



EXPRESSION OF INTEREST

FOR

DESIGN, DEVELOPMENT/CUSTOMIZATION, IMPLEMENTATION AND MAINTENANCE SERVICES FOR PROJECT TARCH (TECHNOLOGY ARCHITECTURE) AT PFRDA

EOI Reference No: PFRDA/2022-23/IT/01

[13 APRIL 2022]

PENSION FUND REGULATORY AND DEVELOPMENT AUTHORITY
B-14/A, CHATRAPATI SHIVAJI BHAWAN, QUTAB INSTITUTIONAL AREA,
NEW DELHI-110016

Visit us: <http://www.pfrda.org.in/>

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

TABLE OF CONTENTS

INVITATION OF EXPRESSION OF INTEREST..... 4

SECTION I – IMPORTANT DATES AND TIMELINES..... 6

SECTION II – INTRODUCTION..... 8

 About PFRDA..... 8

 STAKEHOLDERS OF NPS 12

 ABOUT PFRDA CURRENT IT STATE 13

 CURRENT ARCHITECTURE, APPLICATIONS, PROCESSES AND CHALLENGES IN THE CURRENT SYSTEM 13

SECTION III- BROAD SCOPE OF WORK..... 15

 3.1 ENVISIONED FUTURE STATE..... 15

 SOW-1: WEBSITE REVAMP: 16

 SOW-2: POISE: PFRDA Online intermediary supervision engine - Regtech and Suptech:..... 17

 SOW-3: PRISM: PFRDA Repository & Information Systems Management - Data and Analytics Platform:..... 20

 SOW-4: PINTRA: PFRDA INTRANET Portal - Internal Digitalization: 22

 3.2 INFRASTRUCTURE:..... 24

 3.3 OPERATION AND MAINTENANCE 25

SECTION-IV-INSTRUCTIONS TO BIDDERS 26

 4.1 AVAILING BID DOCUMENTS 26

 4.2 COMPLETENESS OF THE EOI RESPONSE..... 26

 4.3 COST OF EOI 26

 4.4 EOI VALIDITY PERIOD 26

 4.5 EOI PREPARATION COST 26

 4.6 SUBMISSION OF EOI QUERIES 27

 4.7 AMENDMENT OF EOI DOCUMENT 27

 4.8 PFRDA'S RIGHT TO TERMINATE THE PROCESS 28

 4.9 RIGHT TO ACCEPT OR REJECT ANY BID OR ALL BIDS..... 28

 4.10 SEALING, MARKING AND SUBMISSION OF EOI..... 28

 4.11 LATE PROPOSAL FOR EOI 29

 4.12 LANGUAGE OF BIDS 30

 4.13 EOI SUBMISSION FORMAT 30

 4.14 ACCEPTANCE OF TERMS & CONDITIONS 30

 4.15 MINIMUM ELIGIBILITY CRITERIA: 30

 4.16 PROPOSED CONSORTIUM AND TEAMING AGREEMENT FOR RFP 32

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

4.17 GENERAL INSTRUCTIONS FOR SUBMISSION OF TECHNICAL PROPOSAL: 32

4.18 DOCUMENTS TO BE SUBMITTED 33

4.19 EVALUATION PROCESS..... 34

4.20 EVALUATION OF BIDS 34

4.21 SELECTION CRITERIA FOR THE NEXT LEVEL 35

4.22 PFRDA' RIGHTS TO ACCEPT/REJECT ANY OR ALL PROPOSALS 35

4.23 NOTIFICATIONS OF CONSIDERATION FOR NEXT LEVEL..... 35

4.24 FAILURE TO AGREE WITH THE TERMS & CONDITIONS OF THE EOI 35

4.25 DISPUTE RESOLUTION..... 35

FORMATS FOR SUBMISSION OF EOI PROPOSAL..... 36

ANNEXURE-1: EOI Cover Letter..... 36

ANNEXURE-2: Check-list for the documents to be submitted in Eoi response 38

ANNEXURE-3: MANDATORY INFORMATION TO BE SUBMITTED ON THE LETTER HEAD OF THE BIDDER. 39

ANNEXURE-4: Format for Declaration by the bidder for not being Blacklisted / Debarred..... 41

ANNEXURE-5: Financial Capability Statement 42

ANNEXURE-6: Format for providing details of past projects of the bidder 43

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

INVITATION OF EXPRESSION OF INTEREST

Pension Fund Regulatory and Development Authority (PFRDA) invites Expression of Interest (EOI) from interested and reputed IT vendors/System Integrators for Design, Development/Customization, Implementation and Maintenance services for **PFRDA Technology Architecture (TARCH) Project**.

2. Bidders are advised to study this EOI document carefully before submitting their proposals in response to the EOI Notice. Submission of a proposal in response to this notice shall be deemed to have been done after careful study and examination of this document with full understanding of its terms, conditions and implications. This EOI document is not transferable.

3. The EOI document containing the details of qualification criteria, submission requirements, brief objective & scope of work and evaluation criteria, etc. can be downloaded from the Central Public Procurement Portal at <https://eprocure.gov.in/epublish/app> as well as from <https://www.pfrda.org.in>.

4. Further details/clarifications, if any, may be obtained by email to dept.infotech@pfrda.org.in with a copy to k.mohangandhi@pfrda.org.in daulath.khan@pfrda.org.in , balaji.b@pfrda.org.in, vignesh.c@pfrda.org.in

5. Complete EOI in sealed envelope with relevant details should reach PFRDA by **4 May 2022 up to 15:00 hr** on the last day at the following address:

Sh. K. Mohan Gandhi
Chief General Manager (IT),
Pension Fund Regulatory and Development Authority,
B-14/A, Chatrapati Shivaji Bhawan,
Qutub Institutional Area,
New Delhi-110 016 India

Bids shall be opened on the same day at 15:30 hours in presence of interested bidders, who may attend the bid opening meeting.

6 Bidders meeting the qualification criteria shall be invited for presentation of their proposals before the Technical Evaluation Committee (TEC). Further based on the evaluation, bid documents will be issued subsequently to the short-listed bidders only.

7. PFRDA reserves the right to accept or reject any Bid, and to annul, in whole or in part, or to suspend the EoI process and reject all Bids at any time and without assigning reason any prior to award of the contract, without incurring any liability to the affected Bidder or Bidders.

K. Mohan Gandhi

Chief General Manager (IT)

DISCLAIMER

The information contained in this EOI document or information provided subsequently to bidder(s) whether verbally or in documentary form, by or on behalf of PFRDA/ Authority, is provided to the bidder(s)/ System Integrators on the terms and conditions set out in this EOI document and all other terms and conditions subject to which such information is provided. This EOI document is not an Agreement and is not an offer or invitation by the Authority to any parties other than the who are qualified to submit the bids i.e. System Integrator(S). The purpose of this EOI is to provide the System Integrator(S) with information to assist the formulation of their proposals.

This EOI is issued for inviting responses from prospective bidders to express their interest in implementation of PFRDA Technological Architecture (TARCH) Project. These requirements are subject to modification/addition/deletion and the final specifications will only be prescribed in the Request for Proposal (RFP).

This EOI does not claim to contain all the information each bidder may require. Each bidder should conduct its own investigations and analysis and should check the accuracy, reliability and completeness of the information in this EOI and wherever necessary obtain independent advice. The Authority makes no representation or warranty and shall incur no liability of any kind under any law, statute, rules or regulations as to the accuracy, reliability or completeness of this EOI. The Authority may in its absolute discretion, but without being under any obligation to do so, shall update, amend or supplement the information in this EOI, if deemed necessary at the sole decision of the Authority.

Definitions:

- a. "Authority" means Pension Fund Regulatory and Development Authority (PFRDA)
- b. "EOI" means Expression of Interest
- c. "TARCH" means Technology Architecture Project

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

SECTION I – IMPORTANT DATES AND TIMELINES

S.No	Description of Information / Requirement	Information / Requirement
1.	EOI Reference Number	PFRDA/2022-23/IT/01
2.	Project Name	Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project
3.	Date of Issue of EOI	T (Date of release of EOI)
4.	Website to download EOI	www.pfrda.org.in https://eprocure.gov.in/epublish/app
5.	Presentation on Project TARCH by PFRDA	21 April 2022 Details of venue and time shall be published on the PFRDA website
6.	Last date for receipt of queries, if any	25 April 2022
7.	Publishing of response to pre-bid queries on the Website	28 April 2022
8.	EOI Fee (Non-Refundable)	Rs. 25000/-
9.	Last date (deadline) for receipt of EOI Fee (Demand Draft) and EOI response	04 May 2022 up to 15:00 hours
10.	Place, Time and Date of opening of the proposals received in response to the EOI notice	04 May 2022 15:30 hours onwards Venue: Pension Fund Regulatory and Development Authority, B-14/A, Chatrapati Shivaji Bhawan, Qutab Institutional area, New Delhi-110016
11.	Announcement of Qualified Bidders on PFRDA Website	11 May 2022
12.	Date of Presentation by bidders	18 May 2022 Details of venue and time shall be published on the PFRDA website
13.	Primary Contact person for EOI	Sh. K.R. Daulath Ali Khan Email: daulath.khan@pfrda.org.in
14.	Contact Person (Alternate) for EOI	Sh. Vignesh C Email: vignesh.c@pfrda.org.in Sh. Balaji B Email: balaji.b@pfrda.org.in

