



**RFP FOR APPOINTMENT OF BUSINESS & STRATEGIC MANAGEMENT
CONSULTANT (BSMC)**

TO

**PENSION FUND REGULATORY AND DEVELOPMENT AUTHORITY
(PFRDA)**

GLOSSARY

GOI	Government of India
PFRDA	Pension Fund Regulatory and Development Authority
BSMC	Business and Strategic Management Consultant
NPS	National Pension System
NPST / NPS Trust	National Pension System Trust
RFP	Request for Proposal
APY	Atal Pension Yojana

Disclaimer

1. This RFP process enables the applicants to participate in the process of Appointment of Business and Strategic Management Consultant (BSMC) to Pension Fund Regulatory and Development Authority (PFRDA).
2. This document does not constitute nor shall it be interpreted as an offer or invitation for the appointment of the Business and Strategic Management Consultant (BSMC) described herein.
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7. This document constitutes no form of commitment on the part of PFRDA. Furthermore this document confers neither the right nor an expectation on any party to participate in the proposed appointment of Business and Strategic Management Consultant (BSMC).
8. When any proposal is submitted pursuant to this RFP, it shall be presumed by PFRDA that the bidder has fully ascertained and ensured about its eligibility to render service as a Business and Strategic Management Consultant (BSMC) to PFRDA, in the event of the same being selected ultimately to act as such, under the respective governing laws and regulatory regimen and that there is no statutory or regulatory prohibition or impediment to acting as such Business and Strategic Management Consultant (BSMC) and it has the necessary approvals and permissions and further suffers no disability in law or otherwise to act as such.
9. Appointment of Business and Strategic Management Consultant (BSMC) shall not create a principal agent relationship between PFRDA & BSMC

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1 BACKGROUND

1.1 PENSION FUND REGULATORY AND DEVELOPMENT AUTHORITY (PFRDA)

Pension Fund Regulatory and Development Authority Act was passed on 19th September, 2013 and the same was notified on 1st February, 2014. PFRDA is a statutory regulatory body set up for regulating NPS, subscribed by employees of Govt. of India, State Governments and by employees of private institutions/organizations & unorganized sectors. PFRDA is ensuring the orderly growth and development of pension market in India.

1.2 NATIONAL PENSION SYSTEM (NPS)

(a) National Pension System (NPS) earlier New Pension Scheme (NPS) was introduced by the Government for the new entrants to the Central Government services (excluding Defence Forces) effective from 01 January 2004 and subsequently adopted by almost all the State Governments. NPS was extended to all other citizens of India from 1st May 2009.

(b) In the year 2015, a government-backed minimum guarantee pension scheme named “Atal Pension Yojana” (“APY”), primarily targeted at the unorganized sector, was launched by the Government of India on 09 May 2015 and the administration of the scheme has been handed over to PFRDA.

1.3 NATIONAL PENSION SYSTEM TRUST (NPST)

National Pension System Trust (NPST) was established by PFRDA in 2008 through execution of a Trust Deed under the provisions of the Indian Trusts Act of 1882 for taking care of the assets and funds under the NPS in the best interest of the subscribers. NPS Trust is the registered owner of all assets under the NPS architecture. The securities are purchased by Pension Fund’s on behalf of NPS Trust, however individual NPS subscriber remain beneficial owner of the securities, assets and funds. NPS Trust is also responsible to Issue instructions to the custodian, Pension Fund’s and Trustee Bank, providing directions to PF(s) for protecting the interest of subscribers, ensuring compliance through audit by Independent Auditors, and Performance review of Pension Fund’s etc. The functioning and Administration of the NPS Trust is also governed by the PFRDA (NPS Trust) Regulation, 2015. More information on PFRDA / NPS architecture etc. is available on the website of PFRDA. (www.pfrda.org.in)

2. SCOPE OF WORK & RESPONSIBILITIES OF THE BUSINESS & STRATEGIC MANAGEMENT CONSULTANT (BSMC)

2.1 Segregation of roles and responsibilities of NPS Trust and PFRDA considering the PFRDA Act, Indian Trusts Act, 1882, Trust Deed, Budget 2019-20 Announcement, Amendments Proposed in the PFRDA Act, the Regulations notified under the PFRDA Act and the international experiences.

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| | <ul style="list-style-type: none"> i) Define and distinguish the duties, functions and powers of NPS Trust (Trustees), PFRDA (Regulator) and Settlor (Settlor of Trust) ii) Design the management and administrative structure for NPS Trust, PFRDA and Settlor. iii) Frame the governance principles for functioning, management and inter-relationship of NPS Trust, with Settlor and PFRDA iv) Drafting of policies and processes required for implementation of the suggested structure v) Define the objectives and content of the Trust Deed |
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2.2 Organization Structure and Human Resources Planning for PFRDA based on its role and responsibilities defined above:

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| | <ul style="list-style-type: none"> i) Organizational design for regulatory, supervisory and administrative functions based on best domestic and international regulatory experiences, ii) Long term (8 to 10 years), medium term (3-5 years) & short term (1-2 years) manpower requirements, skill sets for each job profile with job descriptions and specifications, iii) Define the organizational hierarchy with reporting structure, identify the critical and non-critical position, iv) Broad Operational Manuals for each departments/ verticals/ unit/ section/ division, etc. v) Recommend appropriate model for talent acquisition & retention, inputs on manpower requirement forecasting, succession planning (change control across hierarchical movements) and identification of training needs, reward and recognition, etc. |
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2.3 Technological infrastructure and design for IT overarching of the NPS architecture in relation to the roles and responsibilities of PFRDA:

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| | <p>A: Conceptualization – Technology roadmap based on best global practices for</p> <ul style="list-style-type: none"> i) Supervisory and regulatory functions to monitor intermediaries, ii) Compliance and reporting by intermediaries, iii) Internal - HR, Finance & Accounts and Administrative functions, iv) Surveillance system and market intelligence, v) Subscriber feedback systems and education, |
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	<p>vi) Market research and data mining, vii) Data center for in-house data analytics, inter-linking of intermediary's data, MIS, viii) Mapping of technological functions with job profiles.</p> <p>B. Design - System Requirement Specification Document and Entity Relationships Diagrams, Selection of technology Platform, Hardware/ Software Specifications, Scalability, Data Architecture, Analytical Tools, A.I. Tools, Cost estimation for establishment and maintenance, Security Audit, Disaster Recovery, Business Continuity Plan, Access Controls, SOP, Change Control etc.</p> <p>C: Implementation: Preparation of RFP document, Vendor Selection, Setting up of data center, System integration with Intermediaries, Onsite Deployment of dedicated Project Team Member, Operationalization, signing off of various deliverables by the vendor, Monitoring of Vendor Performance, Training of Employees on using new systems and Change control initiation/ exit.</p>
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3 ELIGIBILITY CRITERIA

PFRDA has prescribed eligibility Criteria for participating in the bidding process. All bidding entities must meet the following criteria and must attach supporting documents along with the proposal:-

SI	Minimum Eligibility Criteria	Supporting Document
1.	The applicant should be an entity registered as a body corporate within the laws of India with minimum 10 years of operations in India	1. Incorporation or Registration Certificate or 2. PAN Card or 3. Limited Liability Partnership Agreement
2.	The applicant should have a minimum average Turnover of Rs. 250 Crores from consultancy business for the last three years i.e. F.Y. 19-20, 18-19 & 17-18.	Auditor's Certificate
3	The applicant should have a minimum average net worth of Rs.150 Crore for the last three years i.e. F.Y. 19-20, 18-19 & 17-18.	Auditor's Certificate
4	The applicant should have Experience in completion of at least one project in the last five	Work Orders/ Agreements/Letter of Intent/Experience Certificate

SI	Minimum Eligibility Criteria	Supporting Document
	years on strategic redesigning of organizations, redefining roles and responsibilities post-merger/demerger.	and Completion Certificate*
5	The applicant should have Experience in completion of at least 3 projects in the last five years on HR restructuring and manpower planning in the financial sector.	Work Orders/ Agreements/Letter of Intent/Experience Certificate and Completion Certificate*
6	The applicant should have Experience in consulting and implementation of IT strategy of at least one IT projects in the last three years related to ERP, Data Center and MIS in financial sector.	Work Orders/ Agreements/Letter of Intent/Experience Certificate and Completion Certificate*
7	The applicant should have Minimum 30 permanent manpower resources working in the area of HR, IT, Strategic Management in India.	Certificate from Head –HR or Company Secretary

**The bidding firm is expected to submit the work orders/agreements/Letter of Intent and Completion Certificate with respect to the experience claimed. In case confidentiality clauses prevents the bidder from providing such documents, an undertaking that the work performed would be sufficient with the disclaimer that the bidder will be responsible for any misrepresentation of the fact. The successful bidder upon selection needs to provide proper proof of such experience claimed by the way of submission of specified documents or through client reference and contact details of customer for whom the bidder has executed the project.*

The documents in support of the eligibility criteria shall be submitted in the format as provided in Annexure – V.

4. RFP INSTRUCTIONS AND CONDITIONS

The RFP document should be read in conjunction with further amendment(s), if any, issued and Responses to the queries of the Bidders in accordance with the section (5.2)

The Bidder is expected to examine all instructions, forms, terms, PFRDA’s requirements and other information in this RFP document. Failure to furnish all information required by the RFP documents or submission of a proposal not substantially responsive to the RFP documents in every aspect shall be at the bidder’s risk and may result in rejection of its proposal.

4.1 PROPOSAL PREPARATION COST

The bidder is responsible for all costs incurred in connection with participation in this process, including but not limited to, costs incurred in conduct of informative and other diligence activities, participation in meetings, presentation(s), preparation of proposal, providing additional information required by PFRDA etc. This RFP does not commit the PFRDA to award a contract or to engage in negotiations pursuant to this process.

4.2 AMENDMENT TO REQUEST FOR PROPOSAL

PFRDA, at its sole discretion, for any reason deemed necessary, may modify the RFP, at any time prior to the deadline for submission of proposals, by an amendment, which will be published in the website of PFRDA.

4.3 LANGUAGE OF PROPOSAL

The proposal and all correspondence and documents shall be written in English. All proposals and accompanying documents received within the stipulated time shall become the property of the PFRDA and shall not be returned. The physical version shall be considered as the official proposal.

4.4 CURRENCY OF PROPOSAL AND PAYMENT

The currency of the Commercial Proposal shall be in **Indian Rupees (INR)** only.

4.5 PERIOD OF VALIDITY OF PROPOSALS

- a) The proposals shall be valid for a period of **three (3) months** from the date of opening of the proposals. A proposal with validity for a shorter period may be rejected as non-responsive.
- b) In exceptional circumstances, at its discretion, PFRDA may seek the bidder's consent for an extension of the validity period. The request and responses shall be made in writing.

4.6 CORRECTION OF ERRORS

Bidders are advised to exercise adequate care in quoting the prices. No modification/correction in quotations shall be entertained once the bids are submitted. Even before submission of the proposal, care should be taken to ensure that any corrections/overwriting in the proposal are initialed by the person signing the proposal form. In case of discrepancy

between the amounts mentioned in figures and in words, the amount in words shall be deemed final.

4.7 DISQUALIFICATION CRITERIA

PFRDA may at its sole discretion, disqualify any bidder, if the bidder has:

- a) Not submitted the bid in the format prescribed in the RFP
- b) Made misleading or false representation(s) in the form of statements and attachments submitted as proof in support of the eligibility requirements
- c) Submitted a proposal that is not accompanied by required documents and/or EMD/fee
- d) Failed to provide clarifications as sought by PFRDA
- e) Been declared ineligible by GoI or any statutory body for corrupt and fraudulent practices or blacklisted
- f) Submitted more than one proposal or submitted a proposal with price adjustments/variations.

