Solution											
Mandatory Component											
1	Subscription Cost for existing employee (360 Employees)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
3	Any other Charges	0.00	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00
Optional Components											
4											
[A] Total for HRMS Solution								0.00			

S. No	Particular	OTC (One Time Cost)	Year 1 AMT	Year 2 AMT	Year 3 AMT	Year 4 AMT	Year 5 AMT	Total AMT	TAX	TAX (%)	TAX AMT
[B] Payroll Solution											
Mandatory Component											
1	Subscription Cost for existing employee (360 Employees)	X	0.00	0.00	0.00	0.00	0.00	0.00	000	0.00	0.00

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2	Implementation Cost	0.00	X	X	X	X	X	0.00	000	0.00	0.00
---	---------------------	------	---	---	---	---	---	------	-----	------	------

[D] Support Charges	0.00			
---------------------	------	--	--	--

Total Cost of Ownership of all three solutions i.e. HRMS, Payroll PMS Solution [A]+[B]+[C]+[D]			
------------------------------------------------------------------------------------------------	--	--	--

0.00			
------	--	--	--

Authorized Signatory Name:
Designation:
Vendor's Corporate Name

7. Annexure 16 – Integrity Pact

PRE CONTRACT INTEGRITY PACT

General

This pre-bid pre-contract Agreement (hereinafter called the Integrity Pact) is made on _____ day of _____ month, 20, between, on one hand, _____ (hereinafter called the "BUYER", which expression shall mean and include, unless the context otherwise requires, his successors in office and assigns) of the First Part and Misrepresented by , Chief Executive Officer (hereinafter called the "BIDDER/Seller" which expression shall mean and include, unless the context otherwise requires, his successors and permitted assigns) of the Second Part.

WHEREAS the BUYER proposes to procure (Name of the Stores/Equipment/Item/Services) and the BIDDER/Seller is willing to offer/has offered the said stores/equipment/item/services and

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 the BUYER is a Bank.

NOW, THEREFORE, 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 :-

Enabling the BUYER to obtain the desired said stores/equipment 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

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 the BUYER will commit to prevent corruption, in any form, by its officials by following transparent procedures.

The parties hereto hereby agree to enter into this Integrity Pact and agree as follows:

7.1 Commitments of the BUYER

1.1 The BUYER undertakes that no official of the BUYER, connected directly or indirectly with the contract, will demand, take a promise for or accept, directly or through intermediaries, any bribe, consideration, gift, reward, favour or any material or immaterial benefit or any other advantage from the BIDDER, either for themselves or for any person, organisation 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.

1.2 The BUYER 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.

1.3 All the officials of the BUYER 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.

1.4 In case any such preceding misconduct on the part of such official(s) is reported by the BIDDER to the BUYER with full and verifiable facts and the same is prima facie found to be correct by the BUYER, necessary disciplinary proceedings, or any other action as deemed fit, including criminal proceedings may be initiated by the BUYER 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 the BUYER the proceedings under the contract would not be stalled.

7.2 Commitments of BIDDERS

2 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 pre-contract or post-contract stage in order to secure the contract or in furtherance to secure it and in particular commit itself to the following:-

2.1 The BIDDER will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the BUYER, connected directly or indirectly with the bidding process, or to any person, organisation or third party related to the contract in exchange for any advantage in the bidding, evaluation, contracting and implementation of the contract.

2.2 The BIDDER further undertakes that it has not given, offered or promised to give, directly or indirectly any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any official of the BUYER 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 favour or disfavour to any person in relation to the contract or any other contract with the Government.

2.3 BIDDERS shall disclose the name and address of agents and representatives and BIDDERS shall disclose their foreign principals or associates.

2.4 BIDDERS shall disclose the payments to be made by them to agents/brokers or any other intermediary, in connection with this bid/contract.

2.5 The BIDDER further confirms and declares to the BUYER that the BIDDER is the original manufacturer/integrator/authorised government sponsored export entity and has not engaged any individual or firm or company whether UAE or foreign to intercede, facilitate or in any way to recommend to the BUYER 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 of any such intercession, facilitation or recommendation.

2.6 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 the BUYER 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.

2.7 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.

2.8 The BIDDER will not accept any advantage in exchange for any corrupt practice, unfair means and illegal activities.

2.9 The BIDDER shall not use improperly, for purposes of competition or personal gain, or pass on to others, any information provided by the BUYER 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.

- 2.10 The BIDDER commits to refrain from giving any complaint directly or through any other manner without supporting it with full and verifiable facts.
- 2.11 The BIDDER shall not instigate or cause to instigate any third person to commit any of the actions mentioned above.
- 2.12 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 the BUYER, or alternatively, if any relative of an officer of the BUYER has financial interest/stake in the BIDDER's firm, the same shall be closed by the BIDDER at the time of filing of tender.
- 2.13 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 the BUYER.

3 Previous Transgression

- 3.1 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 Enterprise in UAE or any Government Department in UAE that could justify BIDDER's exclusion from the tender process.
- 3.2 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.