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

15	Contact details of Chief General Manager (IT)	Shri K Mohan Gandhi <i>k.mohangandhi@pfrda.org.in</i>
16	Address for Communication / Submission of Bids	Pension Fund Regulatory and Development Authority, B-14/A, Chatrapati Shivaji Bhawan, Qutab Institutional area, New Delhi-110016 Ph: 011-26517501 /503

SECTION II – INTRODUCTION

About PFRDA

- 1.1. Pension Fund Regulatory and Development Authority is a statutory body, which operates within the legal framework of PFRDA Act, 2013, with an objective to promote old age income security by establishing, developing and regulating pension funds, to protect the interests of subscribers to schemes of pension funds and for matters connected therewith or incidental thereto.
- 1.2. The Pension Fund Regulatory and Development Authority Act (23 of 2013) (“the PFRDA Act/ the Act”) was passed on 19 September 2013 by the Parliament of India and the same was notified on 1 February 2014 in the Gazette of India. PFRDA is regulating the National Pension System (“NPS”), subscribed by the employees of Govt. of India, State Governments and by employees of private institutions/organizations & unorganized sectors. Later, 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. In its consistent endeavor to uphold the mandate given by the Government of India, PFRDA, has evolved standards of transparency and accountability over the period of time. It follows a consultative approach while framing regulations with active participation from all the stakeholders, adopted from best practices followed in the global regulatory spectrum and adheres to the principles of natural justice in all its enforcement actions.

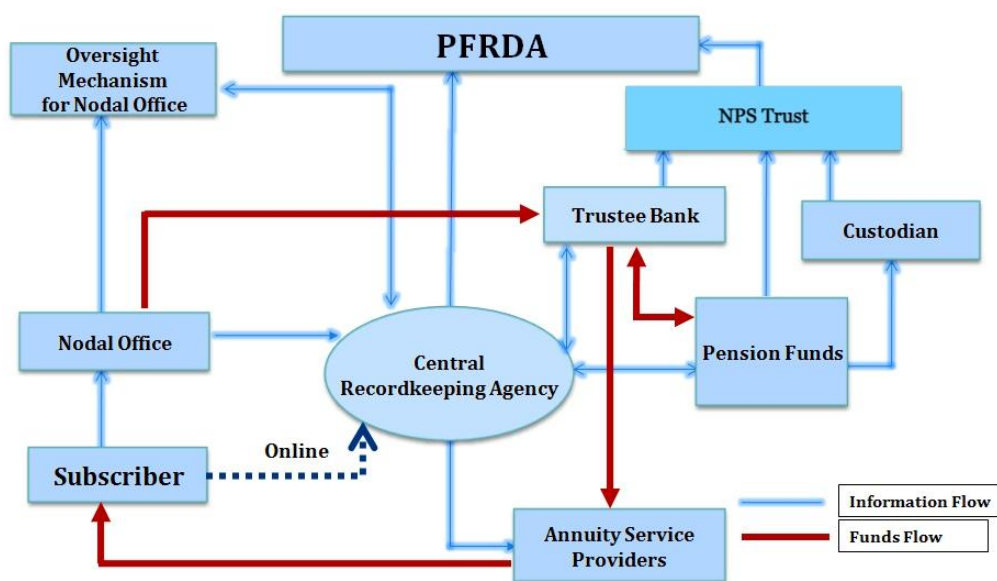
Among others, powers and functions of the PFRDA include:

- a. regulating the National Pension System and the pension schemes to which this Act applies;
- b. approving the schemes, the terms and conditions thereof and laying down norms for the management of the corpus of the pension funds, including investment guidelines under such schemes;
- c. registering and regulating intermediaries;
- d. issuing to an intermediary, on application, a certificate of registration and renewing, modifying, withdrawing, suspending or cancelling such registration;
- e. protecting the interests of subscribers by—
 - a. ensuring safety of the contribution of subscribers to various

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

- schemes of pension funds to which this Act applies;
- b. ensuring that the intermediation and other operational costs under the National Pension System are economical and reasonable;
- f. establishing mechanism for redressal of grievances of subscribers to be determined by regulations;
- g. promoting professional organizations connected with the pension system;
- h. adjudication of disputes between intermediaries and between intermediaries and subscribers;
- i. collecting data and requiring the intermediaries to collect such data and undertaking and commissioning studies, research and projects;
- j. undertaking steps for educating subscribers and the general public on issues relating to pension, retirement savings and related issues and training of intermediaries;
- k. standardizing dissemination of information about performance of pension funds and performance benchmarks;
- l. regulating the regulated assets;
- m. levying fees or other charges for carrying out the purposes of this Act;
- n. specifying by regulations the form and manner in which books of account shall be maintained and statement of accounts shall be rendered by intermediaries;
- o. calling for information from, undertaking inspection of, conducting inquiries and investigations including audit of, intermediaries and other entities or organizations connected with pension funds;
- p. exercising such other powers and functions as may be prescribed.

DIAGRAMMATIC REPRESENTATION OF PFRDA FUNCTIONAL SETUP



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

PFRDA is responsible for registration of various intermediaries in the system such as Central Record Keeping Agencies (CRAs), Pension Funds (PFs), Point of Presence (POPs), Custodian, Trustee Bank, etc. PFRDA has a significant role to play in safeguarding the interest of the subscribers. It regulates the manner in which each intermediary functions under the NPS architecture so as to ensure fair play for subscribers. It also ensures that all stakeholders/ intermediaries comply with the PFRDA Act/ Guidelines/ Regulations/ Circulars issued by PFRDA from time to time.

- **NATIONAL PENSION SYSTEM TRUST**

National Pension System Trust (NPST) is established by PFRDA 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. The powers, functions and duties of NPS Trust are laid down under the PFRDA (National Pension System Trust) Regulations 2015, besides the provisions of the Trust deed dated 27 February 2008. NPS Trust is the registered owner of all assets under the NPS architecture which is held for the benefit of the subscribers of the NPS. The securities are purchased by Pension Funds on behalf of, and in the name of the NPS Trust, however individual NPS subscriber remains the beneficial owner of the securities, assets and funds. NPS Trust, under the NPS Trust Regulations, is responsible for monitoring the operational and functional activities of NPS intermediaries' viz. Custodian, Pension Funds (PFs), Trustee Bank, Central Recordkeeping Agency(CRA)-activities related to exit and withdrawal and that of IRDAI registered Annuity Service Providers (empaneled with PFRDA) and also for providing directions/advisories to PF(s) and other intermediaries for protecting the interest of subscribers, ensuring compliance through audit by Independent Auditors, performance review of Pension Funds etc.

- **CENTRAL RECORDKEEPING AGENCY (CRA)**

It is an agency appointed by PFRDA to perform the functions of recordkeeping, accounting and administration for subscribers. The recordkeeping, accounting and administration functions for all subscribers of the National Pension System are centralized and performed by the CRA. The CRA is responsible for receiving instructions from Nodal Offices/PoPs and subscribers etc. through CRA web system, transmitting such instructions to the appointed Trustee Bank and Pension Fund to act accordingly. The CRA monitors subscriber contributions and instructions and transmits information to the Trustee Bank and relevant Pension Fund on a regular basis. The CRA provides periodic, consolidated PRAN

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

statements to each subscriber and has hosted the eNPS online platform on behalf of NPS Trust.

- **TRUSTEE BANK**

The Trustee Bank is appointed by PFRDA for providing banking services to the NPS architecture. The Trustee Bank receives funds from various nodal offices/PoPs, reconciles the funds received with the subscriber details provided by CRA, transfers funds to PFs and Annuity Service Providers (ASPs) based on instruction given by the CRA.

- **PENSION FUNDS (PF)**

(a) Pension Funds (PFs) are appointed/registered by PFRDA to manage the pension contributions of all subscribers under NPS through various schemes mandated by PFRDA. Subscribers have the option to select the PFs and allocate their contributions in one or more schemes of the PFs. The PFs are responsible for investment of NPS contributions in different asset classes. The terms and conditions of registration for PFs and their duties and functions are contained under Regulation 12 and 22 respectively of the PFRDA (Pension Fund) Regulations, 2015.

(b) On a broader perspective, PFs are required to undertake the investment management of the schemes and make investment management decisions within the scheme objectives as per the investment guidelines and instructions specified by PFRDA. PFs are required to optimize the return on the investments of the funds of the subscribers deployed by it and exercise all due diligence in carrying out its duties and in protecting the rights and interests of the subscribers.

- **CUSTODIAN**

Custodian of Securities means an entity which has been granted a certificate of registration under sub-section (3) of section 27 of the Act by the Authority as a Custodian of securities for the purpose of providing custodial and depository participant services for the pension schemes regulated by the Authority.

Pension Fund Regulatory and Development Authority (Custodian of Securities) Regulations, 2015 were notified on 14th May, 2015 and the Custodian of Securities has to abide by these regulations including any amendments thereunder.