4.8 PFRDA'S RIGHT TO TERMINATE

- a) PFRDA may terminate the RFP process at any time without assigning any reason. PFRDA makes no commitment, express or implied, that this process shall result in a business transaction with anyone.
- b) This RFP does not constitute an offer by PFRDA. The bidder's participation in this process may result in PFRDA selecting the bidder to engage in further discussions and negotiations toward execution of a contract. The commencement of such negotiations does not, however, signify a commitment by PFRDA to execute a contract or to continue negotiations. The PFRDA may terminate negotiations at any time without assigning any reason and/or may cancel the whole RFP process or initiate a new process at its sole discretion.

5. RFP PROCESS

5.1 KEY ACTIVITIES AND DATES

The schedule of key activities for the purpose of this RFP is outlined below:

S.No	Key Activities	Date
1	Issuance of Request for Proposal (RFP)	25 th March 2021
2	Last Date for Receiving Queries from Bidders	30 th March 2021(18.00 Hrs)
3	Response to Queries and Pre-bid Meeting	1 st April 2021(15.00 Hrs)

4	Last Date and Time for Submission of Proposals	15 th April 2021(15.00 Hrs)
5	Opening of Technical Proposals	15 th April 2021(15.30 Hrs)
6	Presentations	Between 22 nd April to 28 th April 2021 (Both dates included)
7	Opening of Commercial Proposals	30 th April 2021 (17.30 Hrs)
8	Contract Finalization and Award	After approval of the competent authority.

NOTE: PFRDA reserves the right to change any date/time mentioned in the schedule above under intimation through a notice sent by email to the bidder.

5.2 CLARIFICATION ON RFP DOCUMENTS

(a) A prospective bidder requiring any clarification on the RFP documents may notify PFRDA in writing at the PFRDA's address indicated in this RFP in format prescribed at Annexure IV to this RFP. All queries and clarifications should reach PFRDA on or before the last date and time mentioned in section 5.1 of this RFP in softcopy formats (MS-Word only). A soft copy of queries shall also be mailed to the e-mail address: pa.rangarajan@pfrda.org.in & ruby.bhaosagar@pfrda.org.in

(b) PFRDA shall prepare the responses to the queries and clarifications sought by the bidders in the Pre- Bid meeting, PFRDA reserves the right not to respond to some or any of the queries at its sole discretion. The responses of PFRDA will be mailed to the respective bidders and PFRDA shall not entertain or respond to bidders' queries and clarifications received after the cutoff time and date mentioned in section 5.1 of this RFP

5.3 PRE-BID MEETING

a) The bidder's authorized representatives (not exceeding two) at their own cost, are invited to attend the Pre-bid meeting through physical presence or through video Conferencing, which would take place at the following venue at the time & Date as stipulated in section 5.1 of this RFP.

Conference Room,

Pension Fund Regulatory and Development Authority (PFRDA)

B 14/A Chatrapati Shivaji Bhawan, Qutab Institutional Area
New Delhi-110016.

b) The purpose of the meeting would be to clarify queries on any matter related to the RFP and the project.

5.4 VENUE AND DEADLINE FOR SUBMISSION OF PROPOSAL

(a) Proposals should reach PFRDA at the following address:-

**General Manager (HR & Admin),
Pension Fund Regulatory and Development Authority (PFRDA)
B 14/A Chatrapati Shivaji Bhawan, Qutab Institutional Area
New Delhi-110016.**

(b) In case the proposal is submitted by hand, bidder's representative(s) shall sign a register evidencing their attendance.

(c) Last Date & Time for Submission of Proposal: The Proposal should reach the address mentioned above within the cutoff time & date mentioned in Section 5.1 of this RFP. **Any proposal received after the deadline shall not be entertained.**

5.5 LATE BIDS

Any proposal received by PFRDA after the deadline for submission of proposal prescribed in **Section 5.1** of this RFP, shall be summarily rejected without any further processing.

5.6 BID OPENING

Total transparency shall be observed while opening of proposals. Sealed envelopes of the Technical bids shall be opened at **the time and Date specified in section 5.1 of this RFP** and the commercial proposal will be opened subsequently only for the eligible bidders at **the time and date specified in section 5.1 of this RFP** in the presence of authorized representatives of the bidders who may wish to attend the event. PFRDA reserves the right at all times to postpone or cancel or reschedule the date and timing as specified in **section 5.1 of this RFP**. The venue for the opening of proposals is as mentioned in the **Section 5.3** of this RFP. Any change in timeline shall be informed by PFRDA through e-mail correspondence.

5.7 MODIFICATION, SUBSTITUTION AND WITHDRAWAL OF PROPOSAL

No proposal can be withdrawn in the interval between the deadline for submission of proposals and the expiration of the validity period as specified in this RFP. However, the bidder is allowed to withdraw his bid documents till deadline for submission of proposals as specified in section 5.1 of this RFP. Once the bid documents are submitted, modifications and substitutions in the bid documents shall not be allowed.

6. SUBMISSION OF PROPOSAL

6.1 BID SUBMISSION FORMAT

6.1.1 The bidder shall submit a sealed cover consisting of all the bid documents. The name of the project, the bidder's name and address, and the name of the primary and secondary contact person shall be provided on the right hand side of sealed Proposal and must be received at the address mentioned in Section 5.4 within the cutoff time and date as mentioned in section 5.1 of the RFP.

6.1.2 PFRDA shall not accept delivery of proposal by fax or e-mail or in any other manner which is not prescribed in the RFP. Proposals received in such manner shall be treated as defective, invalid and rejected.

6.1.3 Directions for submission of Eligibility details and Technical bids/proposal are as under:

- (a) The Eligibility details shall be submitted along with the supporting documents mentioned in section 3 as per format provided in Annexure V and Technical bids/proposal should be submitted in the prescribed format as per Annexure VI to this RFP. The Technical proposal shall be accompanied by the duly filled format as prescribed in Annexure I of this RFP.
- (b) The pages of the proposal should be properly numbered and an index of the same provided at the beginning.
- (c) The bid/proposals should be submitted duly spiral bound in one or more volumes. For ease of reference, each section/annexure of the bid/proposal should be separated by separators.