4 Earnest Money (Security Deposit)

- 4.1 While submitting commercial bid, the BIDDER shall deposit an amount (shall be specified in RFP) as Earnest Money/Security Deposit, with the BUYER through any of the following instruments:
- (i) Bank Draft or a Pay Order in favour of Bank of Baroda
 - (ii) A confirmed guarantee by a Bank other than Bank of Baroda, promising payment of the guaranteed sum to the BUYER on demand within three working days without any demur whatsoever and without seeking any reasons whatsoever. The demand for payment by the BUYER shall be treated as conclusive proof of payment.
 - (iii) Any other mode or through any other instrument (to be specified in the RFP).
- 4.2 The Earnest Money/Security Deposit shall be valid upto a period of 8 Months or the complete conclusion of the contractual obligations to the complete satisfaction of both the BIDDER and the BUYER, including warranty period, whichever is later.
- 4.3 In case of the successful BIDDER a clause would also be incorporated in the Article pertaining to Performance Bond in the Purchase Contract that the provisions of Sanctions for Violation shall be applicable for forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same without assigning any reason for imposing sanction for violation of this Pact.
- 4.4 No interest shall be payable by the BUYER to the BIDDER on Earnest Money/Security Deposit for the period of its currency.

5 Sanctions for Violations

- 5.1 Any breach of the aforesaid provisions by the BIDDER or any one employed by it or acting on its behalf (whether with or without the knowledge of the BIDDER) shall entitle the BUYER to take all or any one of the following actions, wherever required:-
- 5.1.1 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.
- 5.1.2 To immediately cancel the contract, if already signed, without giving any compensation to the BIDDER.

- 5.1.3 To recover all sums already paid by the BUYER, and in case of an local BIDDER with interest thereon at 2% higher than the prevailing Base Rate of Bank of Baroda, while in case of a BIDDER from a country other than UAE with interest thereon at 2% higher than the LIBOR. If any outstanding payment is due to the BIDDER from the BUYER in connection with any other contract for any other stores, such outstanding payment could also be utilised to recover the aforesaid sum and interest.
- 5.1.4 To cancel all or any other Contracts with the BIDDER. The BIDDER shall be liable to pay compensation for any loss or damage to the BUYER resulting from such cancellation/ rescission and the BUYER shall be entitled to deduct the amount so payable from the money(s) due to the BIDDER.
- 5.1.5 To debar the BIDDER from participating in future bidding processes for a minimum period of five years, which may be further extended at the discretion of the BUYER.
- 5.1.6 To recover all sums paid in violation of this Pact by BIDDER(s) to any middleman or agent or broker with a view to securing the contract.
- 5.1.7 In cases where irrevocable Letters of Credit have been received in respect of any contract signed by the BUYER with the BIDDER, the same shall not be opened.
- 5.1.8 Forfeiture of Performance Bond in case of a decision by the BUYER to forfeit the same without assigning any reason for imposing sanction for violation of this Pact.
- 5.2 The decision of the BUYER to the effect that a breach of the provisions of this 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 Pact.

6 Validity

The validity of this Integrity Pact shall be from date of its signing and extend upto 5 years or the complete execution of the contract to the satisfaction of both the BUYER and the BIDDER/Seller, 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 the contract.

- 6.1 Should one or several provisions of this Pact turn out to be invalid; the remainder of this Pact shall remain valid. In this case, the parties will strive to come to an agreement to their original intentions.

12. The parties hereby sign this Integrity Pact at _____ on _____

BUYER

BIDDER

Name of the Officer:

Chief Executive Officer

Designation:

Department:

Witness

Witness

1. _____
2. _____

1. _____
2. _____

8. Annexure 17 – Methodology and Detailed Project Plan

1. Bidder should cover details of the proposed methodology for providing services relating to Design and Implementation of HRMS, Payroll & PMS Solution. The methodology should include aspects such as
 - a. Approach and methodology for design phase
 - b. Software/system implementation
 - c. System roll out
 - d. Training
 - e. Project management
 - f. System maintenance and support including.
 - i. Bidder's presence in UAE.
 - ii. Bidder's support mechanism
 - iii. Support centers (No. of support centers, locations, staffing etc.)
 - iv. Whether dedicated support staff will be maintained at Bank of Baroda on an ongoing basis v. Call centers / Help desk
 - vi. Give details of any business associates/affiliates/franchisees of the bidder who perform support function
2. Bidder may give suggestions on improvement of the scope of work given in the RFP and may mention the details of any add on services related to services over and above what is laid down in the tender document.
3. Bidder is expected to provide details of the organization structure proposed for the execution of this contract. This should cover the composition of the complete team including Lead Bidder and Consortium members including their escalation matrix.
4. A Detailed Project Plan covering break-up of each phase into the key activities, along with the start and end dates must be provided as per format given below.