Custodian undertakes activities as a Domestic Depository in terms of the Depositories Act, 1996 (22 of 1996) or as permitted by the Securities and Exchange Board of India;

- **POINT OF PRESENCE (POP)**

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

POP is the first point of interaction between the subscriber and the NPS architecture. Point of Presence (POP) performs the functions relating to registration of subscribers, undertaking Know Your Customer (KYC) verification, receiving contributions and instructions from subscribers and transmission of the same in the NPS architecture. PoP(s) and their authorized branches (PoP-SPs) are also required to comply with the provisions of the Prevention of Money Laundering (PML) Act, 2002 and the rules framed thereunder, as may be applicable from time to time.

Points of Presence have been appointed under PFRDA (Point of Presence) Regulations, 2018 or PFRDA (Point of Presence) Regulations, 2015 or PFRDA (Aggregator) Regulations, 2015 for performing any one or more of the following activities:

- i. National Pension System (NPS) – Distribution and servicing for public at large through physical as well as online platforms;
- ii. National Pension System (NPS) – Distribution and servicing for citizens at large through online platforms only;
- iii. National Pension System (NPS) – Distribution and servicing only for own employees and other personnel either through physical or online platforms;
- iv. NPS- Lite - Swavalamban scheme;
- v. Atal Pension Yojana;
- vi. Any other scheme regulated or administered by Authority.

STAKEHOLDERS OF NPS

Currently National Pension System (*not NPS Trust) involves a variety of stakeholders.

Approximate intermediary and user numbers are given in the table below.

Sr No	Intermediary stakeholders and	Approximate Number	Approximate no. of users
1	NPS Trust	1	3
2	Pension funds	10	30
3	CRA	3	9
4	Custodian	1	3
5	Trustee bank	1	3
6	Points of Presence	300	900
7	Annuity Service Providers	12	36
8	Retirement advisors	150	450
9	Government Nodal offices	5000	5000
10	Central autonomous bodies and State autonomous bodies	2200	2200

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

11	Department of Financial Services/ Ministries/Depts	Other	10	10
12	Other Stake holders/Researchers		500	500

ABOUT PFRDA CURRENT IT STATE

PFRDA's own assessment of current technology landscape revealed that most operations currently are manual in nature, and digitization is yet to be embraced by the Authority. In this regard PFRDA has decided to completely revamp its Technology Architecture (TARCH) which is envisioned to be a modular and API based platform.

CURRENT ARCHITECTURE, APPLICATIONS, PROCESSES AND CHALLENGES IN THE CURRENT SYSTEM

1. Channel Solutions:

- Currently, engagements with subscribers take place across three platforms, namely, websites or portals, social media channels, and call centers. There are multiple external parties and subscriber-facing websites that are built on different platforms.
- The pfrda.org.in website is developed using ASP.Net 4.0 and hosted on IIS servers.
- Another consumer-facing site, pensionsanchay.org.in is developed using java script and hosted on Apache web servers and hosted in NICSI Cloud.

2. Digital Enablement:

- eOffice, a software solution provided by NIC, has an eFile and Collaborative tool for Knowledge Management module that is used mainly for file management and Document Management.

3. Core Functions:

- The core functions of PFRDA include regulation, supervision, promotion, and development.
- Any Intermediary desirous to register with PFRDA in NPS Architecture shall do so by submission of required documents as required by PFRDA in order to satisfy the eligibility criteria to get registered as an Intermediary and post evaluation of these documents, PFRDA issues registration certificate to these entities.
- Further PFRDA supervises the registered entities through periodical reporting through standard reports/ prescribed regulatory reports.
- PFRDA also promotes the NPS and APY Schemes across the Country by engaging with various POP-SPs/APY-SPs.
- Currently, all core functions and activities are being done manually and are based mainly on spreadsheets and email. There is very limited use of technology solutions and applications in the functioning of core activities.

4. Support Functions:

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

- The support functions of PFRDA include HR, Payroll, finance, administration, legal, RTI, Parliamentary Questions Research and statistics and Internal Audit
- Currently, Tally is used by the finance section to maintain various accounts, and a majority of the activities being performed by the finance team are manual using excel spreadsheets and email.
- ERP solutions are currently not being used for support functions.
- All support functions and activities except for some part of Finance & Accounts, are being done manually and are based mainly on spreadsheets, physical forms and email. There is limited use of technology solutions and applications in the functioning of support activities.

5. IT Infrastructure:

- Currently, the NIC Data Center is being leveraged for hosting the websites – pfrda.org.in and pensionsanchay.org.in and eOffice.

6. Data and Analytics

- PFRDA receives the periodic reports on different periodicity including daily, monthly, quarterly, half yearly, yearly basis and adhoc reports from different registered intermediaries in the NPS as well as from External Entities. These reports are being submitted in XLS/Word/PDF formats through email/physical mode and are checked for its accuracy, compliance and validation. Some of the reports are being downloaded from CRA dashboard.
- Supervision departments of Intermediaries at PFRDA validate the submitted data, check for compliance & analyze these reports, note exceptions, seek explanations with the intermediaries and thus ensuring compliance through regular follow-up.
- Exceptions, if any are generated and submitted to the Senior Management for their direction and advice.
- This data is also being consolidated manually for MIS reporting to the Senior Management which requires substantial effort. Further ‘Trackers’ are being prepared for continuous follow up with intermediaries. These trackers become huge dependencies for users and at times multiple versions of trackers get accumulated leading to more wastage of time and less reliability of final information.
- Currently, PFRDA receives this data from various intermediaries/external entities using emails or physical files and a variety of different formats at different times. Some of the data are downloaded from dashboard of CRAs.
- PFRDA at present doesn’t store or have any digital access to the data of intermediaries.

Data primarily includes subscriber level data in possession of Central Record Keeping Agencies (CRAs) and Investment data with Pension Fund Managers.

SECTION III- BROAD SCOPE OF WORK

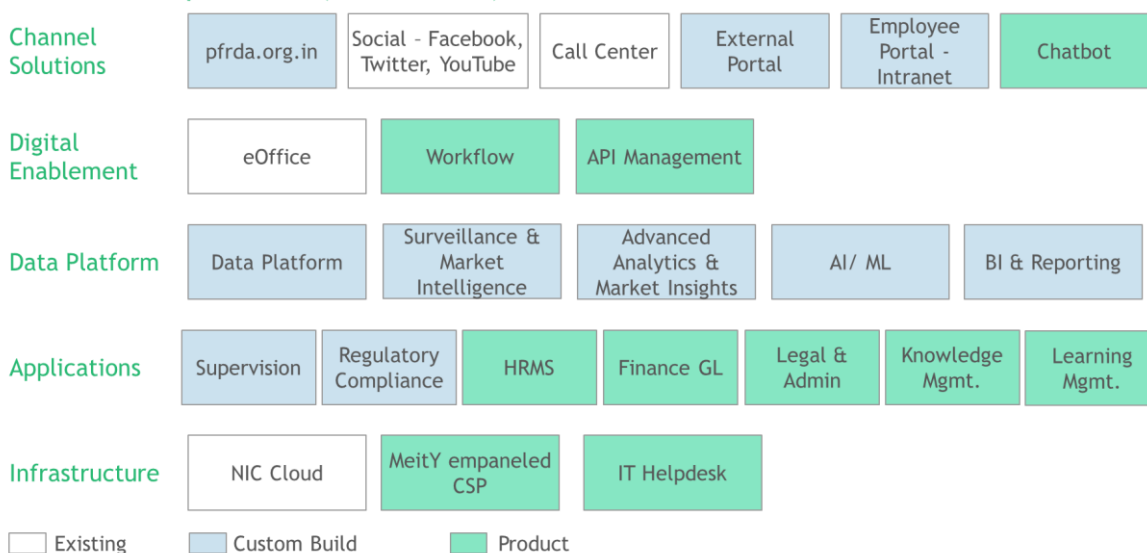
Technology is acting as a catalyst for change across multiple industries and enabling institutions and companies to better engage with their stakeholders and deliver a seamless and convenient service experience. It is also enabling innovation that is resulting in the creation of customized and nuanced products and offerings. Ergo, the right technology infrastructure and solutions can act as catalysts for the pension ecosystem in India and make it more robust and pervasive.

3.1 ENVISIONED FUTURE STATE

- To implement the above imperatives and holistically transform the technology landscape at PFRDA, the following target state architecture is envisioned.

Exhibit 1: Target state architecture for PFRDA

Architecture to be implemented using mix of custom developed solutions and commercial products (customized)



The Technology Architecture is envisioned with 4 modules comprising of:

A. SOW -1: Website Revamp

B. SOW -2: POISE: PFRDA Online Intermediary Supervision Engine - REGTECH and SUPTECH

C. SOW -3: PRISM: PFRDA Repository & Information Systems Management: Data and Analytics Platform

D. SOW -4: PINTRA: PFRDA INTRANET - Internal Digitalization

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

The successful SI in addition to providing Design, Development/Customization, Implementation, and Maintenance services for the outlined SOWs, they are solely responsible for the procurement of all the required suitable solutions including software licenses and sourcing of cloud services from CSPs.

SOW-1: WEBSITE REVAMP:

This category includes the implementation of a revamped PFRDA website along with a chatbot.