6.2 DIRECTIONS FOR SUBMISSION OF PROPOSAL

6.2.1 Proposals are required to be submitted as per the following directions:

- i) **ENVELOPE 1 (UNSEALED)** containing the following:
 - a. Non – Refundable fee of Rs. 20,000.00 (Twenty Thousand only)by way of a Demand Draft drawn in favor of PFRDA, New Delhi payable at New Delhi (Enclosure – 1)
 - b. An EMD of Rs.50,000.00 (Fifty Thousand Only) in the form of Demand Draft drawn in favor of PFRDA, New Delhi payable at New Delhi (Enclosure -2)

(The non-refundable fee and the EMD can be remitted by the way of Direct bank transfer to the Bank account of PFRDA by RTGS/NEFT

Name : Pension Fund Regulatory and Development Authority

Bank: Indian Overseas Bank

Account Number: 159901000000855

IFSC Code: IOBA0001599

(NOTE: ENVELOPE SHOULD BE (1) ADDRESSED TO GENERAL MANAGER (HR & ADMIN), PFRDA, NEW DELHI, (2) DULY SUPERSCRIBED AS BID FOR BUSINESS & STRATEGIC MANAGEMENT CONSULTANT (BSMC) – ENVELOPE 1 – FEE & EMD, and (3) NAME OF THE BIDDING ORGANIZATION.)

- ii) **ENVELOPE 2 (SEALED)** containing the Eligibility details along with supporting documents as per section 3 & Technical Bid as per annexure VI to this RFP will be opened in the presence of bidders at the time and date mentioned in section 5.1 of this RFP at PFRDA Office, New Delhi.

(NOTE: ENVELOPE SHOULD BE (1) ADDRESSED TO GENERAL MANAGER (HR & ADMIN) ,PFRDA, NEW DELHI, (2) DULY SUPERSCRIBED AS BID FOR BUSINESS & STRATEGIC MANAGEMENT CONSULTANT (BSMC) – ENVELOPE 2 – ELIGIBILITY DETAILS & TECHNICAL BID, and (3) NAME OF THE BIDDING ORGANIZATION)

- iii) **Envelope 3 (SEALED)** containing the Commercial Proposal, to be opened only after the presentations and only in respect of those bidders who qualify the eligibility criteria and secure a minimum of 60% score in the technical evaluation. The Commercial Bid will be opened at **the time and date specified in section 5.1 of this RFP** (Commercial Proposal) in the presence of authorized representatives of the eligible bidders who may wish to attend the event.

(NOTE: ENVELOPE SHOULD BE ADDRESSED TO GENERAL MANAGER (HR & ADMIN) ,PFRDA, NEW DELHI, (2) DULY SUPERSCRIBED AS BID FOR BUSINESS & STRATEGIC MANAGEMENT CONSULTANT (BSMC) – ENVELOPE 3 – COMMERCIAL PROPOSAL, and (3) NAME OF THE BIDDING ORGANIZATION)

6.3 TECHNICAL PROPOSAL & EVALUATION PARAMETERS

6.3.1 Technical Proposal Evaluation Parameters: Parameters have been defined for the evaluation of the Technical proposals of the prospective bidders. The following table gives the broad Technical parameters & the respective weightage assigned to these parameters:-

S. No	CRITERIA	MAX. MARKS
A	UNDERSTANDING OF THE SCOPE OF WORK	15
1	Understanding of the context, requirement and Purpose.	
B	EXPERIENCE AND CAPABILIITES	15
1	Segregation of roles and responsibilities of merged/demerged entities	
2	Experience in organizational restructuring and Human Resource Planning in relation to the scope of work.	
3	Experience in IT Infrastructure designing for Financial Institutions towards Performing Supervisory & Regulatory functions, Compliance and Reporting, Surveillance System, Market Intelligence, Subscriber Feedback and Education, Market Research and Data Mining, Data Analytics etc.	
C	APPROACH AND METHODOLOGY	30
1	(i) Proposed approach and methodology for the entire scope of work, broken down component wise. (ii) Comprehensiveness of the proposed overall approach (iii) Plan for execution/implementation with timelines for achieving the deliverables.	
D	EXPERIENCE WITH FINANCIAL SECTOR REGULATORS/GOVERNMENT ORGANIZATION IN INDIA	5
1	Experience of working with Indian Financial Sector Regulators/Government Organization in India on Strategic redesigning, Organizational Restructuring and building of IT infrastructure.	
E	TEAM MEMBERS PROPOSED FOR THE PROJECT	15
1	Profiles of the Project Team – Leadership, Advisory, Project Management & Working Members (minimum one member for each profile with requisite experience in relation to the scope of work).	
F	TRANSFER OF KNOWLEDGE AND ENABLEMENT WITH RESPECT TO THE IT PROJECT	5
1	Expertise in designing and implementing processes/practices and approach to ensure proper handover of capabilities, training of key teams, continuity, sustainability and support to PFRDA.	
G	3 CASE STUDIES IN RELEVANCE TO THE CONTEXT OF THIS RFP.	15
1	one each in segregation of roles and responsibilities of/between entities, HR Planning and IT overarching of the architecture in relation to the scope of work.	
TOTAL		100

6.3.2 The detailed Technical Proposal should be submitted as per the format given at Annexure VI to this RFP and should strictly follow the order given therein.

6.3.3 Technical Bid should preferably contain details in respect of the Bidding entity and the Bidder may include relevant accomplishments of its associate companies / sub-

entities/subsidiaries etc. including their principal /Group companies or overseas principals/group companies' etc. The bidder should commit to bring-in the stated expertise of their related entities for accomplishing the deliverables. However these will exclude JVs, consortiums and external partners.

6.3.4 The completed detailed Technical Proposal with any additional information considered necessary by the Bidder as a part of the Technical Proposal should be submitted (In Font Arial of Size 12 and Maximum of 25 pages excluding the annexures to the Technical Proposal) as per instructions contained in this RFP.

6.3.5 Submission of Joint bids through JV's or Consortium or association or MoU is not allowed and any such proposal will be rejected summarily.