S. No.	Item of Activity (Project Plan)	Month wise Program			
		Month 1	Month 2	Month 3	Month 4
1	Activity 1				
1.1	Sub-Activity 1				
1.2	Sub-Activity 2				

Authorized Signatory Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

9. Annexure 18 – Bidder Profile Format

1	Name of the Company	
2	Year of establishment	

3	Turnover (in AED)																								
4	Profit after tax (in AED)																								
5	Role of the member (Consultant/SI/ Vendor/ Others (description))																								
6	Head Office Address																								
7	Telephone No. (with ISD Code)																								
8	Fax No. (with ISD Code)																								
9	E-mail Address																								
10	Name of the Key representatives for this project																								
11	Any accreditations / Certifications (e.g. CMM, ISO, ITIL etc.)																								
12	<div> <div> Previous experience in implementation of HRMS, Payroll & PMS Solution at commercial banks </div> <div> <table border="1"> <thead> <tr> <th>Name of the customer</th> <th>Total no. of users</th> <th>Module deployed</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table> <p><i>Implementations in the last 3 years:</i></p> <p><i>Implementations done prior to last 3 years:</i></p> <table border="1"> <thead> <tr> <th>Name of the customer</th> <th>Total no. of users</th> <th>Module deployed</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table> </div> </div>	Name of the customer	Total no. of users	Module deployed										Name of the customer	Total no. of users	Module deployed									
Name of the customer	Total no. of users	Module deployed																							
Name of the customer	Total no. of users	Module deployed																							

		Please provide details for each past implementation in <u>Annexure 19</u>
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As of this date, the information furnished in all parts of this form is accurate and true to the best of my knowledge.

Authorized Signatory Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

10. Annexure 19 – Details of past implementations

Please provide details of prior experience in design, deployment and implementation of HRMS, Payroll & PMS Solution at other UAE entities.

For each prior experience reference that the bidder wants to highlight, one sheet in the below template must be submitted as part of the technical bid in the proposal.

Name of the bidder for which client reference is being provided	
Name of the client	
Country	
Client address	
Description of the assignment and the scope of services delivered by the bidder to the clients; please specify modules deployed as part of the HRMS, Payroll & PMS	
Description of the solution implemented. Also indicate whether it is the same as the solution proposed to the Bank.	
Assignment duration (in months)	
Assignment start date (Month & Year)	
Assignment end date (Month & Year)	
Total no. of staff months in the assignment	
Approximate value of contract (in AED)	
Client Reference 1	Name: Designation: Address: Phone No: Mob No: Email ID:
Client Reference 2	Name: Designation: Address: Phone No: Mob No: Email ID:

Authorized Signatory Name:

Designation:

Vendor's Corporate Name

Address

Email and Phone #

11. Annexure 20 – Security and compliance

The vendor has to comply with the Information security policy of the bank for the applicable solution requirements mentioned in RFP. Solution will also be able to integrate with Bank's Active Directory security policies and authentication framework. Solution should be offered at dedicated environment to have better control over Bank's

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data due to compliance / security related aspects. The solution should conform to the following industry level certifications:

ISO 27001:2013

ISO 27018

SOC 2

SSAE/SOC

ISO27018

Bidder has to submit response against the following requirement:

	Subject	SP/Bidder Response
1.	Right to Audit: Service Provider should provide right to audit as similar to what Bank is having with other shared data centers in UAE. Bank must have “Rights to Audit” the SP's compliance with the agreement including rights of access to the SP's premises where relevant records and Bank’s data is being held. It also include audit rights for the Bank or its appointed auditor (nominee) or regulators as an integral clause in the service agreement.	
2.	<p>Data and Information Security: SP to ensure following :</p> <p>Data integrity management.</p> <p>To provide full disclosure regarding securitypractices and procedures as stated in their SLAs Specific identification of all controls used during the data lifecycle.</p> <p>To maintain a fundamental philosophy of knowing where Bank’s data (Logical /Physical)</p> <p>To determine who should access the data, what their rights and privileges are, and under what conditions these access rights are provided and</p>	

	<p>maintain a “Default Deny All” policy</p> <p>To define and identify the data classification. SP to enforce the Bank’s access requirements based on data classification.</p> <p>To encrypt data at rest and encrypt data in transit.</p> <p>To share what compartmentalization techniques are employed to isolate Bank data from other customer’s data</p> <p>Sharing of encryption management with Bank on multi-tenant storage.</p> <p>To comply with data retention and destruction schedules/Policy provided by Bank, SP to certify on Bank’s request destroying all data at all locations including slack in data structures and on the media. The Bank will have right to audit this practice.</p> <p>Understand the logical segregation of information and protective controls implemented.</p> <p>Understand Cloud provider policies and processes for data retention and destruction and how they compare with internal organizational policy.</p> <p>Perform regular backup and recovery tests to assure that logical segregation and controls are effective.</p> <p>Ensure that Cloud provider personnel controls are in place to provide a logical segregation of duties.</p> <p>To provide Forensic Investigation Support as and when required by the Bank.</p> <p>To comply with Bank’s RTO/RPO requirement and retention policy.</p>	
3.	<p>Application and Process Security:</p> <p>SP application should meet the requirements for zoning security, and prevent direct access from the user interface layers to the database layers. The application needs to follow a multi-tier deployment model to achieve this.</p>	

	<p>The SP application should conform to Open Web Application Security project guidelines on web application security, including protection against SQL injection, cross-site scripting, data validation for special characters etc.</p> <p>The application should conform to applicable security guidelines from relevant standards. E.g. ISO/IEC 27017, ISO/IEC 20018.</p> <p>The application executable files and the source code need to be secured from unauthorized access and possible theft.</p> <p>If the application is deployed on the Cloud using native multitenancy features offered by the application, privacy of data across tenants or entities needs to be ensured through appropriate access control mechanisms</p> <p>Application should clearly log business errors and technical errors separately to support separation of duties between business users and data Center operator.</p> <p>User access to sensitive data needs to be controlled</p> <p>SP to comply with Bank's password management policy.</p> <p>Features like session timeouts and restricting logins to office hours should be implemented to enhance security</p> <p>The application should clear sensitive data like passwords from memory immediately after it is processed.</p> <p>Application level support for definition of users, roles, and exception management functions is to be ensured.</p>	
4.	<p>Integration with external applications:</p> <p>Application needs to have well defined APIs and application needs to ensure that only authorized application can invoke such APIs.</p>	