- a. The main website, i.e. *pfrda.org.in*, will need to be revamped and branded as the corporate website. The *pensionsanchay.org.in* shall be a part of sub-domain under PFRDA corporate website.
- b. PFRDA website is required to be Re-designed & Developed with Sub-domains, Microsites, Mobile app (Android and iOS) and further leverage it by using Standard Content Management System – CMS / Digital Experience Platform – DXP.
- c. The website should be responsive, browser agnostic, and bilingual, supporting both Hindi and English languages. Support of other Indian Languages is desirable.
- d. It needs to be redeveloped using latest technologies and build solutions to capture usage Analytics.
- e. Compliant to World Wide Web Consortium (W3C) and Web Content Accessibility Guidelines (WCAG).
- f. Compliant to Government of India Guidelines (GIGW) for website.
- g. **Load fast** – loading time through internet should be within 3 to 5 second during peak time.
- h. Website solution shall be designed to get Website Quality Certification issued by STQC Website Quality Certification Services.
- i. **SEO (Search engine optimization):** The site should be configured to support SEO best practices and should include the required metadata, output standards-compliant content, and automatically generate an XML site map.
- j. Website solution should take into consideration W3C Guidelines on Internationalization. The Website content and its design should be W3C XHTML and CSS compliant.
- k. There should be user-feedback mechanism with reporting and analytics to see web site stats, average time spent, most accessed pages, etc. Bidder should provide monthly MIS report with the above statistics along with hardware usage and performance indexes.
- l. Website and mobile app design should be compliant to Nielsen and Molich's 10 User Interface Design Guidelines.
- m. **Chatbot:** The corporate website should also contain a chatbot to address frequently asked questions by subscribers and intermediaries. It will need to be developed using suitable conversational analytics-related frameworks that can be embedded on the website.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

- I. The Chatbot should have the ability to interact with other systems in PFRDA ecosystem to retrieve information through API and provide it to the subscriber
 - II. The chatbot should have the ability to administer surveys based on conversational flows to understand the subscribers needs better.
 - III. The chatbot should be able to handle any subscriber related workflow, such as submission of complaints (or) any other online workflows enabled by PFRDA (e.g. may be online subscriber registration / updating any data or any such activity if it is part of the scope)
- n. The website should be scalable, interoperable, flexible to support and modular in nature, to allow easy customization. Website should fetch information/data from other modules like PRISM, PINTRA and POISE and publish for the benefit of stakeholders through dashboards.
 - o. CMS of the solutions shall be headless in nature. Micro service architecture to be used to deliver the same content across all channels.
 - p. The Website shall be open for integration through APIs or other mechanisms as per the requirement.
 - q. Other channels like social media channels and call center should continue in the target state as well.
 - r. The Website should be hosted and maintenance services to be provided by bidder.
 - s. Website should provide customized pension calculators NPS Prosperity Planner (NPP) for the benefit of Subscribers.

SOW-2: POISE: PFRDA ONLINE INTERMEDIARY SUPERVISION ENGINE - REGTECH AND SUPTECH:

PFRDA requires a solution for digitizing supervisory and regulatory compliance-related activities for intermediaries and non-intermediaries as well, through the intermediary portal in the frontend and supervisory and regulatory compliance-related applications in the backend.

Supervision:

It is imperative to create an application for performing compliance related data validations and checks related to the supervision of various intermediaries.

This will check for conformance with the relevant regulatory guidelines and also provide alerts and early warnings related to imminent deadlines and any delays in the submission of data required for supervision.

Regulatory Compliance: Application to validate compliance-related reports and information submitted by intermediaries. This will support fully digitized processes for compliance checks and leverage technologies like workflow management, OCR, and document management. It will also include workflows for various PFRDA departments to review and approve, reject or identify deviations in compliance-related information submitted by intermediaries and track them to closure.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

The module is to include the following:

- I. External portal with the ability for the intermediaries & selected other entities to self-register and/ or onboard themselves.
- II. The portal should be integrated with Payment gateway, SMS gateway and email gateway.
- III. Basic functionality for upload of monthly, quarterly, half-yearly, and annual supervision and regulation related reports by intermediaries
- IV. The ability for PFRDA teams to approve/reject/raise deviations on various submissions made by intermediaries to be integrated with PINTRA.
- V. Dashboards for intermediaries and PFRDA to check on adherence
- VI. Notifications and alerts for intermediaries and PFRDA departments
- VII. The portal to be integrated with PINTRA portal for the access of PFRDA users.

The Solution should address the following:

- a. PFRDA deals with multiple intermediaries, including NPST, CRAs, PoPs, PFMs, TB, Custodians, RAs, ASPs, and others.
- b. In order to enable seamless interactions with the intermediaries, the external-facing portal is to have a common and seamless interface for all intermediaries to submit compliance and regulation-related reports and information to PFRDA for offsite monitoring, surveillance, and compliance-related activities.
- c. The interface should provide a compliance dashboard for intermediaries and enable PFRDA to publish all communications to intermediaries.
- d. The same portal should also be extended to any non-intermediaries who are also required to submit information to PFRDA on a regular basis.
- e. Portal will provide an interface for PFRDA officers to approve, reject or raise deviations on the submissions made by the various stakeholders. This interface and functionality are to be integrated with PINTRA.
- f. The portal should have UI based capability to design new form and configurable workflows.
- g. The portal should be scalable, interoperable and flexible.
- h. The portal shall be open for integration through APIs or other mechanisms as and when the requirement arises.
- i. The monitoring system should have seamless integration with data and analytics platform.
- j. The portal has to be used to conduct onsite inspections where officers can identify and list all observations related to potential non-compliance and assign them to

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

intermediaries to provide clarifications. This portal will need to be custom developed for PFRDA.

- k. The portal should ensure seamless flow of data from report submission to the proposed Digital Compliance Monitoring System and generate reports/analytics reports in the format as required by the PFRDA. The reports must be generated automatically without manual interventions and manually after customization as per the requirement of the functional users of the PFRDA.
- l. The portal should be able combine a ‘rules-based’ approach – compliance where quantitative and qualitative restrictions are checked and reports are generated.
- m. The portal should provide an interface for the intermediaries in the PFRDA Architecture to report in an authenticated manner with maker/checker facility along with integration to Digital Signature Certificate technology.
- n. The portal should link seamlessly with data quality rules and masters for quality checks at the time of submission of data.
- o. To receive/track/follow up compliance reports to be submitted by intermediaries as per PFRDA regulations/guidelines/circulars etc., from the different intermediaries in the PFRDA architecture which can be validated, consolidated, and report the to PFRDA for necessary action.
- p. It is the responsibility of the SI Vendor to get the Applications hosted and maintained in the Cloud environment.

The sample workflow of one of the intermediaries (Trustee bank) illustrated below for ease of understanding.

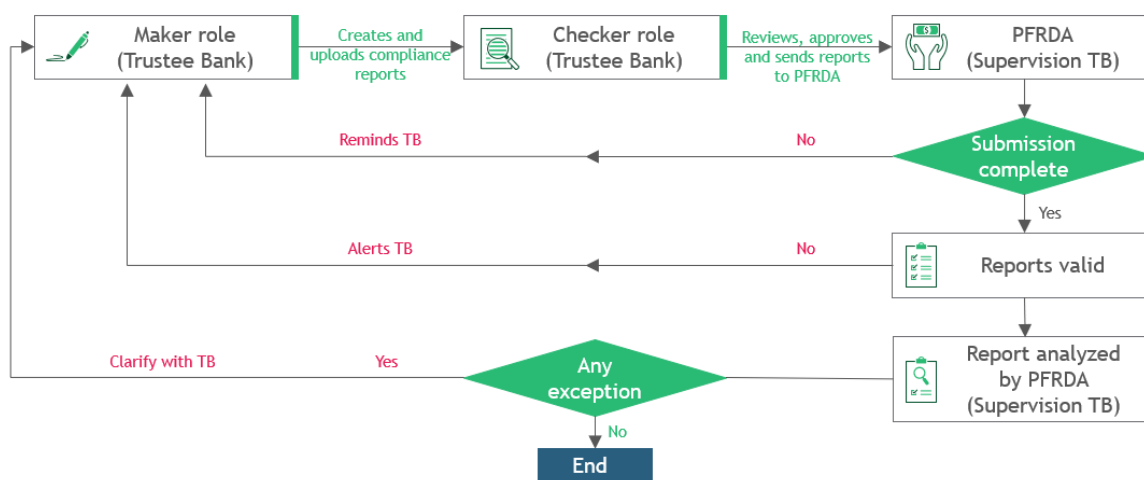


Exhibit: Sample workflow for compliance report submission by Trustee Bank to PFRDA

SOW-3: PRISM: PFRDA REPOSITORY & INFORMATION SYSTEMS MANAGEMENT - DATA AND ANALYTICS PLATFORM:

Data Platform: PFRDA requires a comprehensive data platform to be built to store aggregated and curated data received from various intermediaries and other internal applications of PFRDA. It should provide tools for running analytics and MIS reports for supervision, regulatory policy formation, and promotion and development-related activities.