6.4 COMMERCIAL PROPOSAL

The Commercial Proposal shall indicate the professional charges of the Bidder for undertaking the function as Business and Strategic Management Consultant (BSMC) as per the scope of work and deliverables specified in the RFP document. The professional charges shall be inclusive of taxes, cost of travel and all other costs incidental to for undertaking the function as BSMC. The format of the Commercial Proposal is provided in Annexure III. The Commercial Proposal shall be accompanied by the duly filled format as prescribed in Annexure II of this RFP.

7 PROPOSAL EVALUATION

7.1 PROPOSAL OPENING

PFRDA shall open the proposals, in the presence of authorized representative(s) of the bidder who choose to attend, at the time, date and location stipulated in the RFP. The maximum number of authorized representatives allowed to each bidder shall not be more than two. The bidder's representative(s) shall sign a register evidencing their attendance.

7.2 CLARIFICATION OF PROPOSALS

In the process of examination, evaluation and comparison of proposal, PFRDA may, at its discretion, ask bidder(s) for clarification of its proposal or seek such other further documents which the bidder shall be obliged to furnish. Non submission of such documents within the specified timeline mentioned thereon will result in rejection of the proposal.

7.3 INITIAL DETERMINATION OF COMPLIANCE WITH RFP REQUIREMENTS

PFRDA shall perform an initial review of all proposals that are submitted on time. After initial review, PFRDA may decide to discontinue the evaluation of any proposal, which it considers unacceptable prima facie for any reason such as:

- a) The proposal does not meet the eligibility criteria; or
- b) The proposal is not a reasonable effort to respond to the requirements of the RFP; or
- c) The proposal contains technical deficiencies, or
- d) Any other reason which PFRDA thinks will delay the process of appointment of BSMC

7.4 EVALUATION PROCEDURE AND CRITERIA

PFRDA will constitute an Evaluation Committee for undertaking the entire process of evaluation of the Bids received under this RFP. The Evaluation Committee will follow the following procedure for evaluation:

(i) Evaluation of the Eligibility Criteria

The Evaluation Committee duly constituted for this purpose will examine and evaluate the Eligibility Criteria of the bidders as per section 3. The Technical Bids of only those bidders will be further examined who have fulfilled the Eligibility criteria.

(ii) Evaluation of Technical Bids

The evaluation of the Technical bids shall be carried out in the following manner:

- a) The bidder's Technical Proposal shall be evaluated as per the requirements specified in the RFP and bidder is required to provide all details for the Technical bid as prescribed in this RFP in the format as per Annexure VI of this RFP. Care should also be taken to ensure that all information required as per annexure of the RFP is duly included in the Technical Proposal.
- b) PFRDA may seek clarifications from the bidders which the bidder shall be obliged to furnish. The primary function of clarification in the evaluation process is to clarify ambiguities and uncertainties, if any, arising out of the evaluation of the bid documents. Non submission of such documents within the specified timeline will result in rejection of the proposal.

- c) **Proposal Presentations.** The qualified interested bidders would be required to make a presentation to the committee on the technical parameter specified in section 6.3.1 on the dates mentioned in section 5.1 of this RFP document. The schedule and time of presentation will be communicated separately. ***The team for presentation should not exceed 6 persons. However only the Team Leader of the Core Team shall make the detailed presentation covering the understanding of the scope of work, experience and capabilities, Approach and Methodology, Experience with financial sector regulators in India, Team composition and staffing plan, transfer of knowledge and case studies.***
- d) The Evaluation Committee will evaluate the Bidders on the criteria detailed at per section 6.3.1 to this RFP based on their presentation and proposals received and shortlist them for the purposes of opening their Commercial Bids.
- e) Proposals submitted by bidders containing qualifications or conditions in the Technical or Commercial Bids will be summarily rejected.

(iii) Evaluation of Commercial Proposals

The commercial proposal of bidders will be opened subsequently only for those eligible bidders whose technical proposal has been evaluated by the Committee and the Bidder had made a presentation to the committee in terms of clause 7.4(ii) (c) of this RFP. Financial proposals of only those bidders will be evaluated, who secure a minimum of 60% score in the technical evaluation. The commercial proposal of the Bidder with the lowest bid/quote will be assigned the maximum marks allotted for commercial evaluation.

(iv) Best Value Determination and Final Evaluation

- (a) Selection of the most suitable bidder shall be based on QCBS (Quality and Cost Based Selection) method. In determination of the best value bid, the following weightage shall be given for the technical and commercial scores of the bidders:

Technical Score weightage:	80%
Commercial Score weightage:	20%

- (b) The weighted combined technical and commercial score will determine the ranking of the Bidder. In case of a tie in the combined score between Bidders, the Bidder with higher technical score will be given a higher rank. PFRDA may appoint the top ranked bidder based

on the ranking derived from the weighted combined score.

CALCULATION OF COMBINED SCORE:

$$\text{Score} = T(w) * \text{ETS/HTS} + F(w) * \text{LC/C}$$

T(w) = weight of the technical score (80)

ETS = evaluated technical score of bidder

HTS = highest evaluated technical score among the bidders

F(w) = weight of the financial score (20)

LC = lowest rate quoted among the bidders

C = rate quoted by the bidder

7.5 NEGOTIATIONS, CONTRACT FINALIZATION AND AWARD

7.5.1 PFRDA shall reserve the right to negotiate with the bidder whose proposal has been ranked first on the basis of best value. If PFRDA is unable to finalize a service agreement with the bidder ranked first, it may proceed to the next ranked bidder, and so on until a contract is awarded. PFRDA reserves the right to present a contract to the bidder selected for negotiations. A contract shall be awarded to the responsible, responsive bidder whose proposal conforms to the RFP and is, in the opinion of PFRDA, the most advantageous and represents the best value to the project, price and other factors considered. Evaluations shall be based on the proposals and any additional information requested by PFRDA. In the event the successful bidder does not accept the award contract or sign the contract its EMD is liable to be forfeited.

8. AWARD OF CONTRACT

8.1 AWARD CRITERIA

PFRDA shall award the Contract to the successful bidder whose proposal has been determined to be substantially responsive and has been determined as the best value proposal, provided further that the bidder has demonstrated that it is qualified to perform services required for the project satisfactorily.