	<p>The application must have extensive audits to log all transactions and important non transactional activities. The application needs to implement maker-checker principle for activities like important business parameter updates.</p> <p>The application should provide a mechanism to purge old data (after archival if required) while maintaining transactional integrity.</p> <p>The application needs to provide a documented mechanism, preferably a tool for application monitoring.</p> <p>The application needs to provide a documented mechanism, preferably a tool for reporting important errors and taking automated actions.</p>	
5.	<p>IT Infrastructure Security of public cloud consist monitoring as under:</p> <p>Virtual environment security: It includes resource allocation, hardening of OS, VM image encryption, VM monitoring, USB disabling on VMs, VM should be kept on dedicated partition and IP addresses should not be shared.</p> <p>Encryption and Key Management: Depending on sensitivity data is to be encrypted, transport layer encryption is to be ensured using SSL, VPN Gateway, SSH and TLS encryption. End-to-end process for managing and protecting encryption keys to be established and documented. Compliance is to be ensured in ongoing basis.</p> <p>Monitoring: Devices should be integrated with SBSOC for continuous monitoring for access monitoring, threat monitoring, audit logging, system usage monitoring, protection of log information, administrator and operator log monitoring, fault log monitoring.</p>	
6.	<p>Physical and Logical Security:</p> <p>The SP infrastructure including servers, routers, storage devices, power supplies, and other</p>	

	<p>components that support operations, should be physically secured. Safeguards include the adequate control and monitoring of physical access using biometric access control measures and closed circuit television (CCTV) monitoring.</p> <p>A security plan for the physical environment should be implemented. Bank should have audit rights on complete physical setup. Data should be have relevant standard certifications and accreditation.</p>	
7.	<p>Logical Security:</p> <p>In a SP environment where business critical data and information systems are coexisting at multiple places, logical security has a very important role in securing the data. To manage logical access Bank should design access using username, password, OTP, RSA Token, Biometric Authentication, etc.</p>	
8.	<p>Legal Issues:</p> <p>There are various laws like Federal Decree Law No. 34 of 2021 on Combatting Rumors and Cybercrimes Electronic Transactions and Trust Services Law (in Arabic only) Guidelines to website owners and internet services Data Dissemination and Exchange in the Emirate of Dubai Internet Access Management Regulatory Policy –TDRA will be applicable to SP providers and also the customers of the Cloud service. Compliance with data privacy law is expected at all times. It will be mandatory to protect the data protection as per this law. SP should comply with such laws.</p>	
9.	<p>Operational Security:</p> <p>In view of operational security concerns like BCP, DRP, SLA etc., SP need to submit various reports as required by the bank, time to time for internal or regulatory reporting purposes.</p>	
10.	<p>Miscellaneous:</p> <p>SP to ensure the following requirements are met</p> <p>Compliance with Information Security of the Bank as applicable on relevant aspects</p> <p>Protection mechanism (physical and logical) SP has in place for the actual hardware where Bank's data</p>	

	<p>will be stored on.</p> <p>Incident management, business continuity and disaster recovery policies, and processes and procedures of service provider (SP) and should include reviews of collocation and back-up facilities.</p>	
11	<p>Government requests for audits, compliance etc.</p> <p>In case, if a government demand is received for any data, the below mentioned process has to be followed:</p> <p>Disclose customer data when legally required and only after attempting to redirect the request to the customer</p> <p>Resist government demands that are invalid</p> <p>Prior written permission needs to be taken from the bank for all such requests.</p>	

Annexure 21

Employee Performance Appraisal System
for Customer Service Executive & Senior Customer Service Executive of UAE Territory as on _____

BIO-DATA

(To be filled in by Appraisee)

(A) PERSONAL DATA:

Name _____ Employee Code No. : _____
(Surname First)

Current Branch _____ (Since When) _____ Deptt. _____ (Since When) _____

Joined the bank on _____ as _____

Date of Birth _____ Age: _____ Years: _____ Months _____

Present Designation _____ Since _____

Educational Qualification _____ Position regarding JAIIB/CAIIB _____

Professional Qualification, if any _____

Name & Designation of Reporting Authority _____

(B) PROMOTION DETAILS:

Sr.	From Cadre	To Cadre	Date of effect
1			
2			
3			

4			
---	--	--	--

C) (i) PREVIOUS ASSIGNMENTS COVERING PRECEDING 5 YEARS :

Sr.	Position	Br./Office	Duration (From - To)
1			
2			
3			

(D) TRAINING PROGRAMMES ATTENDED DURING LAST FIVE YEARS:

Sr.	Subject	Institute	Duration(from - to)
1			
2			
3			
4			
5			
6			

(E) TRAINING NEEDS FOR NEXT YEAR:

(a) _____ (b) _____

Date: _____

Signature of Appraisee

SELF APPRAISAL *(To be filled in by Appraisee)*

Name of the Staff: _____

- 1) Highlights of my performance during the year are as under:

- 2) Areas in which I feel I have not done well are as under:

- 3) Constraints faced:

- 4) What according to me would enable me to perform better:

- 5) Outstanding achievements during the year under review, in addition to regular/routine assignments:

- 6) Suggestions, if any, for further growth & development of branch/Bank.