The Data & Analytics module is to include the following:

- i. One-time data transfer from CRAs, PFs, NPST, TB, Custodian, POPs.
- ii. Daily incremental batch data transfer from CRAs, PFs, NPST, TB, Custodian, POPs.
- iii. Datawarehouse design and build for aggregating data of CRAs, PFs, NPST, TB, Custodian, POPs and enabling ad-hoc queries and reports.
- iv. Ingestion of external data, including market information such NITI Aayog, CSO, NSSO etc.
- v. Automation of standard-reports/exceptions for Surveillance and Market Insights
- vi. Automation of standard reports required for regulatory policy formulation and promotion and development related activities
- vii. Customised reports for various departments using dashboarding tools

The Data Strategy for PFRDA should address the following:

1. Data Ingestion:

- a. Data to be captured from intermediaries such as CRA, PFs, NPST, ASP & other intermediaries, stake holders . Initially using bulk load to capture historic data and subsequently in an incremental batch mode.
- b. Data from external sources required for promotion and development related analytics will also be sourced into the data platform.
- c. Data extracts as per PFRDA specified formats can also be generated by intermediaries and transferred to PFRDA.
- d. The raw data will be sourced from various intermediaries in a phased manner and stored in multiple zones in a data platform post-cleansing, transformation and aggregation as needed.

- 2. Surveillance and Market Intelligence:** Data platform will provide the opportunity to PFRDA departments to perform various analytics related to adherence to regulatory and compliance-related guidelines across intermediaries and also derive insights on the performance of various pension products and schemes across multiple parameters. This will help in identifying if any specific sectors are over-invested, leading to any concentration-related risks. Departments will be able to pull out periodic and ad-hoc reports on various regulatory submissions and typical exceptions they monitor on it.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

3. **Advanced Analytics and Market Insights:** Multiple advanced analytics tools will be integrated into the data platform to enable various advanced analytical use cases based on AI/ML for PFRDA departments.
4. **BI & Reporting:** Multiple MIS reports and standard reports required by various departments can be automated at the desired frequency and made available through the intranet portal or through emails. Various ad-hoc reporting requirements can be catered to using BI and reporting tools. Dashboarding tools will also be available for departments to generate their own insights based on the data points made available as per their requirements.
5. The data platform may be developed to support structured data.
6. **Dashboards** - Dashboard tools should provide various visualization capabilities with slicing and dicing of data for various standard and customized reporting requirements
7. **BI Reports** – BI reporting tools can be used to generate standard reports on top of curated data from data warehouse or data marts or directly from the landing zone depending on the business requirements
8. **Web/Mobile** – Standard reports or dashboards can be embedded into web portals or mobile applications for various PFRDA officers. These reports can also be accessed over Intranet depending on the roles of various officers.
9. The portal should be scalable, interoperable and flexible.
10. The portal shall be open for integration through APIs or other mechanisms as and when the requirement arises.

Data Governance – It will be required to ensure common data definitions and harmonize data views across data layers to ensure data discovery, consistency and integrity using tools for meta data management, data lineage, reference, and master data management. Data security will also be maintained by ensuring role-based access to business teams on both raw/ curated data and reports. Data quality tools will provide cleansed and standardized data for consumption in various layers

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

Proposed PRISM framework

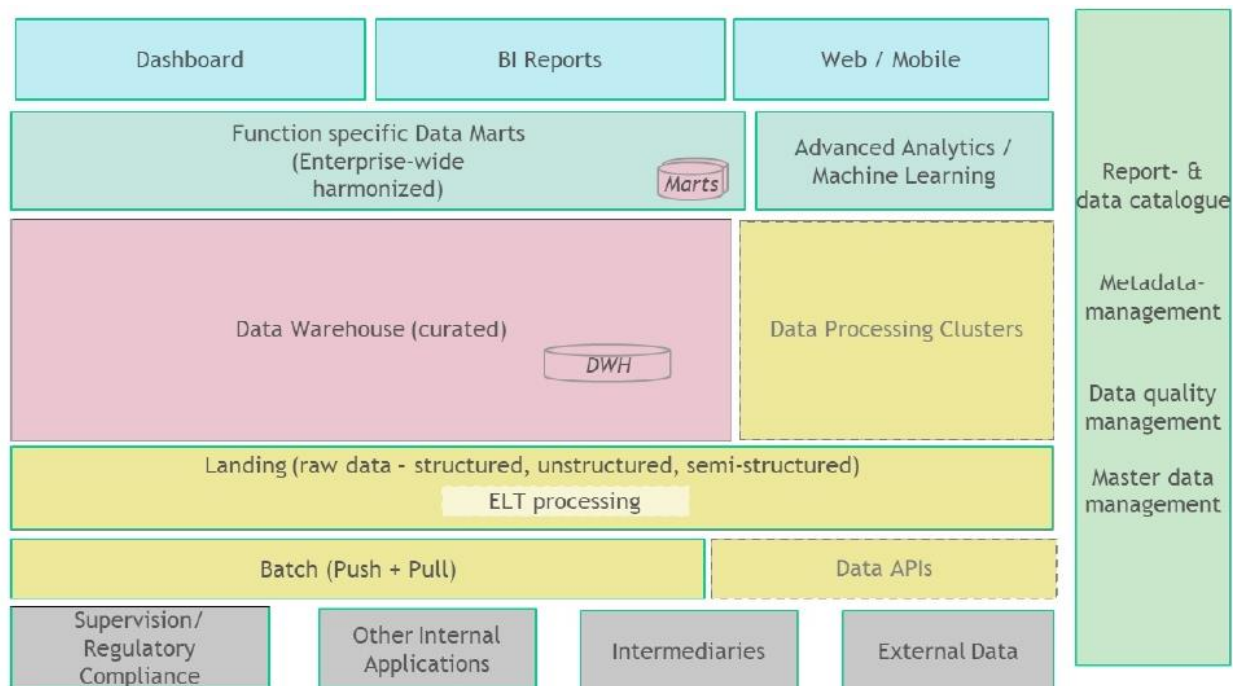


Exhibit: Reference Data Architecture for PFRDA

SOW-4: PINTRA: PFRDA INTRANET PORTAL - INTERNAL DIGITALIZATION:

PFRDA is looking to implement core HRMS, Finance, Admin, RTI, PQ, Audit, existing office solutions and Legal processes with customized cloud-based ERP solutions and digitally enabled smart office solutions. The SI vendor should provide effective ways to transform each office function through digital means.

HRMS - Cloud based Human Resource Management System

PFRDA intends to automate the HR processes across all its administrative offices with a state of art cloud based Human Resource Management System (HRMS). The key objectives of implementing a HRMS shall be:

- To provide employees a single point of online access to the current, complete, and accurate information related to the functions and HR services.
- To facilitate secure, instantaneous, and online payment options for the compensations, taxes and statutory benefits associated with the HR services.
- To reduce the administrative burden and to be a cost-effective service delivery channel for PFRDA.
- Help PFRDA in achieving its governance vision through digital transformation.
- Suggest ways to monitor the performance of officers through digital tools and augment their productivity in office and WFH environment.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

Core Finance – ERP system of Automation Finance Operations

- PFRDA believes that the acquisition of well-integrated financial solutions will pave the way for achieving growth and sustainability. Therefore, we plan to implement the automation of Procurement, Payables, Treasury, and Fixed Assets Management etc., to ensure accuracy and efficiency.
- Building customised calculators for the purpose of Finance department to pay certain benefits to the staff members of PFRDA.
- The existing data from Tally to be migrated to the ERP solution.

Admin:

- Internal application for digitizing processes related to admin department, including vendor contract management, visitor management, tracking of assets, inward and outward communication management, travel management, etc.

Legal

- It should also provide a database of various empanelled lawyers and various cases ongoing for PFRDA.

RTI and Parliamentary Questions

- Portal to upload RTI and PQ questions received and track the responses through a dashboard.

Internal Audit portal:

Internal Audit Management portal to include the functionalities

- Creating an audit universe
- Assessing the risk of the components of the audit universe
- Developing an audit schedule based on the risk assessment
- Scheduling audits for completion of the annual audit schedule
- Planning individual audits including audit staffing and timelines
- Managing audit resources in support of audit schedule completion
- Creating, managing and maintaining electronic working papers
- Reporting on the results of audits
- Follow-up and Tracking – The tracking of implementation of recommendations and agreed actions is done.
- A report on the progress is generated on a monthly basis and Quarterly basis.
- Resource and Workflow Management and Administrative Reporting – The tracking and management of these assignments and schedules is currently done manually using Microsoft Excel
- Supporting the creation, distribution, and collection of questionnaires and surveys

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

- Tracking corrective actions related to audit observations and supporting follow-up audit procedure

Ombudsman E-Appeal Module:

- Filing of appeals and processing and disposal of Complaints lodged with ombudsman.
- Generation of MIS for the appeals files with ombudsman.

Retirement Planner Management System

- Integration of this portal with PINTRA System

Intranet Portal -

- This portal should provide role-based access to various information like office orders and access to applications related to HR, finance, admin, IT and other solutions based on authorization levels as per the officer roles. It should also be integrated with backend applications for regulatory compliance and supervision.

Knowledge Management:

- Linked with intranet to manage internal policies, communications, circulars, other important documents, and information to be made accessible using role-based access controls to various PFRDA officers.

ITSM

- Activities performed by the IT department of PFRDA to be digitised and automated.
- The activities include: Asset Management and inventory tracking; IT Helpdesk and service request; IT vendor Management.