8.2 PFRDA'S RIGHT TO ACCEPT OR REJECT ANY OR ALL PROPOSALS

PFRDA reserves the right to accept or reject any proposal, and to annul the RFP process and reject all proposals at any time prior to award of contract, without incurring any liability to

the affected bidder or bidders or any obligation to inform the affected bidder or bidders, of the grounds for PFRDA's action.

8.3 NOTIFICATION OF AWARD

PFRDA shall notify the successful bidder in writing that its proposal has been accepted. Upon the successful bidder's furnishing of performance bank guarantee, the contract signing process shall take place. In case the successful bidder is unable to furnish the performance bank guarantee, PFRDA may invite the bidder second in order of total score.

8.4 SIGNING OF CONTRACT

8.4.1 Once PFRDA notifies the successful bidder that its proposal has been accepted, PFRDA shall enter into a separate contract, incorporating all agreements (to be discussed and agreed upon separately) between PFRDA and the successful bidder. In case the successful bidder delays the signing of the contract in any manner, PFRDA may withdraw the acceptance to the proposal of the bidder and may invite the next bidder, for award of contract.

8.5 APPLICATION FEE, EARNEST MONEY DEPOSIT (EMD) AND PERFORMANCE BANK GUARANTEE (PBG)

8.5.1 (a) Application Fee: Non – Refundable fee of Rs.20,000.00 (Twenty Thousand only) by the way of a Demand Draft drawn in favor of PFRDA, New Delhi payable at New Delhi.

(b) Earnest Money Deposit: An EMD of Rs. 50,000.00 (Fifty Thousand only) in the form of a DD drawn in favor of "PFRDA" and payable at New Delhi **must be submitted along-with the Technical Bid. No Bank Guarantee shall be accepted in lieu of the EMD.** The EMD of the unsuccessful bidders shall be returned within 15 days of the signing of the contract. **The EMD of the successful bidder shall be held till the submission of Performance Bank Guarantee and signing of the Contract.**

(c) Performance Bank Guarantee (PBG): The successful bidder shall at its own expense deposit with PFRDA within fifteen (15) working days of the date of notice of award of the contract or prior to signing of the contract whichever is earlier, an unconditional and irrevocable Performance Bank Guarantee (PBG) from a scheduled bank acceptable to PFRDA payable on demand, for the due performance and fulfillment of the contract by the bidder. **The Performance Bank Guarantee shall be 10% of the total bid value for completion of the project.** All incidental charges whatsoever such as premium, commission etc. with respect

to the Performance Bank Guarantee shall be borne by the bidder. The PBG shall be valid till 180 days after completion of contract period.

8.5.2 In the event of the bidder being unable to service the contract for whatever reason, PFRDA shall invoke the PBG. Notwithstanding and without prejudice to any rights whatsoever of the PFRDA under the contract in the matter, the proceeds of the PBG shall be payable to PFRDA as compensation for the bidder’s failure to perform/comply with its obligations under the contract. PFRDA shall notify the bidder in writing of the exercise of its right to receive such compensation within 14 days, indicating the contractual obligation(s) for which the bidder is in default.

8.5.3 Before invoking the PBG, the bidder may be given an opportunity to represent before PFRDA. The decision of PFRDA on the representation given by the bidder shall be final and binding.

8.6 DELIVERABLES, PAYMENT TERMS AND CONDITIONS

8.6.1 Deliverables: The deliverables have to be submitted in two phases:

Phase-I: Report on the Scope of Work detailed under section 2 of this RFP and acceptance of the report by the Authority.

Phase-II: Implementation of the IT Project as approved by the Authority.

8.6.2. Payment Terms and Conditions:

(i) All payments to the appointed Business & Strategic Management Consultant (BSMC) shall be done by PFRDA as per the clauses mentioned below:

(ii) Payments will be linked to the deliverables as mentioned as above and will be released upon satisfaction of the Authority as per the following schedule:

SI	Deliverables	Timelines	Payment Terms
1	Submission of the Report	2 Months (T)	NA
2	Upon completion of Phase-I (Acceptance of Report by the Authority)	T+1 month	35 % of the total contract value
3	Selection and appointment of Technology vendor through an RFP.	-	15 % of the total value
4	Upon completion of Phase –II	T+7 months	40 % of the total

			contract value
5	Final Sign-off	To the satisfaction of the Authority	10 % of the total contract value

(ii) Total term of the project is 9 months. This timelines exclude the mandatory timeframe required for floating of RFP for selection of technical vendor. The BSMC is responsible for a set of a deliverables on a timely basis. The quality and timeliness of these deliverables shall directly affect the payment of fees by PFRDA.

8.7 CONTRACT CONDITIONS

On signing of the contract with PFRDA, the successful bidder shall be allowed to operate as Business & Strategic Management Consultant (BSMC) to PFRDA under the following terms and conditions:

- a) The contract shall be valid till the satisfactory completion of the project. PFRDA shall have the option to extend the duration of the contract after completion of the project, at its discretion on mutually agreeable terms. BSMC shall not assign its functions to any third party under the contract.
- b) The contract of the Business & Strategic Management Consultant (BSMC) shall end if the BSMC contravenes the conditions/clauses as specified in the contract with PFRDA; or at the end of the period as specified in the contract
- c) The grounds for termination inter alia shall be Business & Strategic Management Consultant (BSMC)'s inability to perform the duties and requirements as shall be specified in the contract.

8.8 GOVERNING LAWS/ JURISDICTION

Any matter relating to the appointment of the Business & Strategic Management Consultant (BSMC) or the procedure for the appointment shall be governed by the Laws of Union of India. Only Courts at New Delhi (with exclusion of all other Courts) shall have the exclusive jurisdiction to decide or adjudicate on any matter or dispute which may arise in connection with this RFP process.