Date : _____

Signature of the Appraisee

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KEY RESPONSIBILITY AREAS (CSE & Sr CSE)

Key Responsibility Areas (KRAs) will inter alia include the primary responsibilities assigned to the appraisee.

Name: _____ (E.C. No.) _____ Branch: _____

SI	Key Responsibility Areas of (Description tasks/goals)	Marks Allotted	Target as on Year ending 20____	Achievement (as ____/____/____) on ____/____/____	Achievement (as ____/____/____) on ____/____/____	Marks awarded by RA	Comments of RA
1.	Job / Role Related Areas	55	Description of Achievements by Appraisee			Marks awarded by RA	Comments of RA
2.	Customer Service	5					
	Total Marks (Quantitative)	60*					

* Marks may be allotted by the Branch Head/Reporting Authorities after discussion with employee

Signature of the Appraisee
Authority

Signature of the Reporting

Name of appraisee: _____ (E.C. No.) _____ Branch: _____

COMPETENCY ASSESSMENT

Sl.	Competency Assessment	Marks Allotted	Comments of Reporting Authority	Marks awarded by Rep. Auth.	Comments of Reviewing Authority	Marks awarded by Rev. Auth.
1.	Job Knowledge (Knowledge on IT Products & services, Awareness of Banking products/Services & schemes, Market Awareness)	10				
2.	Public Relation & Marketing	5				
3.	Team spirit & achievement of business goals as a team	5				
4.	Potential to handle higher responsibilities, Responsiveness to Corporate Concern	5				
5.	Knowledge of Arabic	5				
6.	Communication Skill	5				
7.	Any other achievement not captured above (Pl. specify)	5				
	Total Marks (Quantitative)	40				

Signature of the Reporting Authority

Signature of the Reviewing Authority

Name of appraisee: _____ (E.C. No.) _____ Branch: _____

COMPETENCY ASSESSMENT (Parameters for Negative marks)

Sl.	Competency Assessment	Marks Allotment (per cases)	Comments of Reporting Authority	Marks awarded by Rep. Auth.	Comments of Reviewing Authority	Marks awarded by Rev. Auth.
1.	For every Customer complaints due to wrongful method/approach adopted to increase the sales & staff negligence is proved after investigations in the appraisal year	(-5)x(*)				
2.	For every Customer Complaints due to Staff Behavior & staff negligence is proved after investigations in the appraisal year	(-5)x(*)				
3.	For every Staff abusive practices/ behavior recorded in the Abusive practices log & staff negligence is proved after investigations in the appraisal year	(-5)x(*)				
4.	For every Customer Complaints due to delay/ Not responding to customer queries which lead to escalation & staff negligence is proved after investigations in the appraisal year	(-2)x(*)				
	Total Negative Marks *					
Grand Total		100				

* Total number of cases reported against the staff

******If the total negative score of any staff is more than 40 for appraisal year then the labour contract may not be renewed or appropriate action will be taken against erring staff as per the prevalent labour law & as deemed fit by the bank

Signature of the Reporting Authority

Signature of the Reviewing Authority

OVERALL ASSESSMENT OF PERFORMANCE

Name: _____ (E.C. No.) _____ Branch: _____

	By Immediate Rep Auth.		By Branch Head for Branches /By Dy CE for Administrative Offices		Review by HR Department (if any)
	(1)*		(2)*		
	Max. Marks	Marks awarded	Marks Awarded	Remarks	Remarks
KRAs (Quantitative)	60				(HR department will review the cases in which deviation is more than +/- 15% awarded by the Reporting Authority & Reviewing Authority)
Job / Role Related Areas & Customer Service					
Competency Assessment	40				
Competency Assessment (Negative Marks)	(-x)				
Total Marks	100				
Signature					
Name, Designation					

*(To be brought forward from PAGE-4 ,5 &6)

FINAL RATING TO BE TICK MARKED (✓)			Average of (1) & (2)	Recommendation of Branch Head	
A	Outstanding	(80 - 100)		Training Need	
B	Very Good	(70 - 79)		Developmental Plan	
C	Good	(60-69)		Renewal of Labour Contract	
D	Average	(50 - 59)		Release of Annual Increment	
E	Below Average	(BELOW 50)			

- If the Final Rating awarded is 55 or more, then employee is eligible to receive an annual increment.