The module is to include the following:

Admin:

- Vendor Management including contact details; Inventory Management; Vehicle Bookings; Stationaries; Arrangements of meetings/ lunch/ travel ; Circular Management ; Visitor Management ; Letters/ Mail Management; Library Management etc.

Legal: Portal for advocates to upload submissions; Bill management of advocates; Data on empanelled advocates and number of cases with each advocate along with average time per case.

Other modules as specified above.

3.2 INFRASTRUCTURE:

- Data Center and Disaster Recovery Infrastructure.
- The Technology Architecture is to be hosted on the Cloud Platform. The Cloud platform service to be from MeitY empanelled Cloud Service Providers for

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

setting up primary and disaster recovery sites for PFRDA to leverage significant benefits associated with the cloud technologies.

3.3 OPERATION AND MAINTENANCE

The Service Provider is responsible for operations and maintenance services of Project TARCH.

The maintenance period for each SOW will be for 4 years after Go-Live + Warranty.

This maintenance window is outside the development and Warranty timeline.

1. Development and Implementation – Time to proposed by service provider as part of project plan
2. Training
3. Application Support
4. Service Monitoring
5. Incident Management Support
6. Backup/Restore Management Support
7. Configuration Management Support
8. Service Testing
9. Knowledge Management
10. Capacity Management
11. Availability Management
12. Storage Management

SECTION-IV-INSTRUCTIONS TO BIDDERS

PFRDA invites Expression of Interest (EOI) from established, reputed and reliable Solution Providers for “Design, Development/Customization, Implementation and Maintenance services for PFRDA **Technology Architecture Project (TARCH)** “ and having necessary capability, suitable capacity, state-of-the-art infrastructure and relevant experience to provide these services, as mentioned hereinabove. The proposals shall be submitted by the Bidders strictly in accordance with conditions and manner prescribed in this Expression of Interest (EOI) document.

4.1 AVAILING BID DOCUMENTS

EOI document can be downloaded from the web site <https://pfrda.org.in> or <https://www.eprocure.gov.in/epublish/app> up to the date and time mentioned in the EOI Notice

4.2 COMPLETENESS OF THE EOI RESPONSE

Bidders are advised to study all instructions, forms, terms, requirements and other information in the EOI documents carefully. Submission of bid shall be deemed to have been done after careful study and examination of the EOI document with full understanding of its implications and results. The response to this EOI should be full and complete in all respects. Failure to furnish all information required by the EOI document or submission of a proposal not substantially responsive to the EOI documents in every respect whatsoever, shall be at the bidder's risk and may result in rejection of their proposal, at the sole discretion of the Authority, without providing an opportunity to represent.

4.3 COST OF EOI

Each Bidder is bound to submit the **Cost of EOI document (INR 25,000 i.e., Rupees Twenty-five thousand only)** in the form of Demand Draft or Banker's Cheque of any scheduled/nationalized bank payable at New Delhi and drawn in favor of Pension Fund Regulatory and Development Authority along with bid document.

4.4 EOI VALIDITY PERIOD

The EOI validity period shall be 120 days from the date of opening of the EOI. In exceptional circumstances, the PFRDA may solicit the Bidder's consent for an extension of the period of EOI validity. Any such request by the PFRDA and the response thereto shall be made in writing and such extension of Bid validity period by the Bidder should be unconditional. A Bidder may refuse PFRDA's request for such extension. A Bidder accepting the request of PFRDA shall not be permitted to modify its Bid.

4.5 EOI PREPARATION COST

The Bidder shall be responsible for all costs incurred in connection with participation in this process, including, but not limited to, costs incurred in conduct of informative and

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

other diligence activities, participation in meetings/discussions/presentations, preparation of proposal, in providing any additional information required by PFRDA to facilitate the evaluation process. PFRDA shall in no case be responsible or liable for those costs, regardless of the conduct or outcome of the bidding process. All materials submitted by the Bidder shall become the exclusive property of the PFRDA for all times but may be returned to the Bidder at sole discretion of PFRDA.

4.6 SUBMISSION OF EOI QUERIES

A prospective Bidder requiring any clarification on the EoI Document may submit his queries, via email, to the following e-mail id on or before **25 April 2022**. Email Id for submission of queries: dept.infotech@pfrda.org.in with copy to k.mohangandhi@pfrda.org.in / daulath.khan@pfrda.org.in / vignesh.c@pfrda.org.in / balaji.b@pfrda.org.in / .

The queries must be submitted in the following format only:

Request for Clarification		
Name and Address of the Organization submitting request		Contact Details of the Organization / Authorized Representative
Name and Position of Person submitting request		
		Tel: Mobile: Fax: Email:
EOI Reference(s) (Section, Page)	Content of EOI requiring clarification	Points of clarification required

4.7 AMENDMENT OF EOI DOCUMENT

At any time before the deadline for submission of bids, the PFRDA, may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective bidder, modify the EOI Document by an amendment, which shall form an integral part of the original bid documents and shall override any contradicting effects in the original bid document. In order to afford prospective bidders reasonable time to take the amendment into account in preparing their bids, PFRDA may, at its discretion, extend the last date for the receipt of bids. The bidders are advised to visit the website (<https://pfrda.org.in> or <https://www.eprocure.gov.in/epublish/app>) on regular basis for checking necessary updates on the EOI document. PFRDA also reserves the rights to amend the dates mentioned in this EOI for bid process.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

4.8 PFRDA'S RIGHT TO TERMINATE THE PROCESS

PFRDA may terminate the EOI process at any time and without assigning any reason and without incurring any liability, in whole or in part, towards the affected Bidder or Bidders. PFRDA makes no commitments, express or implied, that this process shall result in a business transaction with anyone. This EOI does not constitute an offer or invitation to offer by PFRDA in whole or in part.

4.9 RIGHT TO ACCEPT OR REJECT ANY BID OR ALL BIDS

PFRDA reserves the absolute right to accept or reject any EOI offer/bid and annul the bidding process and reject all bids at any time prior to award of contract, without thereby incurring any liability to the affected Bidder or Bidders or any obligation to inform the affected Bidder or Bidders of the ground for PFRDA's action.

4.10 SEALING, MARKING AND SUBMISSION OF EOI

The EOI shall be put in a large envelope having two separate envelopes containing

- 1. Envelope-1:** EOI documents, Addenda & Corrigendum if any, duly filled EOI along with all necessary supporting documents and super scribed as "EOI Documents"
- 2. Envelope-2:** EOI Fee shall be super scribed as "EOI Fee" The large envelope / outer envelope containing above envelopes must be sealed and super scribed and shall be sent as under:

Details to be mentioned exactly on sealed envelop	
EoI Details	To
EoI for Design, Development/Customization, Implementation and Maintenance services of PFRDA Technology Architecture Project (TARCH)	Sh. K. Mohan Gandhi, Chief General Manager - IT, PFRDA, B-14/A, Chhatrapati Shivaji Bhavan, Qutab Institutional Area, New Delhi- 110016
Last date of Submission: On or before 04 May 2022 15:00 hrs	

The EOI in a sealed cover along with the cover letter and each page of the response duly signed by an authorized signatory and affixed with the company's seal must reach the following address on or before **04 May 2022 up to 15:00 hours**.

Sh. K. Mohan Gandhi,
Chief General Manager - IT,
PFRDA, B-14/A,
Chhatrapati Shivaji Bhavan,

**Design, Development/Customization, Implementation and Maintenance services for PFRDA
Technology Architecture (TARCH) Project
Qutab Institutional Area,
New Delhi- 110016**

PFRDA won't be responsible for postal delays in any event whatsoever.

PFRDA shall not accept submission of a proposal in any manner other than that specified in the EOI document. Proposals submitted in any other manner shall be treated as defective, invalid and outrightly rejected.

If the envelopes are not sealed and marked as instructed above, PFRDA assumes no responsibility for the misplacement or premature opening of the contents of the application and consequent losses, if any suffered by the Bidder.

Each Bidder shall submit only one EOI proposal containing documents as below. A bidder who submits more than one EOI under this contract will be disqualified

- a. Original copy of the EOI fee
- b. Eligibility Criteria related documents
- c. Technical Proposal related documents
- d. Addenda & Corrigendum
- e. The Bidder shall prepare original set of the Application (together with originals /copies of documents required to be submitted along therewith pursuant to this EOI document) and Bidder shall also provide a soft copy on a Compact Disc (CD) / Pen Drive / USB stick. In the event of any discrepancy between the original and CD/Pen Drive/USB stick, the original shall prevail.
- f. Each page of the above should be numbered and bear the initials of the Bidder along with the seal of the Bidder in token of confirmation of having understood the contents Pre-qualification and technical proposal should be signed by an authorized person of the bidder.

The pre-qualification proposal should be submitted along with a certified true copy of a board resolution/power of attorney empowering authorized signatory to sign/act/execute documents binding the bidder organization to the terms and conditions detailed in this proposal.

Proposals must be direct, concise, and complete. PFRDA will evaluate bidder's proposal based on its clarity and completeness of its response to the requirements of the project as outlined in this EOI.

PFRDA reserves the right to accept or reject any or all the proposals without assigning any reason.