8.9 RIGHTS OVER THE WORK PRODUCTS/DELIVERABLES & CONFIDENTIALITY

The ownership including intellectual property rights over all work products/deliverables and other intermediate documents and communication between the Business & Strategic Management Consultant (BSMC) and PFRDA in relation to the work undertaken by BSMC in

respect of terms of this RFP shall vest with PFRDA. Further all documents submitted by the bidder along with bid and during the presentation shall be the exclusive property of PFRDA which shall not be returned back to the bidder. The Business & Strategic Management Consultant (BSMC) shall not disclose/part with any information acquired during the course of its working as BSMC to any third party and shall maintain strict confidentiality with respect to such information, as may be specified in the contract with PFRDA, failing which it shall be held liable.

9. ANNEXURES

ANNEXURE I: TECHNICAL PROPOSAL

[Date]

The General Manager (Admin & HR)

PFRDA

New Delhi.

Dear Sir/Madam,

Ref: Request For Proposal (RFP): Appointment of Business & Strategic Management Consultant (BSMC) to PFRDA

Having examined the RFP documents, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the services as required and outlined in the RFP. We attach hereto our response to the RFP document, which constitutes our proposal for being considered for appointment as Business & Strategic Management Consultant (BSMC). We undertake that if our proposal is accepted, we shall adhere to the Project timelines set out in the RFP or such adjusted plan as may subsequently be mutually agreed between us and PFRDA.

2. If our proposal is accepted, we shall submit a Performance Bank Guarantee in the format given in the RFP document issued by a Scheduled Bank in India, acceptable to PFRDA, as per the details specified in the RFP documents for due performance of the contract and shall also sign the contract with PFRDA as soon as we are called upon to sign the same by PFRDA.

3. We agree to unconditional acceptance of all the terms and conditions set out in the RFP documents.

4. We confirm that the information contained in this proposal or any part thereof, including its exhibits, schedules, and other documents and instruments delivered or to be delivered to PFRDA is true, accurate, and complete. This proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead PFRDA as to any "material fact."

5. We shall observe confidentiality of all the information parted on to us in course of the tendering process and shall not use the information for any other purpose than the current bid.

6. We also understand that PFRDA is not bound to accept the offer either in part or in full or to assign any reason for the same.

ANNEXURE II: COMMERCIAL PROPOSAL

[Date]

The General Manager (Admin & HR)

PFRDA

New Delhi.

Dear Sir/Madam,

**Ref: Request For Proposal (RFP): Appointment of Business & Strategic Management
Consultant (BSMC) to PFRDA**

Having examined the RFP documents, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the services as required and outlined in the RFP for appointment as Business & Strategic Management Consultant (BSMC).

We attach hereto our response as required by the RFP documents, which constitutes our proposal.

We undertake that if our proposal is accepted, we shall adhere to the Project timelines put forward in the RFP or such adjusted plan as may subsequently be mutually agreed between us and PFRDA/its appointed representatives.

If our proposal is accepted, we shall submit a Performance Bank Guarantee issued by a Scheduled bank in India as acceptable to PFRDA. We agree for unconditional acceptance of all the terms and conditions set out in the tender document and shall also sign the contract with PFRDA as soon as we are called upon to sign the same by PFRDA.

We confirm that the information contained in this proposal or any part thereof, including its exhibits, schedules, and other documents and instruments delivered or to be delivered to PFRDA is true, accurate, and complete. This proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead PFRDA as to any material fact.” We shall observe confidentiality of all the information parted on to us in course of the tendering process and shall not use the information for any other purpose than the current bid.

We also understand that PFRDA is not bound to accept the offer either in part or in full or to assign any reason for the same.

It is hereby confirmed that I/We are entitled to act on behalf of our corporation/company/
firm/organization and empowered to sign this document as well as such other documents,
which may be required in this connection.

Dated this Day of 2021

(Signature) (In the capacity of)

Duly authorized to sign the RFP response for and behalf of:

(Name and Address of Company) (Seal/Stamp of bidder)

Witness Signature:

Witness Name:

Witness Address:

CERTIFICATE AS TO AUTHORIZED SIGNATORIES

I, certify that I am Secretary of the, and
that.....who signed the above bid is authorized to bind the corporation by
authoring of its governing body.

(Secretary)

Date

(Seal here)

ANNEXURE III: FORMATS FOR COMMERCIAL QUOTATIONS

Commercial Form:

Charges	Amount (in figures)INR	Amount (in Words) INR
Total Professional Charges <i>(Charges should be inclusive of OPEs (out of pocket expenses) such as travel and all other costs incidental to execution of project and inclusive of all the applicable taxes, cess, duties etc. The different taxes should be indicated separately while raising the bill for payment of fee.)</i> to act as Business & Strategic Management Consultant (BSMC) to PFRDA.		

Note: No overwriting in the commercial proposal is permitted. In case of discrepancy between the amounts mentioned in figures and in words, the amount in words shall be deemed final.

SIGNED WITH STAMP

NAME & DESIGNATION OF THE AUTHORIZED SIGNATORY

DATE:

ANNEXURE IV : FORMAT FOR SUBMITTING THE PRE – BID QUERIES

1. Name, designation, contact details and address of person submitting request:

2. Clarifications requested:

Sr.No.	Reference (Page No.; Section; Sub Section and sub point)	Content of RFP requiring clarification	Points of Clarification required
1			
2			
3			
4			
5			

Place:

Date:

Signature of the Authorized signatory with stamp.

**ANNEXURE V: FORMAT FOR SUBMITTING DOCUMENTS IN SUPPORT OF THE ELIGIBILITY
CRITERIA AS SPECIFIED IN SECTION 3 OF THE RFP DOCUMENT**

- 1. The consultancy must be an entity registered as body corporate within the laws of India with minimum 10 years of operations in India**

S. No	No of Years of operations in India	Supporting Document (Incorporation or Registration Certificate or PAN Card or Limited Liability Partnership Agreement)	Remarks if any

Note: Please annex copy/copies of relevant supporting document(s).

- 2. Average Turnover from consultancy business for the last three years i.e. F.Y. 19-20, 18-19 & 17-18**

S. No	Financial Year	Turnover (in Rs. Crores)	Supporting Document (Auditors Certificate)	Average turnover for the last 3 years (in Rs. Crores)	Remarks if any
1	2019-20				
2	2018-19				
3	2017-18				

Note: Please annex copy/copies of relevant supporting document(s).

- 3. Average Net worth of consultancy firm for the last three years i.e. F.Y. 19-20, 18-19 & 17-18**

S. No	Financial Year	Net worth (in Rs. Crores)	Supporting Document (Auditors Certificate)	Average net worth for the last 3 years (in Rs. Crores)	Remarks if any
1	2019-20				
2	2018-19				
3	2017-18				

Note: Please annex copy/copies of relevant supporting document(s).

- 4. Details of project(s) handled in the last five years on strategic redesigning of organizations, redefining roles and responsibilities post-merger/ demerger.**

(Please give an overview/summary of the assignment)

S.No	Name of Client	Assignment as per work order/agreement	Supporting Document (Work Orders/ Agreements/Letter of Intent and Completion Certificate)	Functions relevant to the scope

*RFP for Appointment of Business & Strategic Management Consultant (BSMC)
to Pension Fund Regulatory and Development Authority (PFRDA)*

			<i>clearly specifying the nature of work undertaken)</i>	

Note: Please annex copy/copies of relevant supporting document(s).

5. Details of the projects handled in the last five years on HR restructuring and manpower planning in the financial sector.

S.No	Name of Client	Assignment as per work order/agreement	Supporting Document <i>(Work Orders/ Agreements/Letter of Intent and Completion Certificate clearly specifying the nature of work undertaken)</i>	Functions relevant to the scope

Note: Please annex copy/copies of relevant supporting document(s).

6. Details of the IT Project(s) handled in the last three years related to ERP, Data Center and MIS in financial sector.

(Please give an overview/summary of your experience on IT projects related to ERP, Data Center and MIS in financial sector)

S.No	Name of Client	Assignment as per work order/agreement	Supporting Document <i>(Work Orders/ Agreements/Letter of Intent and Completion Certificate clearly specifying the nature of work undertaken)</i>	Functions relevant to the scope

Note: Please annex copy/copies of relevant supporting document(s).

7. Details of the document certifying that minimum 30 permanent manpower resources working in the area of HR, IT and strategic management in India.

ANNEXURE VI : FORMAT FOR SUBMITTING TECHNICAL PROPOSAL

RFP for Appointment of Business & Strategic Management Consultant (BSMC) to PFRDA

Note : (i) Please use Font size 12. (ii) Maximum 25 Pages excluding the annexures. (iii) Additional rows/para's can be inserted to provide the required details as specified for evaluation of the specified Technical parameters.

BRIEF BACKGROUND OF THE BIDDING ORGANIZATION:

(Please give an overview / summary of your operations in India)

A: UNDERSTANDING OF THE SCOPE OF WORK

Please give a summary of your understanding of the scope of work/Responsibilities as detailed in section 2 of this RFP document

B: EXPERIENCE AND CAPABILITITES:

- (i) Please provide an overview of your experience with respect to the scope of work.
- (ii) Please annex 3 sample reports in support of your experience and capabilities in relation to the scope of work of this RFP
- (iii) Please furnish specific details of advice etc. to clients resulting in achievement of objectives as specified in the scope of work of this RFP.
- (iv) Summary/any other comments etc. on the experience and capabilities.

C: APPROACH AND METHODOLOGY:

- (i) Please describe your approach and methodology towards the scope of work & responsibilities as per section 2 of this RFP.
- (ii) Please detail the approach and methodology broken down component wise
- (iii) Please detail here the complete plan for designing and implementing the deliverables along with timelines.

D: EXPERIENCE WITH FINANCIAL SECTOR REGULATORS/GOVERNMENT ORGANIZATIONS IN INDIA

- (i) Please give an overview/summary of your experience in working with financial sector regulators/Government organizations in India.

(ii) Details of assignments handled with the financial sector regulators/Government organizations in the last 5 years which are relevant to the scope of work.

(iii) Any other comment on experience of working with financial sector regulators/Government Organizations.

E: TEAM MEMBERS PROPOSED FOR THE PROJECT

(i) Resume of Team Leader (to be a part of the Core Team) - Please give here details and briefly describe the qualifications / experience relevant to the scope of work etc. of the Team Leader. Please also attach a resume of the Team Leader as per format given below.

(ii) Other Member of the Core Team

(a) Please briefly describe here the experience and suitability of the other core team members

(b) Summary of Core Team members

Name	Designation	No of years of service in the Organization	Total Experience	Highest Education Qualification	Proposed role in the Team (Advisory/Project Management/Working Member)	Relevant experience in the scope of work.

Note: Please give individual resumes of other team members as per format given below.

(iii) Format for submission of resumes of the staff proposed for various positions

Particulars	Details
Name of the Team Member	
Proposed Position	
Age	

Particulars	Details
Qualifications	
Tasks proposed to be assigned	
Relevant areas of expertise with respect to the scope of work (please provide details on the relevant assignments undertaken)	
No of Years of experience	
Key experience relating to the area of work assigned	
Details of International experience, if any, – please give specific details of the experience – i.e. projects etc. undertaken, areas covered	
Any other point	

(iv) Please give an overview/summary of your manpower deployment plan including onsite resources describing their role in leadership, advisory, Project management and as working member

(v) Details of the core team which will interact with PFRDA needs to be furnished.

(vi) Please indicate a coordinating member of the core team for liaising/interaction with PFRDA on ongoing basis.

(vii) An undertaking is also to be given that if during the tenure of assignment, any of the core & other team members are not available due to resignation etc., then another person of the similar qualification & experience would be made available with the concurrence of PFRDA

F: TRANSFER OF KNOWLEDGE AND ENABLEMENT WITH RESPECT TO THE IT PROJECT

Please specify your plan for transfer of knowledge and enablement for the IT Project.

G: THREE (3) CASE STUDIES OF RELEVANT EXPERIENCE IN CONTEXT TO THIS RFP

Please provide 3 case studies, one each in segregation of roles and responsibilities of/between entities, HR Planning and IT overarching.