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

Confidential

Annexure 22

Employee Performance Appraisal System for Junior Officer & above of UAE Territory as on _____

BIO-DATA

(To be filled in by Appraisee)

(A) PERSONAL DATA:

Name _____ Employee Code No. : _____
(Surname First)

Current Branch _____ (Since When) _____ Deptt. _____ (Since When) _____

Joined the bank on _____ as _____

Date of Birth _____ Age: _____ Years: _____ Months _____

Present Designation _____ Since _____

Educational Qualification _____ Position regarding JAIIB/CAIIB _____

Professional Qualification, if any _____

Name & Designation of Reporting Authority _____

(B) PROMOTION DETAILS:

Sr.	From Cadre	To Cadre	Date of effect
1			
2			

3			
4			

C) (i) PREVIOUS ASSIGNMENTS COVERING PRECEDING 5 YEARS :

Sr.	Position	Br./Office	Duration (From - To)
1			
2			
3			

(D) TRAINING PROGRAMMES ATTENDED DURING LAST FIVE YEARS:

Sr.	Subject	Institute	Duration(from - to)
1			
2			
3			
4			
5			
6			

(E) TRAINING NEEDS FOR NEXT YEAR:

(a) _____ (b) _____

Date: _____

Signature of Appraisee

SELF APPRAISAL *(To be filled in by Appraisee)*

Name of the Staff: _____

7) Highlights of my performance during the year are as under:

8) Areas in which I feel I have not done well are as under:

9) Constraints faced:

10) What according to me would enable me to perform better:

11) Outstanding achievements during the year under review, in addition to regular/routine assignments:

12) Suggestions, if any, for further growth & development of branch/Bank.

Date : _____

Signature of the Appraisee

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

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KEY RESPONSIBILITY AREAS (Junior Officer & above)

Key Responsibility Areas (KRAs) will inter alia include the primary responsibilities assigned to the appraisee.

Name: _____ (E.C. No.) _____ Branch: _____

SI	Key Responsibility Areas (Description of tasks/goals)	Marks Allotted	Target as on Year ending 20____	Achievement (as ____/____/____ on ____/____/____)	Achievement (as ____/____/____ on ____/____/____)	Marks awarded by RA	Comments of RA
1.	Contribution to Business Growth**	30					
	No. of New Accounts canvassed in						
	CASA						
	TDR						
	Retail Lending						
	Others						
2.	Job / Role Related Areas	25	Description of Achievements by Appraisee			Marks awarded by RA	Comments of RA
3.	Customer Service	5					
	Total Marks (Quantitative)	60*					

* Marks may be allotted by the Branch Head/Reporting Authorities after discussion with employee

Signature of the Appraisee

Signature of the Reporting Authority

COMPETENCY ASSESSMENT

Sl.	Competency Assessment	Marks Allotted	Comments of Reporting Authority	Marks awarded by Rep. Auth.	Comments of Reviewing Authority	Marks awarded by Rev. Auth.
1.	Job Knowledge (Knowledge on IT Products & services, Awareness of Banking products/Services & schemes, Market Awareness)	10				
2.	Public Relation & Marketing	5				
3.	Team spirit & achievement of business goals as a team	5				
4.	Potential to handle higher responsibilities, Responsiveness to Corporate Concern	5				
5.	Knowledge of Arabic	5				
6.	Communication Skill	5				
7.	Any other achievement not captured above (Pl. specify)	5				
	Total Marks (Quantitative)	40				
	Grand Total	100				

Signature of the Reporting Authority

Signature of the Reviewing Authority

Name of appraisee: _____ (E.C. No.) _____ Branch: _____

COMPETENCY ASSESSMENT (Parameters for Negative marks)

Sl.	Competency Assessment	Marks Allotment (per cases)	Comments Reporting Authority of	Marks awarded by Rep. Auth.	Comments Reviewing Authority of	Marks awarded by Rev. Auth.
1.	For every Customer complaints due to wrongful method/approach adopted to increase the sales & staff negligence is proved after investigations in the appraisal year	(-5)x(*)				
2.	For every Customer Complaints due to Staff Behavior & staff negligence is proved after investigations in the appraisal year	(-5)x(*)				
3.	For every Staff abusive practices/ behavior recorded in the Abusive practices log & staff negligence is proved after investigations in the appraisal year	(-5)x(*)				
4.	For every Customer Complaints due to delay/ Not responding to customer queries which lead to escalation & staff negligence is proved after investigations in the appraisal year	(-2)x(*)				
	Total Negative Marks *					
	Grand Total	100				
* Total number of cases reported against the staff						
**If the total negative score of any staff is more than 40 for appraisal year then the labour contract may not be renewed or appropriate action will be taken against erring staff as per the prevalent labour law & as deemed fit by the bank						

Signature of the Reporting Authority

Signature of the Reviewing Authority

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

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OVERALL ASSESSMENT OF PERFORMANCE

Name: _____ (E.C. No.) _____ Branch: _____

	By Immediate Rep Auth.		By Branch Head/ Dy. CE for staff posted in Administrative Office		Review by HR Department (if any)
	(1)*		(2)*		
	Max. Marks	Marks awarded	Marks Awarded	Remarks	Remarks
KRAs (Quantitative)	60				(HR department will review the cases in which deviation is more than +/- 15% awarded by the Reporting Authority & Reviewing Authority)
Job / Role Related Areas & Customer Service					
Competency Assessment	40				
Competency Assessment (Negative Marks)	(-x)				
Total Marks	100				
Signature					
Name, Designation					

*(To be brought forward from PAGE-4 ,5 &6)

FINAL RATING TO BE TICK MARKED (✓)			Average of (1) & (2)	Recommendation of Branch Head	
A	Outstanding	(80 - 100)		Training Need	
B	Very Good	(70 - 79)		Developmental Plan	
C	Good	(60-69)		Renewal of Labour Contract	
D	Average	(50 - 59)		Release of Annual Increment	
E	Below Average	(BELOW 50)			

- If the Final Rating awarded is 55 or more, then employee is eligible to receive an annual increment.