4.11 LATE PROPOSAL FOR EOI

EOI not reaching on or before the specified time limit shall not be accepted, in any event whatsoever.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

4.12 LANGUAGE OF BIDS

The responses prepared by the Bidder and all correspondence and documents relating to the bids exchanged by the Bidder and PFRDA, shall be written in English language. Any printed literature furnished by the Bidder in another language shall be accompanied by an English translation, in which case, for purposes of interpretation of the bid, the English translation shall govern. If any supporting documents submitted are in any language other than English, translation of the same in English language shall be duly attested by the Bidder.

4.13 EOI SUBMISSION FORMAT

The entire proposal shall be strictly as per the format specified in this EOI. Bids with deviation from this format shall be liable for rejection.

4.14 ACCEPTANCE OF TERMS & CONDITIONS

The Bidder shall, by taking participation in the bidding process and submitting the bid documents, be deemed to have thoroughly read, studied and understood the bid documents including the scope of work, the terms and conditions, instructions, etc. referred there in and the same are acceptable to the bidder.

4.15 MINIMUM ELIGIBILITY CRITERIA:

The eligibility criteria have to be duly satisfied as on the date of submission of bid and not later.

S.NO	ELIGIBILITY CONDITIONS	DOCUMENTS TO BE SUBMITTED
1	Should be a Company registered under Indian Companies Act. The bidder (Service Provider) will be a single legal entity.	Certificate of Incorporation issued by Registrar of Companies along with Memorandum & Articles of Association and full address of the registered office.
2	The Bidder should be a profitable company for the last three financial years and must have an annual turnover of not less than INR 700 Crores for each of the last three financial years (Not inclusive of the turnover of associate / group companies)	Copy of the audited financial statements (for public companies) or Certificate to the effect from the firm's auditor for latest preceding three years.
3	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 the bidder on company letter head
4	The bidder should be certified	Copy of valid CMMI certificate of last 3

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

	<p>CMMI Level 5 AND</p> <p>Preferably certified</p> <ul style="list-style-type: none"> • ISO 9001 • ISO 27001 • ISO/IEC 20000 	<p>years and ISO Certificate (If applicable).</p> <p>Note: In case of bidders where the CMMI certification is under renewal, the bidders shall provide the details of the previous CMMI certification and the current assessment details for consideration in the EoI process.</p>
5	<p>The bidder shall have experience of having executed and completed similar SOWs/projects as terms below:</p> <p>a) 3 similar projects of Compliance monitoring including Regtech and Suptech in BFSI sector preferably in Government/ PSUs/ Regulators/ Autonomous bodies in India in 5 years</p> <p>b) 3 similar projects each in any two of the three SOWs (Website/ERP & Intranet/Data & Analytics Platform) in India in last 5 years.</p> <p>(Execution includes supply, customization / development, testing, training, implementation, maintenance of regtech and suptech platform development and maintenance, data & Analytics platform development & maintenance, website revamp & maintenance and ERP Implementation)</p>	<p>Copy of the order for the project executed.</p>
6	<p>Bidder should not be blacklisted / debarred by any Government Entity in India in the past 1 year as on the date of submission of ITB.</p>	<p>Self-declaration as per format in A on company letter head</p>
7	<p>The bidder shall be the OEM / Certified or authorized agent / reseller / partner for supply of licenses and solution implementation and maintenance support under warranty / AMC of the proposed solution. OEM proposed by bidder should have its development & support center in India. This should be full fledged establishment and not created for the submission of this ITB.</p>	<p>Letter of confirmation from OEM need to be submitted in case authorized partner of OEM.</p> <p>Self-undertaking in case of OEM.</p>

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

4.16 PROPOSED CONSORTIUM AND TEAMING AGREEMENT FOR RFP

Bidder is required to submit the teaming details for Consortium as per the below table

Total No of Consortium proposed	
Scope of the Lead Bidder	
Name of Consortium Partner 1	
Scope of the Consortium Partner 1	
Name of Consortium Partner 2	
Scope of the Consortium Partner 2	

Note:

1. Bidding parties/bidders may form a consortium and bid for the execution of this project. However, in this case, PFRDA will deal with only the primary bidding party/lead bidder as a single point of contact who shall have the sole responsibility for the entire project irrespective of the fact that it is only a part of the consortium.
2. Each Primary bidding party/bidder consortium shall name the Primary bidding party/bidder who shall have the single point responsibility for the consortium in their bid responses.
3. The qualified Bidders are only eligible to bid for the RFP.
4. The lead Bidder shall only be qualified bidder. The consortium partner may be from qualified bidders or any other parties.
5. The qualified Bidder cannot be a member of more than one bidding consortium.
6. An individual firm applying as a single/lead bidder cannot at the same time be the member of any other consortium.

4.17 GENERAL INSTRUCTIONS FOR SUBMISSION OF TECHNICAL PROPOSAL:

Bidders have to submit a structured and organized technical proposal, which will be analyzed by PFRDA with respect to requirements of the project. Each point listed below must be provided in detail with the necessary supporting documents and assumptions. Information to be included by the bidders in their Technical Proposal is as follows:

- Understanding of Project Scope – Bidders may also propose any additional scope which they deem necessary to achieve objectives set out for the project.
- Approach & Methodology for implementation & post-implementation period.
- Proposed solution(s) for each Scope of Work (SOW) as per the following format:

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

No.	SOW	Proposed Tech Stack/Solution	Licensing Requirements
1.	Website Revamp		
2.	POISE (PFRDA Online Intermediary Supervision Engine) - REGTECH and SUPTECH		
3.	PRISM (PFRDA Repository & Information Systems Management)- Data and Analytics Platform		
4.	PINTRA (PFRDA INTRANET)- Internal Digitalization		

- Proposed Team composition for completing the project-Scope of Work Wise
- High level project execution plan with proper Timelines
- Projected timeframe for implementation of each SOW including requirement gathering, design and development/Customization.
- Teaming details for Consortium
- Cloud Infrastructure requirements for setting DC, DR and Staging setup -Scope of Work Wise.
- Strategy to manage the proposed SLA requirements.
- Any other information as deemed necessary for completion of this project.

4.18 DOCUMENTS TO BE SUBMITTED

Following list is provided as the guideline for submitting various important documents along with the bid:

1. Cover Letter as per the format in Annexure-1;
2. Board Resolution / Power of Attorney executed by the bidder authorizing the signing authority to sign/execute the proposal as a binding document and also execute all relevant agreements forming part of EOI;
3. Check-list for the documents to be submitted in EoI response as per format specified in Annexure-2;
4. Bidders' Particulars as per format specified in Annexure-3;
5. Certificate of Registration/Certificate of Incorporation;

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

6. Copy of Audited Balance sheet for last three financial years;
7. Copy of the audited Profit & Loss Statements for last three financial years;
8. Certificate from the statutory auditor towards positive net worth and turnover of the company for last three financial years as per format specified in Annexure-5 :Financial capability certificate;
9. Copy of Work Orders/Work Completion Certificate & Self Declaration
10. Goods & Service Tax Registration and Income Tax Certificate
11. Declaration regarding blacklisting as per the given format in Annexure-5;
12. Details of past projects of the bidder as per format specified in Annexure-6;
13. Technical Proposal as per the instructions specified under 4.17
14. Signed & Stamped EOI document along with Addenda & Corrigendum if any
15. Any other document necessary for the bid proposal

Bidders shall furnish the required information on proposals in the enclosed formats only. Any deviations in format may make the EOI liable for rejection

4.19 EVALUATION PROCESS

The bidder must possess the technical know-how and the financial wherewithal that would be required to successfully provide the services sought by PFRDA. The Bidder's bid must be complete in all respect, conform to all the requirements, terms and conditions and specifications as stipulated in the EOI document. The evaluation process of the EOI proposed to be adopted by PFRDA is indicated under this clause. The purpose of this clause is only to provide the bidder an idea of the evaluation process that PFRDA may adopt. However, PFRDA reserves the right to modify the evaluation process at any time during the EOI Evaluation process, without assigning any reason, whatsoever, and without any requirement of intimating the bidder of any such change. PFRDA shall examine the bids to determine whether they are complete in response and whether the bid format conforms to the EOI requirements. PFRDA may waive any informality or nonconformity in a Bid which does not constitute a material deviation according to PFRDA, but the same shall not qualify as a universal waiver which may be claimed by the other Bidders.

4.20 EVALUATION OF BIDS

All the information provided the Bidder for complying with the eligibility criteria shall be evaluated. If required, PFRDA may invite bidders to make a presentation as part of the technical evaluation. The feedback received will be evaluated and may be considered for designing the RFP. PFRDA may require verbal/written clarifications from the bidders to clarify ambiguities and uncertainties arising out of the evaluation of the bid documents. Evaluation shall be done based on the information provided in the proposal (& subsequent clarification, if any) and Clarifications / Answers given during the Presentation by the bidders (if the presentations are held).

4.21 SELECTION CRITERIA FOR THE NEXT LEVEL

All bidders participating in EOI and satisfying the eligibility criteria specified in this Document shall be qualified for next stage.

All qualified Bidders will be invited to participate in the RFP. As per Clause-4.16, the lead bidder shall only be qualified bidder. The consortium partner may be from qualified bidders or any other parties.