Request for Proposal for Supply, Implementation & Maintenance of HRMS, PMS & Payroll Solution

Confidential

General Conditions

- **Information Provided**

The Invitation document contains statements derived from information that is believed to be true and reliable at the date obtained 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 the Bank in relation to the provision of services. Neither the Bank nor any of its directors, officers, employees, agents, representative, contractors, or advisers gives any representation or warranty (whether oral or written), express or implied as to the accuracy, updating or completeness of any writings, information or statement given or made in this invitation document.

- **Format and Signing of offer**

Each page shall be made in a legal name of the vendor and shall be signed and duly stamped by the vendor or a person duly authorized to sign on behalf of the Vendor.

- **Confidentiality**

Separate Non-Disclosure Agreement (NDA) will be signed by successful bidder.

The confidentiality obligations shall survive the expiry or termination of the agreement between the Firm and the Bank

The Bank may update or revise the invitation document or any part of it. The Bidder acknowledges that any such revised or amended document is received subject to the same confidentiality undertaking.

- **Fraud and Corrupt Practices**

The Bidders and their employees shall observe the highest standard of ethics during the Evaluation and Empanelment Process. Notwithstanding anything to the contrary contained in the invitation document, the Bank shall reject a proposal without being liable in any manner whatsoever to the Bidder, if it determines that the Bidder has, directly or indirectly or through an agent, engaged in corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the "Prohibited Practices") in the Evaluation and Empanelment Process.

- **Notices and other Communication**

If a notice has to be sent to either of the parties following the signing of the contract, it has to be in writing and shall be sent personally or by certified or registered post with acknowledgement due or overnight courier or email duly transmitted, facsimile/fax transmission (with hard copy to follow email/fax), addressed to the other party at the addresses, email and fax number given in the contract.

Notices shall be deemed given upon receipt, except that notices sent by registered post in a correctly addressed envelope shall be deemed to be delivered within 5 working days (excluding Sundays and public holidays) after the date of mailing dispatch and in case the communication is made by facsimile transmission or email, on business date immediately after the date of successful facsimile/email transmission (that is, the sender has a hard copy of a confirmation page evidencing that the facsimile was completed in full to the correct fax number or email sent to correct email address).

Any Party may change the address, email address and fax number to which notices are to be sent to it, by providing written notice to the other Party in one of the manners provided in this section.

- **Waiver**

No failure or delay on the part of either party relating to the exercise of any right power privilege or remedy provided under this invitation document or subsequent agreement with the other party shall operate as a waiver of such right power privilege or remedy or as a waiver of any preceding or succeeding breach by the other party nor shall any single or partial exercise of any right power privilege or remedy preclude any other or further exercise of such or any other right power privilege or remedy provided in this invitation document all of which are several and cumulative and are not exclusive of each other or of any other rights or remedies otherwise available to either party at law or in equity.

- **Publicity**

Any publicity by the empanelled Vendor in which the name of the Bank is to be used should be done only with the explicit written permission of the Bank.

- **Indemnity**

The empanelled vendor shall indemnify the Bank, and shall always keep indemnified and hold the Bank, its employees, personnel, officers, directors, (hereinafter collectively referred to as "Personnel") harmless from and against any and all losses, liabilities, claims, actions, costs and expenses (including attorneys' fees) relating to, resulting directly or indirectly from or in any way arising out of any claim, suit or proceeding brought against the Bank as a result of:

- ☐ an act or omission of the empanelled vendor and/or its employees, agents, sub-contractors in performance of the obligations under this invitation document; and/or
- ☐ claims made by employees or subcontractors or subcontractor's employees, who are deployed by the empanelled vendor, against the Bank; and/or
- ☐ claims arising out of employment, non-payment of remuneration and non-provision of statutory benefits by the empanelled vendor to its employees, its agents, contractors and sub-contractors
- ☐ breach of any of the term of this invitation document or breach of any representation or false representation or inaccurate statement or assurance or covenant or warranty of the empanelled vendor under this invitation document; and/or
- ☐ breach of confidentiality obligations of the empanelled vendor contained in this invitation document; and/or
- ☐ Negligence or gross misconduct attributable to the empanelled vendor or its employees or sub-contractors.

Indemnity would cover damages, loss or liabilities suffered by the Bank arising out of claims made by customer and / or regulatory authorities for reasons attributable to breach of obligations under this invitation document and subsequent agreement by the empanelled Service provider.

- **Limitation of Liability**

The empanelled Service providers aggregate liability in connection with obligations undertaken as a part of the invitation document regardless of the form or nature of the action giving rise to such liability (whether in contract, tort or otherwise), shall be to the extent of damage /costs suffered by the Bank.

The empanelled Service provider's liability in case of claims against the Bank resulting from Willful Misconduct or Gross Negligence of the empanelled vendor, its employees and Sub-contractors or from infringement of patents, trademarks, copyrights or such other Intellectual Property Rights or breach of confidentiality obligations shall be unlimited.

The Bank shall not be held liable for and is absolved of any responsibility or claim / litigation arising out of the use of any third party proprietary information / material by the empanelled service providers.

It is expressly agreed between the Parties that for any event giving rise to a claim, the Bank shall have the right to make a claim (including claims for indemnification) against the empanelled vendor

- **Performance Guarantee / FDR:**

The successful vendor shall provide a Performance Guarantee within 30 days from the date of receipt of the order or signing of the contract whichever is earlier to the extent of 5% of the bid amount for the present currency of the Contract / Extended period as the Bank may decide for due performance of the project obligations. The guarantee should be of that of a local Bank in UAE, other than Bank of Baroda.

In the event of non-performance of obligation or failure to meet terms of this Tender, the Bank shall be entitled to invoke the performance guarantee without notice or right of demur to the vendor. Any amount pending for payment due to non achieving of milestone/s set under the agreement or any other reason solely attributable to the vendor should be included in the remaining amount of the contract value.

The bidder will have the option to provide the fixed deposit to the extent of Performance Guarantee.

The Bank reserves the right to recover any dues payable by the selected vendor from any amount outstanding to the credit of the selected vendor, including the pending bills and/or invoking Performance Guarantee / FD, if any, under this contract.

If the Performance guarantee / FDR is not submitted within the stipulated time, the Bank reserves the right to cancel the order/ contract.

- **Force Majeure**

The empanelled Service provider may be absolved of its liability for any delay in performance or other failure to perform its obligations under this contract if the same is the result of an event of Force Majeure. For purposes of this Clause, "Force Majeure" means an event beyond the control of the Service provider and not involving the Service provider's fault or negligence and not foreseeable. Such events may include, but are not limited to, Acts of God or of public enemy, acts of Government of UAE in their sovereign capacity, acts of war.

If a Force Majeure situation arises, the empanelled Service provider shall promptly notify the Bank in writing of such conditions and the cause thereof within twenty calendar days. Unless otherwise directed by the Bank in writing, the Service provider shall continue to perform its obligations under the Contract as far as it is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by the Force Majeure event.

- **Resolution of Disputes**

The Bank and the empanelled vendor shall make every effort to resolve amicably, by direct informal negotiation, any disagreement or dispute arising between them under or in connection with the

contract. If after thirty days from the commencement of such informal negotiations, the Bank and the empanelled Vendor are unable to resolve amicably a contract dispute, either party may require that the dispute be referred for resolution by formal arbitration or commercial litigation in the local UAE courts.

In case parties explicitly agrees to opt for arbitration. [Federal Law No. 6 of 2018 on Arbitration](#) shall apply to the arbitration proceedings, the opted language shall be English with 2 arbitrators, chosen by each party and the venue & jurisdiction of the arbitration shall be Dubai.

- **Errors and Omissions**

Each Bidder should notify the Bank of any error, fault, omission, or discrepancy found in this invitation document but not later than last date of receiving clarifications as specified in page no.2.

- **Registration of invitation document Response**

Registration of invitation document response will be affected by the Bank by making an entry in a separate register kept for the purpose upon the Bank receiving the invitation document response in the above manner. The registration must contain all documents, information, and details required by this invitation document. If the submission to this invitation document does not include all the documents and information required or is incomplete, the invitation document is liable to be summarily rejected.

All submissions, including any accompanying documents, will become the property of the Bank. The Bidder shall be deemed to have licensed, and granted all rights to the Bank, to reproduce the whole or any portion of their submission for the purpose of evaluation, to disclose the contents of the submission to other Bidders who have registered a submission and to disclose and/or use the contents of the submission as the basis for any resulting RFP process, notwithstanding any copyright or other intellectual property right of the Bidder that may subsist in the submission or accompanying documents.

- **Communication on the invitation document**

Bidders are required to direct all communication and questions if any relating to the invitation document in writing to the email address specified and as per the timelines specified. The Bidders must communicate all queries / clarifications in writing on or before last date of receiving request for clarification as per details given in the invitation document. The Bank will try to reply, without any obligation in respect thereof, every reasonable query raised by the Bidders in the manner specified. Any changes to the invitation document will be communicated as Addendum to the invitation document and will be published on Bank's website under tenders section only. However, the Bank will not answer any communication initiated by the Bidders beyond the dates provided in the invitation document.

However, the Bank may in its absolute discretion seek, but under no obligation to seek, additional information or material from any Bidder after the invitation document closes and all such information and material provided must be taken to form part of that Bidder's response.

Bidders should invariably provide details of their email address as any clarifications required by the Bank against the response to the invitation document will only be communicated to the Respondent via email. If Bank in its sole and absolute discretion deems that the originator of the query will gain an advantage by a response to a question, then the Bank reserves the right to communicate such response to all Bidders.

The Bank may in its absolute discretion engage in discussion or negotiation with any Bidder (or simultaneously with more than one Bidder) after the invitation document closes to improve or clarify any response.

- **Language**

The invitation document response prepared by the empanelled Service provider, as well as all correspondence and documents relating to the invitation document exchanged by the empanelled Service provider and the Bank and supporting documents & printed literature shall be in the English language only.