4.22 PFRDA' RIGHTS TO ACCEPT/REJECT ANY OR ALL PROPOSALS

PFRDA reserves the right to accept or reject any proposal, and to annul the bidding process and reject all bids, without thereby incurring any liability to the affected bidder or bidders or any obligation to inform the affected bidder or bidders of the grounds for PFRDA' action.

4.23 NOTIFICATIONS OF CONSIDERATION FOR NEXT LEVEL

Prior to the expiration of the period of proposal validity, the bidder will be notified in writing or by fax or email that it has been considered for the RFP.

4.24 FAILURE TO AGREE WITH THE TERMS & CONDITIONS OF THE EOI

Failure of the bidder to agree with the Terms & Conditions of the EOI shall constitute sufficient grounds for the annulment of selection

4.25 DISPUTE RESOLUTION

In case any dispute or difference is raised against PFRDA by any Bidder/Bidder out of this EOI, the same shall be settled by way of arbitration, to be conducted under the provisions of the Arbitration and Conciliation Act, 1996, as amended, by sole Arbitrator to be appointed with the consent of PFRDA as well as the said Bidder/Bidder. The arbitration proceedings shall be conducted at New Delhi only.

ANNEXURE-1: EOI COVER LETTER

(To be submitted on Bidder's letterhead duly signed by Authorized signatory)

Date: DD/MM/YYYY

To

Sh. K. Mohan Gandhi,
Chief General Manager (IT),
Pension Fund Regulatory and Development Authority,
B-14/A, Chatrapati Shivaji Bhawan,
Qutub Institutional Area,
New Delhi-110 016 India

Sub: Selection of System Integrator for Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture Project (TARCH)

Dear Sir,

Having examined the EOI, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the professional services as required and outlined in the EOI for Design, Development/Customization, and Implementation and Maintenance services of **PFRDA Technology ARCHitecture Project (TARCH)**. We attach hereto our responses to pre-qualification requirements and technical proposals as required by the EOI.

We confirm that the information contained in these responses or any part thereof, including the exhibits, and other documents delivered or to be delivered to PFRDA, is true, accurate, verifiable and complete. This response includes all information necessary to ensure that the statements therein do not in whole or in part mislead PFRDA and the IT department in its short-listing process. We fully understand and agree to comply that on verification, if any of the information provided here is found to be misleading the selection process, we are liable to be dismissed from the selection process and appropriate legal action by PFRDA. We agree for unconditional acceptance of all the terms and conditions set out in the EOI document and also agree to abide by this EOI response. We agree that you are not bound to accept any EOI response you may receive. We also agree that you reserve the right in absolute sense to reject all or any of the products/ services specified in the EOI response.

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

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

Signature of Authorized Signatory (with official seal)

Name:

Designation:

Address:

Telephone & Fax:

E-mail address:

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

ANNEXURE-2: CHECK-LIST FOR THE DOCUMENTS TO BE SUBMITTED IN EOI RESPONSE

#	Documents to be submitted	Submitted (Y / N)	Documentary Proof (Page No.)
1	DD/Banker's Cheque of Rs. 25,000/- as EoI Fee (in separate envelope)		
2	EOI Covering Letter		
3	Power of attorney / board resolution to the authorized Signatory of the EOI		
4	Particulars of the Bidders (in the formats given subsequently)		
5	Copy of Certificate of Incorporation		
6	Copy of Audited Balance Sheet for last three financial years		
7	Copy of the audited Profit & Loss Statements for last three financial years		
8	Certificate from the statutory auditor towards positive net worth and turnover of the company for last three financial years as per format specified in Annexure-5 :Financial Capability Statement		
9	Details of the projects executed as per format specified in Annexure-6		
10	Declaration letter that the firm is not blacklisted by Central Government or any State Government organization / department in India at the time of submission of the Bid, in the format given in the EoI (Annexure 4)		
11	Copy of Sales Tax / VAT/GST registration		
12	Copy of the Income Tax Registration		
13	Technical Proposal covering all the required information, propositions		

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project
ANNEXURE-3: MANDATORY INFORMATION TO BE SUBMITTED ON THE LETTER HEAD OF THE BIDDER.

S.No.	Particulars	Details
1.	Registered Name of the entity/firm	
2.	Complete Address of Registered Office	
3.	Constitution (Proprietary / Partnerships / Private/Public etc.) Please enclose self-certified copy of certificate of incorporation	
4.	Date and Country of Incorporation	
5.	a. Permanent Account Number (PAN)	
	b. GST No.	
6.	Number of years of operations in India	
7.	Name & Designation of the contact person to whom all references shall be made regarding this ITB	
8.	Telephone No. (Cell # and Landline # with STD Code)	
9.	E-Mail of the contact person:	
10.	Brief description of the Entity/firm including details of its main lines of business along with the brief profile of the organization	
11.	Website	
12.	CMMI / ISO assessment level and date of assessment	
13.	Financial Details (as per audited Balance Sheets) (in Cr) for the latest three preceding years	
	Year	
	Net Worth	
	Turn over	
	PAT	
14.	Contact Details of officials for future correspondence regarding the bid process:	
	Details	Authorized Signatory Contact Person
	Name	

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

	Designation		
	Company Address		
	Phone		
	Mobile		
	Email		
	Fax		

Signature of Authorized Signatory (with official seal)

Name:

Designation:

Address:

Telephone & Fax:

E-mail address:

Design, Development/Customization, Implementation and Maintenance services for PFRDA Technology Architecture (TARCH) Project

ANNEXURE-4: FORMAT FOR DECLARATION BY THE BIDDER FOR NOT BEING BLACKLISTED / DEBARRED

(To be submitted on the letter head of the bidder)

Date: DD/MM/YYYY

Sh. K.Mohan Gandhi,
Chief General Manager (IT),
Pension Fund Regulatory and Development Authority (PFRDA),
B-14/A, Chatrapati Shivaji Bhawan, Qutab Institutional Area,
Katwaria Sarai, New Delhi- 110016.

Sub: Declaration for not being debarred / black-listed by Central / any State Government department in India as on the date of submission of the bid

We hereby declare that our entity/firm does not have any pecuniary liability or any claim/disciplinary/legal proceeding(s) pending against us/ our partners or any other cause which could hamper our ability to render the services as envisaged. We also declare that our entity/firm has not been banned /declared ineligible for corrupt and fraudulent practices by the Government of India / any State Government / PFRDA/ RBI / SEBI/ IRDAI or any other authority and does not have any disciplinary proceedings pending against it or any of its directors by PFRDA/ RBI/ SEBI/ IRDAI or any other authority. If the aforesaid representation /declaration or information is found to be incorrect, we agree that the PFRDA shall be entitled to terminate the Agreement, if executed, or initiate suitable action as deemed fit and appropriate by the PFRDA, without any liability to us. We or our affiliates have, during the past one year, neither failed to perform any agreement, as evidenced by imposition of a penalty by an arbitral award or a judicial pronouncement against us or our Affiliates, nor have been expelled from any project or agreement nor had any agreement terminated for breach by us or our affiliates.

Yours faithfully,

Signature of Authorized Signatory (with official seal)

Name:

Designation:

Address:

Telephone & Fax:

E-mail address:

**Design, Development/Customization, Implementation and Maintenance services for PFRDA
Technology Architecture (TARCH) Project**

ANNEXURE-5: FINANCIAL CAPABILITY STATEMENT

(On Statutory Auditor's letterhead)

Date: DD/MM/YYYY

Sh. K Mohan Gandhi,
Chief General Manager (IT),
Pension Fund Regulatory and Development Authority (PFRDA),
B-14/A, Chatrapati Shivaji Bhawan,
Qutab Institutional Area,
New Delhi- 110016

Dear Sir,

I hereby declare that I have scrutinized and audited the financial statement of
M/s_____.

The Net worth and the Turnover of the bidder for last three financial year as per audited
statement is as under:

Financial year	Net worth (INR Crore)	Turnover (INR Crore)

Signed and Sealed by Statutory Auditor

Name:

Designation:

Address:

Telephone & Fax:

E-mail address:

ANNEXURE-6: Format for providing details of past projects of the bidder

(On Bidder's Letter Head)

S.No	Particulars	Details
1	Name of the project	<Project Name>
2	Client Details	<Client Name & Complete Address> <Contact Person's Name> <Contact Number> <Email ID>
3	Scope of the project	<Provide short narrative description and details of the overall project scope>
4	Scope of the work done	<Provide details of scope of work under contract>; <highlight key result areas expected and achieved>
5	Duration of the project	<No. of Months & Years> <From: mm/yyyy> <To: mm/yyyy> <Current Status>
6	Month & year of go-live/completion	< Month & year of go-live/completion>
7	Total Cost of the Project	<Value of the contract>
8	Technologies used and Version of the solution implemented	

Note: Copy of the Work Orders/Completion certificates to be enclosed, including the projects completed by Consortium partners.

**Design, Development/Customization, Implementation and Maintenance services for PFRDA
Technology Architecture (TARCH) Project**

Signature of Authorized Signatory (with official seal)

Name:

Designation:

Address:

Telephone & Fax:

E-mail address: