

**Unique Identification Authority of India (UIDAI)  
Planning Commission, Government of India**

Reference Number: D-11016/11/2011-Tech



**REQUEST FOR QUALIFICATION (RFQ)  
“Hiring of Services for Implementation of GPRC Framework in  
UIDAI”**

**December 20, 2011**

**(Amended Version)**

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## 1. Request for Qualification

- (i) The Unique Identification Authority of India (UIDAI), Planning Commission, Government of India, invites Request for Qualification (RFQ) from reputed and experienced “IT and Information Security Audit Advisory and Implementation Agencies” for: “Designing, Implementing, Testing and Commissioning, Operating and Maintenance of Governance, Performance, Risk and Compliance Framework (hereinafter referred to as GPRC Framework)”. The selected Agency shall be referred to as Governance, Performance, Risk and Compliance – Service Provider (hereinafter referred to as GPRC-SP).
- (ii) UIDAI is looking at this engagement as a complete set of services provided as per the scope of work for the GPRC-SP. Response forms to be provided by the prospective respondents are provided in the Annexure. Details of pre-qualification criteria are available under “Para 5 - Details of Tender”. The contract period will be for five years from the date of award of contract which may be extended by a period of 2 years based on mutually acceptable terms.
- (iii) This document should not be construed as Tender / Request for Qualification (RFQ).
- (iv) Prospective respondents are advised to study the RFQ document carefully. Submission of RFQ shall be deemed to have been done after careful study and examination of the RFQ document with full understanding of its implications.
- (v) The RFQ document can be downloaded from the UIDAI website (<http://uidai.gov.in/>). The cost of RFQ document should be remitted in the form of a demand draft enclosed with response to RFQ document. The Bank Draft of amount Rs. 5,000/- (Rupees Five Thousand only) should be drawn in favor of “PAO, UIDAI, New Delhi” and payable at New Delhi. Please note that the RFQ response of a respondent shall be summarily rejected in case the cost of RFQ document is not paid by them as per the details mentioned above.
- (vi) Sealed RFQ response prepared in accordance with the procedures enumerated in RFQ document along with the Earnest Money Deposit (EMD) & cost of RFQ are required to be submitted to the UIDAI not later than the date and time laid down, at the address given in the “Clause 1.1 Schedule for Invitation” to RFQ.

(vii) This RFQ document is not transferable.

(viii) The RFQ should not be used by prospective respondents to market their Product or Services.

(ix) UIDAI reserves the right to qualify or disqualify any or all RFQ responses without assigning any reasons.

(x) UIDAI reserves the right to update, amend and supplement the information in RFQ document including qualification process at its discretion but before the date of submission of response to RFQ as per “Clause 1.1 Schedule for Invitation” to RFQ.

(xi) All terms and conditions used in this document are terms such as used in the respective functional area as it is expected across the world. No interpretation or construction of any term/ abbreviation shall be done to accrue advantage to the bidding entity. No typographical error shall be construed to the advantage of the bidding entity. The decision of UIDAI on any such issue shall be final and binding.

(xii) The contract shall be valid for a period of 5 years from the date of signing the contract/ issuance of the Letter of Award of Work

### 1.1 Schedule for Invitation to RFQ

S.No	Items of Information	Information
1	Name of the Purchaser	Unique Identification Authority of India (“UIDAI”), Planning Commission, Government of India
2	Addressee and Address at which RFQ Response to be submitted	Mr.RajanSaxena ADG Unique Identification Authority of India (UIDAI), Planning Commission, Govt. of India (GoI),

		2 <sup>nd</sup> Floor, Tower I, JeevanBharati Building, Connaught Circus, New Delhi – 110001
3	Latest time and date for submission of RFQ Response	30 <sup>th</sup> January 2012, 14:30 Hours IST
4	Place, Time and Date of opening of response to RFQ	Unique Identification Authority of India (UIDAI), Planning Commission, Govt. of India (GoI), 2 <sup>nd</sup> Floor, Tower I, JeevanBharati Building, Connaught Circus, New Delhi – 110001  30 <sup>th</sup> January 2012,15:00 Hours IST
5	Name of the contact person for any clarification	Mr. Rajan Saxena ADG Unique Identification Authority of India (UIDAI), Queries should be submitted via E-mail and followed by paper copy in post. <a href="mailto:gprc@uidai.gov.in">Email: gprc@uidai.gov.in</a>
6	Last date for admitting request for clarification.	9 <sup>th</sup> January 2012,17:00 Hours IST. UIDAI will issue the clarifications by 13 <sup>th</sup> January, 2012.
7	Date till which the RFQ response should be valid	180 calendar days from the date of opening of RFQ responses

## 2. Introduction

## **2.1 About the Unique Identification Authority of India**

The Unique Identification Authority of India (“UIDAI”) was established in February, 2009 as an office attached to the Planning Commission, Government of India. The purpose of the UIDAI is to issue a unique identification number (“UID”) to all Indian residents that is robust enough to eliminate duplicate identities, and which can be used to verify resident identity in subsequent encounters in an easy, cost effective way.

## **2.2 Concept and overview of Unique ID**

The Government of India (GoI) intends to provide a Unique Identification Number (“UID”) to every resident of India which will serve as a universal proof of identity allowing residents to establish their credentials anywhere in India. The Unique ID shall be assigned on the basis of uniqueness of a resident’s biometrics. At present, it is proposed to capture Fingerprints and Iris related biometrics of every resident and these are to be used for the dual purposes of:

- a. 1:N biometric identification and
- b. Biometric verification

## **2.3 The Central ID Data Repository**

To manage the issuance of UID and provide identity verification services, the UIDAI intends to create and manage a Central ID Data Repository (hereinafter referred to as “CIDR”), which will issue UID numbers, update resident information, and authenticate the identity of residents as required.

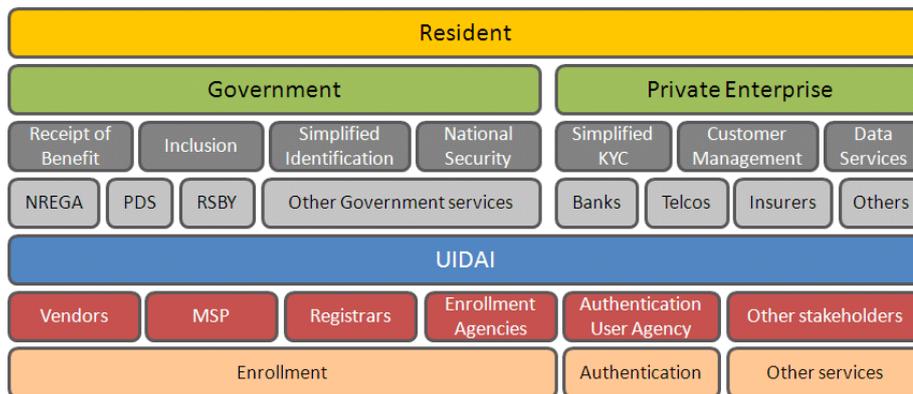
## **2.4 Approach to issuance of UID**

The UIDAI will start issuing Unique ID based on a partnership model. UIDAI will partner with Central and State Government departments and Public Sector agencies who will act as ‘Registrars’ for UIDAI. Registrars will process UID applications and the demographic and biographic data shall be captured and transmitted to the CIDR. Based on the data received, the CIDR shall perform de-duplication based on the resident’s biometrics and generate UID numbers.

## **2.5 UIDAI Service Delivery Framework**

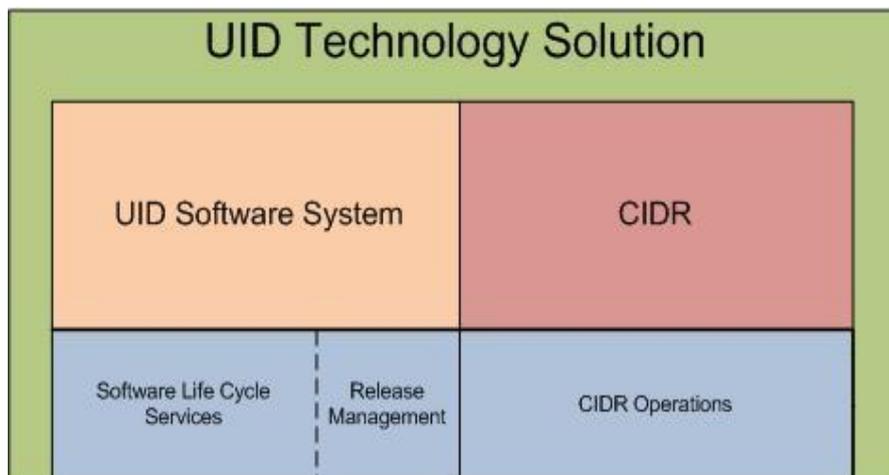
- (i) Serving the resident is the primary objective of the Aadhaar program. Both Government agencies as well as private sector will rely on the quality of services provided by Aadhaar to serve their customers in turn which are the Residents. From Resident’s perspective, the key goals and objectives of UIDAI are:

- a) Delivery of good quality services and
- b) Guaranteed service delivery.



**Figure 1: UIDAI Service Delivery Framework**

## 2.6 Structure of UID technology Solution



**Figure 2 : Overview of UID Technology Solution**

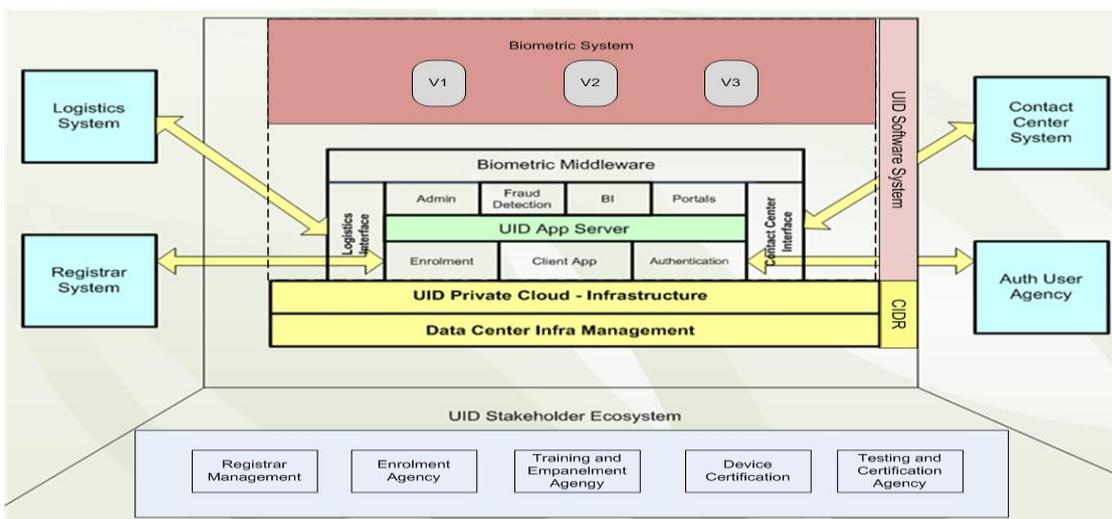
- (i) **The UID Technology Solution** encompasses all application software, system software, infrastructure (including IT systems, Private Cloud of Data Centres). It also encompasses all the processes required to architect, design, develop, release, deploy and manage the solution and manage the cloud & data centre operations.
- (ii) **The UID Software system** consists of the enrolment client application, enrolment and authentication server applications, and AADHAAR Unified portal, Business Intelligence Module, Fraud Detection Module and the entire supporting software platform.

- (iii) **TheCIDR** refers to the infrastructure including NOC, Cloud of Data Centres, Network, Servers and Storage, for production, staging and testing.
- (iv) **TheSoftware lifecycle services** refer to the entire lifecycle processes required to collect requirements, prototype, architect, design, develop, test and release various software components as part of the overall UID Software system
- (v) **TheRelease management** process ties the UID Software system and the CIDR through rigorous release and rollout of the software into various environments such as staging and production
- (vi) **TheCIDR operations** refer to the managed services required to operate the cloud of data centres and associated infrastructure (Network, Servers, Storage, Power, and HVAC).

## 2.7 System Component

Referring to

, there are mainly three parts,



**Figure 3 : UID System Overview**

- (i) UID Technology Solution (UID-TS) comprising
  - a) UID Software System
  - b) CIDR
- (ii) Partner Systems interacting with the UID-TS for such as

- a) Registrar System
- b) Contact Centre System
- c) Logistics System
- d) Authentication User Agencies

(iii) UID Stakeholder Ecosystem comprising

- a) Registrar Management
- b) Enrolment Agency Empanelment
- c) Training Agency Empanelment
- d) Device Certification
- e) Testing and Certification Agency

The software system has the following components

(i) Core UID Application consisting of

- a) Enrolment Application
- b) Authentication Application

(ii) Biometric System for de-duplication

(iii) Supporting Applications such as

- a) Administration
- b) Analytics and Reporting or Business Intelligence
- c) Fraud Management
- d) Portals for Partners and Public
- e) Customer Relationship Management (CRM) for Contact Centre Interface
- f) Logistics Interface Application

(iv) Other Applications such as

- a) Hosted Client /User/3rd party applications (e.g. PDS, NREGA, ...)
- b) Document Management

### **3. Project Overview**

The Director General, UIDAI is inviting RFQ response from eligible bidders (hereafter called as “Governance, Performance, Risk, Compliance – Service Provider (GPRC-SP)”) to provide GPRC Framework based Audit and Advisory services.

#### **The broad objectives of having GPRC-Service Provider are to ensure:**

- ▶ Framework for processes, policies, standards, administrative and management controls for information security and performance assurance are designed and maintained.
- ▶ The UID Technology Solution (UID-TS) provider’s operations and management control processes are adequate and functioning as intended.
- ▶ Administrative control of data and its confidentiality, security and privacy is with the UIDAI de-jure and de-facto.
- ▶ Risks related to UID-TS are appropriately identified, managed and reported to UIDAI.
- ▶ The UID-TS provider’s actions are in compliance with laid down policies, standards, procedures, and applicable laws and regulations.

### **4. Scope of Work**

Appropriate internal governance and management of risk and compliance is one of the key responsibilities of the GPRC-SP (Service Provider). UIDAI proposes to understand and categorize the information security and performance assurance under the “Aadhaar GPRC” framework (G-Governance, P-Performance, R-Risk and C-Compliance) which is defined and based on the core principles of compliance, comprehensiveness, pro-active risk assessment, security and accuracy. At the acceptance and monitoring stage, there is a greater need to check the compliance of standards and policies by various service providers in the UID ecosystem. It is also necessary to identify the specific areas of audit under each of the pillars of this framework.

#### **Key Objectives of GPRC-setup for UIDAI are:**

- Establishing and maintaining governance framework to design and implement information security policies, processes/procedures and standards for UIDAI technology setup for key identified service providers (UID-ISP).
- Defining performance audit charter, plan and checklists for reviewing service delivery assurance from all UID-ISPs.
- Ensuring that all information security risks related to UIDAI technology solution (including MSP, BSP, DCSP, ASDMSA, Contact Centre setup) are duly identified and appropriately managed and reported to UIDAI.

- Ensuring that UID-ISPs' operations are in compliance to laid down policies, standards, procedures, applicable laws and regulations.

### **Scope of Work:**

GPRC-SP's role is significant to UIDAI for establishing a framework where an independent entity provides Governance, Performance, Risk and Compliance (GPRC) services to ensure security and delivery assurance of UID-ISP and associated processes. The GPRC-SP will Govern framework for secure operating environment for UIDAI ecosystem, evaluate information security Risks, measure and report delivery Performance and drive Compliance to set security/performance framework of UIDAI.

GPRC framework based services includes all aspects of UID-ISPs related to governance, performance, risk and compliance framework of information security and operational service delivery. The framework can be understood under the following four tracks:

**Governance:** This track will encompass establishing of framework to Govern, measure, manage and validate the UID-TS related activities in the Aadhaar Ecosystem. In order to establish and maintain a comprehensive governance framework, the GPRC-SP's role would be to carry out governance audits. The Governance related audits/reviews could be 'periodic' as well as 'on demand' in nature.

Key deliverables related to programme management; security strategy, security policies, procurement processes, acceptance and release management will form the part of governance audits. The scope of work for 'governance' track would primarily consist of the following items:

- Establish and maintain information security framework (including policies, processes, standards and guidelines) for UID-ISPs in-line with ISO 27001, applicable laws and regulations
- Establish and maintain security standards, guidelines for UIDAI's ecosystem partners
- Establish and maintain audit framework (including audit charter, audit plan and checklists) for UID-ISPs
- Establish and maintain overall IT Disaster Recovery plan for UIDAI technology solution
- Provide ongoing information security and audit improvement advisory services to UIDAI

The detailed scope for Governance related audits is divided into three specific areas of audits:

#### **1. Contractual Assurance**

To ensure all the contracts signed by UIDAI with various technology services providers are strictly being adhered to, the auditor shall perform periodic assessment of the deliverables as mentioned in the contracts.

#### **i. Audit across all contracts**

- ▶ Administration of all existing and future contracts and review, where required, of sub-contractor and consortium member performance. This could include:
  - i. Monitoring of existing contracts to ensure:
    - a. Timely delivery
    - b. Completeness of delivery
  - ii. Monitoring Milestones
  - iii. Adherence to SLA and application of various associated contractual clauses
  - iv. Any exceptional situations requiring application of specific conditions of contract
  
- ▶ In terms of commercial management, the governance audit shall address:
  - i. Audit of deliverables and payment milestones as committed by various technology vendors
  - ii. Verification and Certification of bills of all technology vendors and service providers
  
- ▶ Assess efficacy of the vendor governance model to achieve consistent vendor performance as per contract requirements
  - i. Policies and standard operating procedures
  - ii. MIS / reports presented and shared with the UIDAI by the various technology solution providers
  - iii. Knowledge / information sharing between various entities
  
- ▶ Legal compliance for contact centre:
  - i. Compliance with DOT/ TRAI regulations for call centers
  - ii. Compliance with labour / employment / establishment laws at central /s state and municipal level
  
- ▶ Invoice verification & payouts for various contracts:
  - i. Validate billing based on SLAs reported from system reports
  - ii. Invoice validation in accordance with penalty / reward matrix as defined in the contract
  - iii. Fraud risk scenarios for billing / invoicing
  - iv. Validate input data used for billing from system reports from ACD etc.
  - v. Ensure compliance with reward / penalty matrix
  - vi. Vendor balance confirmation
  - vii. Month on Month payout variance analysis
  - viii. Budget vs actual analysis
  - ix. Debit / credit notes raised
  - x. Payment approval mechanism / SOD
  - xi. Check payouts as per books of accounts /GL and Bank book

## **ii. Technology and Architecture review**

The CIDR technology and architecture shall evolve continuously over time and the governance model shall provide for promotion of innovation, infusion of new technology and cost improvements in the CIDR. The key areas of audit will include:

- ▶ Audit of existing CIDR technology architecture
- ▶ Audit and evaluation of emerging needs and risks in terms of scalability, performance, changes in external technology landscape, changes in vendor ecosystem, etc.
- ▶ New additions that might happen to the CIDR functionality
- ▶ Technology refresh

## **iii. UID-ISP's Performance management**

The governance audit shall enable a framework to manage UID-ISP's performance. This would be at various levels. Some of the key outcomes of the performance management process shall be:

- ▶ Plan and monitor delivery performance on a periodic basis
- ▶ Alignment of the deliverables to the agreed upon requirements
- ▶ Review milestones, open issues, risks and action plans

## **iv. Data protection and information security**

Data protection and information security shall be one of the key considerations of the governance audits. The governance systems shall put in place processes to ensure the following:

- ▶ Audit and ensure that data is managed as per the contractual terms and conditions between the UID-ISPs and UIDAI.

## **v. Asset verification**

At the time of any procurement by the vendor/technology service provider on behalf of UIDAI the asset verification will be conducted at UIDAI by the auditor:

- ▶ Certification/acceptance of any new hardware/IT Infrastructure equipment and component deployment
- ▶ Verification of Bill of Material for acceptance of any new hardware/IT infrastructure component
- ▶ Asset audits covering all assets including hardware, software, network, backup data and all other assets procured by the vendor/technology service provider

## **vi. Audit of cost optimization and TCO management by MSP**

Continuous improvement to UID Technology Solution costs and management of the Total Cost of Ownership ("TCO") will be one of the key responsibilities of the MSP. Audit needs to be conducted to ensure MSP meets and reports the objectives on time.

- ▶ Optimization of Data centre operations
- ▶ Automation of data centre operations
- ▶ Process optimization and Cell optimization

**vii. Biometric solution related audit**

- ▶ Incentive Model and its implications on Enrollment centers (Yearly)
- ▶ Verification of inter-operability of templates from SDK
- ▶ Verification of platform independence/availability of SDK
- ▶ Verification of performance and robustness of SDK and enrollment/verification clients

**viii. Governance work-stream for contact centre**

- ▶ Review of contact center model for alignment with contact center vision and strategy This shall cover the following aspects of the contract/ relationship:
  - i. Best fit contact center model – FTE, Login hour or pay per minute model as per requirements of the organization. Also whether “Gain share” is being shared with UID over the contract period
  - ii. Appropriateness of KPIs monitored
  - iii. Base lining of Critical (CSL) and expected services levels (ESL) for KPIs
  - iv. Rewards and penalties
  - v. Reporting requirements
  - vi. Manpower planning and utilization; Manpower ratios – Agent to TL , TL to Manager ratios
  - vii. Recruitment & training
  - viii. Business continuity and Change management

**2. Certification**

The GPRC-SP shall help UIDAI in obtaining the following certifications. This would mean:

- i. Handholding UIDAI to comply by the requirements of respective certification
- ii. Review the requirements periodically and audit the same to provide detailed gap analysis reports
- iii. Certify readiness of UIDAI to go for respective certifications
- iv. Support UIDAI through the process of certification

**Scope**

- i. Auditor will perform an audit and certify the functionality of the following and provide certifications:
  - a. Data Centre: Green Data Centre
  - b. Business Continuity Planning: BS 25999
  - c. Data Centre and Infrastructure Security: ISO 270001

- d. Software Development: CMMi level for Software
- e. Data Centre: TIA 942

### **3. On demand services**

On-demand services are services which are required by UIDAI and the scope of the same shall be finalized in consultation with the MSP as and when demand of the service arises. The GPRC-SP needs to audit the delivery of such services. These services may be classified as:

- a) Fixed price services or
- b) Services based on Time and Material

**Performance:** Performance is driven by economy, efficiency and effectiveness of operations and hence the core objective of performance audits is to ensure the security and health of the UID-TS system which comprises of CIDR, Software Application, Physical Infrastructure, Hardware and Network through periodic reports indicating the compliance, utilization, scalability requirements as per the current and envisaged operations. The scope of work for 'performance' track would primarily consist of the following items:

- Conduct 'pre' and 'post' acceptance phase audits for any new solution implemented by UID-ISPs
- Review open issues, service delivery risks and action plans on a regular basis
- Review and publish information security metrics for UID-ISPs
- Coordinate and drive information security self-assessments for UIDAI ecosystem partners
- Conduct onsite assessments for information security audits of UID-ISPs operations inline with UIDAI security framework
- Conduct onsite assessments for technology audits of UID-ISPs inline with COBIT controls especially focussing on following areas:
  - Capacity Planning
  - Change Management
  - Cost Optimization
  - TCO Management
  - Business and Technical specification alignment for key applications
  - Routine Operational Procedures

The core components that will undergo performance audits are listed under the following structure:

1. Data Centre
  - a. Physical Infrastructure
  - b. Energy Assessment
2. Security
  - a. Security Assessment –Application
  - b. Security Assessment –IT Infrastructure
3. Network
  - a. Network Assessment – LAN Infrastructure
  - b. Network Assessment – WAN Infrastructure
4. Service delivery work stream for contact centre
5. Biometric Solutions

6. Special performance related audits
  - i. Network security assessment
  - ii. Security assessment of authentication architecture
  - iii. Performance related process audit for complying to security guidelines as defined by UIDAI for the following entities:
    - a. Registrars
    - b. Enrolment agencies: 3 Enrollment centers (not to be read as enrollment stations) per Registrar per Quarter across the country. GPRC-SP will be required to provide the complete Methodology for conducting these audits and would conduct field visits as per the requirement. The costs related to travel will be borne by the GPRC-SP
    - c. Logistics Service Providers

UIDAI will require GPRC-SP to conduct some performance related audits on periodic basis to check the routine performance of the technology solutions provided by the MSP

- ▶ Social Engineering & Security Awareness Review (Half-Yearly)
- ▶ Network Architecture Review (Yearly)
- ▶ Monitoring of SOC and NOC (Quarterly or as per SLA)

**Risk:** UIDAI intends to ensure timely UID-TS related risk assessments and integration of risk information into planning, reporting and resource allocation. This will facilitate comprehensive and timely decision making and would involve the following set of activities, i.e, identify, measure, analyse, monitor and report the potential risks related to UID-TS of their operations, thereby identifying opportunities for system and process improvements that can be performed in advance of actual audit. The scope of work for 'risk' track would primarily consist of the following items:

- Conduct risk assessment on critical assets for UID-ISPs
- Ensure appropriate risk treatment on critical assets for UID-ISPs
- Conduct vulnerability assessment and penetration testing for key infrastructure of UID-ISPs
- Implement and manage executive risk dashboard for publishing and tracking key risks to UID-ISP infrastructure
- Conduct application security reviews for key application components within UID-ISP environment
- Conduct network security architecture assessments on a regular basis and publish recommendation reports to UIDAI

- Setup and manage Security Incident Management Centre (SIMC) for UIDAI to meet following objectives:
  - Setup and manage SIMC core infrastructure such as event collection and correlation platform
  - Setup and manage SIMC support infrastructure (with high-availability model) such as but not limited to authentication systems, network security systems, backup systems, reporting systems, workstations etc.
  - Setup and manage computer forensics laboratory for investigating security incidents and cyber frauds with a minimum of following toolkits
    - Disk Imaging Toolkit
    - Data Extraction Toolkit
    - Data Analysis Toolkit
    - Evidence Handling Toolkit
    - Computer Forensic Case Handling Toolkit
  - Devise and maintain SIMC processes and procedures for optimal and secure operations
  - Provide information on risk intelligence, applicable vulnerabilities and zero-day exploit updates; and react accordingly
  - Provide real-time dashboard for SIMC activities and overall security status therein
  - Liaise with identified government agencies for handling security incidents

Though UIDAI shall require GPRC-SP to perform periodic, proactive and comprehensive audits under Risk Management & Assessment and Performance Audits, which may identify most of the imminent risks and vulnerabilities, there may be instances when UID-TS is exposed to events which lead to failure of services of UID-TS. UIDAI shall initiate an on demand audit as and when UID-TS services are compromised. The following is an indicative list of events which may cause services of UID-TS to be disrupted or compromised and trigger a Risk Audit.

- Unavailability of Enrolment Service
- Unavailability of Authentication Service
- Unavailability of Applications, Portals, EMS, BMS etc
- Denial of Service Attack
- SQL Injection Attack
- Issuance of duplicate-ids
- Loss of enrolment data
- Failure due to a disaster
- Failure in disaster recovery and business continuity plan

The audits under risk shall be on-demand audits triggered by UIDAI on need basis.

- i. GPRC-SP shall on a short notice mobilize the team for event triggered audits.
- ii. GPRC-SP shall begin the audit only after written instruction and information is been given UIDAI about an occurrence of event which lead to disruption in services.
- iii. GPRC-SP shall identify all the components which caused the failure or disrupting their dependency on other components.
- iv. GPRC-SP shall identify the root cause for the failure or disruption in service, clearing highlighting all the possible causes and their impact.
- v. GPRC-SP shall do an impact assessment of the event quantifying the loss to the UIDAI.

**Compliance:**

UIDAI has set the standards and policies to be able to set the expectation from the technology service providers in the Aadhaar ecosystem. Audits under compliance framework shall not only verify and validate the compliance to stated and agreed upon functional and technical requirements of products, tools, software and hardware but also measure and validate the service levels reported by various service providers. The audits under compliance shall be of two types.

- 1) Requirements Compliance
- 2) SLA Monitoring Audit and Compliance

Compliance is SLA driven, however, UIDAI intends to be ensured on the validation of output delivered by the technology service providers is SLA driven. Hence, the basic nature of audits under this category focuses on the SLA monitoring, Performance Metrics, Security Metrics, Legal compliance to select laws, compliance to security best practices. The scope of work for 'compliance' track would primarily consist of the following items:

- Review critical/high impact IT changes for compliance with Information Security framework of UIDAI
- Design and drive implementation of information security metrics for UID-ISPs
- Implement and manage information security compliance dashboard for UID-ISP and other ecosystem partners
- Drive, coordinate and maintain compliance to ISO 27001 standard for UID-ISP infrastructure
- Drive, coordinate and maintain compliance to PCI-DSS standard for UID-ISP infrastructure

- Drive, coordinate and maintain compliance to TIA-942 standard for UIDAI data centres
- Drive, coordinate and maintain compliance to BS 25999 for UIDAI technology setup
- Review and report SLAs for UID-ISPs
- Conduct audits and publish reports for correctness and completeness of contractual deliverables from UID-ISPs
- Review invoicing and billing from UID-ISPs
- Coordinate and drive compliance for periodic DR testing of DR plans for UID-ISPs

## **5. Details of Tender**

### **5.1 Tender Methodology**

The tender methodology proposed to be adopted will be in two stages, comprising of Request for Qualification in the first stage. The second stage of tendering process will comprise of inviting techno-commercial bids by issuance of Request for Proposal (RFP) to RFQ respondents, shortlisted on the basis of pre-qualification criteria mentioned under “Clause 5.3 Pre-Qualification Criteria”. The RFQ process also envisages conducting of presentations and sharing the required technical expertise and experience with UIDAI.

### **5.2 Earnest Money Deposit (EMD)**

An EMD of Rs. 4,00,00,000 (Rupees Four Crores only), in the form of a bank guarantee issued by a Nationalized / Scheduled Bank and valid for 60 days beyond the validity period of the RFQ, in the pro-forma provided as Annexure-III (EMD Form), should be submitted along with the RFQ response. The EMD of the unsuccessful respondents would be returned within one month of issuing of RFP to successful respondents. In the case of successful respondents however, the bank guarantee would remain in force till RFP evaluation process is complete. Accordingly, the successful respondents may have to extend the EMD, if required, till such time.

### **5.3 Pre-Qualification Criteria**

The RFQ response envelopes of only those Respondents, whose EMD and RFQ document fees are in order, shall be opened. The RFQ response bids will then be evaluated and shortlisted on the basis of prequalification criteria. The bidders should clearly indicate, giving explicit documentary evidence with respect to each criterion, in absence of which, the response would be rejected summarily at the pre-qualification stage.

#### **5.3.1 GPRC-SP means Governance, Performance, Risk and Compliance – Service Provider**

5.3.2 GRPC work means providing evaluation, assurance and advisory services relating to establishing and maintaining an adequate, effective and efficient Governance, Performance, Risk and Compliance framework, which includes but is not limited to work of designing, implementing, testing and commissioning, operating of governance, performance, risk and compliance framework.

The Bidding entity shall be a Company registered under the Indian Companies Act, 1956, having a registered office In India.

The Bidding entity shall be referred to as 'Bidder'. The selected agency shall be referred to as 'GPRC-SP'.

**The respondents will be pre-qualified on the basis of following prequalification criteria:**

For the purpose herein below, if the contract value is in any other currency (other than INR), then the converted value in INR has to be given and the conversion rate as on date of signing/ issue of document shall be used.

Sr. No.	Description	Proof Required
1	The Bidder must be a reputed and experienced entity registered under the Indian Companies Act, 1956, operating in the field of "GPRC Framework based Audit, Advisory and IT Audit Services" having a registered office in India for the last 5 years	Certificate of Registration in India
2	The Bidder must have an average annual turnover of minimum Rs. 150Crores during the last 3 financial years ending 31st March, 2011. In case of a holding company the turnover of its subsidiaries would be considered.	Audited Balance Sheet/P&L accounts for the last three financial years, 2008-09, 2009-10, and 2010-11 to be provided which clearly shows the turnover
3	The Bidder must have an annual turnover of minimum Rs. 50Crores each year during the last 3 financial years ending 31st March, 2011 from	Certificate from the statutory Company Auditors/ Company Secretary/ functional Director on turnover from <i>work as</i>

Sr. No.	Description	Proof Required
	work as defined in Para 5.3.2.	<i>defined in Para 5.3.2.</i>
4	<p>The Bidder must have successfully implemented at least <b>three</b> works of a similar nature (work as defined in Para 5.3.2) with a contract value of at least Rs. 5 Crore each, during the preceding 3 years out of which</p> <p>a) at least one of the project done using GPRC framework should be in the Government Sector in any country across the world.</p> <p><i>(Projects executed only outside the Bidder's own company, group of companies shall be considered for evaluation)</i></p>	Completion Certificate from the client which is duly signed by the representative of the purchased organization who is competent and authorized to sign the contract document.
5	The Bidder must have at least 100 full time technically qualified personnel on its rolls in the area of "GPRC Based Audit, Advisory and Third Party IT Audit", specifically in the areas of IT and Information Security Governance, IT Performance, Information Security Risk & Compliance, IT/InfoSec Audit, Data Centre audit, IT Infrastructure SLA audit & Monitoring, IT security, etc. as on March 31, 2011.	Certificate from the Company Auditors/ Company Secretary/ functional Director on number of full time technically qualified personnel on its rolls in the area of "GPRC Framework based Audit, Advisory and Third Party IT Audit"
6	<p>The Bidder must have at least 20 professionals having valid and relevant professional certifications (CISA, CISSP, CEH, CISM, ISO 27001, GCFA, PCI QSA, ITIL etc.) in India.</p> <p><i>Please give the break-up of the number of professionals with each of the qualifications cited above</i></p>	Certificate from the Company Auditors/ Company Secretary/ functional Director on number of professionals having valid and relevant professional certifications (CISA / CISSP / CISM / PCI QSA/ ISO 27001/GCFA / ITIL

Sr. No.	Description	Proof Required
		etc.) in India
7	The Bidder should not have been blacklisted by any Central / State government departments or PSUs for corrupt or fraudulent practices or for quality of services rendered.	Letter from the functional head stating that the company has not been blacklisted by Central/ State Government Departments or PSUs for corrupt or fraudulent practices or for quality of services rendered.
8	The Bidder shall respond to all the questions mentioned in the Annexure IV of this RFQ.	Responses.

#### 5.4 Evaluation of RFQ Responses

- (i) The evaluation of RFQ Responses and short listing of respondents shall be paper-based and on the basis of technical presentations to UIDAI
- (ii) UIDAI can at its sole discretion short list or reject any of the RFQ responses without assigning any reason whatsoever.
- (iii) For documents to be submitted for pre-qualification, refer to “Para 6,Annexure“and “Para 5.3 Pre-Qualification Criteria”.
- (iv) All the 7 points enumerated in the Pre-Qualification criteria hereinabove are mandatory. Failure to meet even one of the above shall result into disqualification of the bidder.

## **5.5 Submission of RFQ Responses**

The respondents are expected to submit the RFQ responses, before due date and time, covering all the required information in the Proformas wherever provided. Incomplete or late RFQ Responses are liable to be outrightly rejected.

The RFQ responses should be submitted in a sealed envelope super scribing "RFQ Response for selection of GPRC-SP" and the envelope should contain the following:

- (i) Two (2) hard copies of the RFQ Responses,
- (ii) Demand Draft towards RFQ Document Fee ,
- (iii) The EMD of requisite amount as stated under point 5.2.
- (iv) Two (2) soft copies in separate non-rewriteable CD-ROMs in MS Excel/Word format or any unlocked format

The Respondents must ensure that the documents/information furnished by them in the respective non-rewriteable CD-ROMs is identical to that submitted in the original paper RFQ Response document. In case of any discrepancy observed by the UIDAI in the contents of the non-rewriteable CD-ROMs and the original paper RFQ Response document, the documents/information furnished with original paper RFQ Response document shall prevail over the soft copy.

## 6. Annexure

### **ANNEXURE I: PRE-QUAL FORM-1: PRE-QUALIFICATION PROPOSAL SUBMISSION FORM** **(ON COMPANY LETTER HEAD)**

To: Mr. B.B. Nanawati  
Deputy Director General (DDG),  
Address: Unique Identification Authority of India (UIDAI),  
Planning Commission, Govt. of India (GoI),  
3rd Floor, Tower II, JeevanBharati Building,  
Connaught Circus, New Delhi – 110001

Dear Sir:

We, the undersigned, offer to provide “GPRC Framework based Auditing, Advisory and Third Party IT Audit Services” to UIDAI in accordance with your Request for Qualification dated November 07<sup>th</sup>2011, and our Proposal. We are hereby submitting our Proposal, which is this Pre-Qualification Proposal sealed in an envelope.

We hereby declare that we are submitting our Proposal as a single bidder/group company and have not formed or intend to form or execute the contract with any consortium member.

We hereby declare that all the information and statements made in this Pre-Qualification Proposal are true and accept that any misinterpretation contained in it may lead to our disqualification. We undertake, if our Proposal is accepted, to initiate the “GPRC Audit, Advisory and Third Party IT Audit Services” related to the assignment not later than the date indicated in Paragraph Reference 7.3 of the Data Sheet.

We declare and confirm that:

1. We will abide by all the terms and conditions contained in the RFQ document.
2. All the details mentioned above are true and correct and if UIDAI observes any misrepresentation of facts on any matter at any stage, UIDAI has the right to reject the proposal and disqualify us from the process.
3. We hereby acknowledge and unconditionally accept that UIDAI can at its absolute discretion apply whatever criteria it deems appropriate, not just limiting to those criteria set out in the Request for Qualification and related documents, in short listing of Agencies

4. We also acknowledge the information that this response of our Company for the UIDAI process of Request for Qualification is valid for a period of 180 calendar days for the short-listing purpose.
5. We also confirm that we have noted the contents of the including various documents forming part of it and have ensured that there is no deviation in filing our offer in response to the tender. UIDAI will have the option to disqualify us in case of any such deviations.
6. We understand that the EMD furnished by us may be forfeited:
  - a. if we withdraw our participation from the RFQ during the period of validity of RFQ document; or
  - b. in the case we do not participate in the subsequent Tender process after having been short listed;
7. We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature [*In full and initials*]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Name of Company: \_\_\_\_\_

Address: \_\_\_\_\_

Location: \_\_\_\_\_ Date: \_\_\_\_\_

**ANNEXURE II - PRE-QUAL FORM-2: BIDDER'S ORGANIZATION AND EXPERIENCE****A - Bidder's Organization**

*[Provide here a brief description of the background and organization of your company/entity and each associate company for this assignment. Also provide a brief description on the ownership details, date and place of incorporation of the company, objectives of the company etc. Apart from this, also provide information on the Annual Turnover of the company for the last 3 financial years as required in the form below]*

**Organization and Financial Information**

<b>Form A 1: Details of the Organization - Bidder</b>	
Name	
Date of Incorporation and Constitution of Organization	
Date of Commencement of Business	
Address of the Headquarters	
Address of the Registered Office in India	
Area of expertise with respect to this project	
Contact details (name, address, phone no. and email)	
Name and designation of the person authorized to make commitments to UIDAI	

**Form A 2: Financial Information - Bidder**

	FY 2008-09	FY 2009-10	FY 2010-11
Revenue (in INR Crores)			
Profit Before Tax (in INR Crores)			
Revenue from GPRC Audit and Advisory and Third Party IT Audit / SIMC related services			
Other Relevant Information			

## **B – Bidder Company’s Experience – “GPRC Based Audit, Advisory and Third Party IT Audit Service Provider”**

*[Using the format below, provide information on each assignment for which your company was legally contracted either individually as a corporate entity or as one of the major companies within an association, for carrying out GPRC Audit, Advisory and Third Party IT Audit Services as requested under this assignment. Bidders should provide all the details (including documentary evidence like completion certificate from customer/ certificate from customer/ other customer testimonials including video along with supporting certificate from auditors) as required in the form. Please provide citations of 3 relevant successfully implemented GPRC Framework and performed “GPRC based Audit, Advisory and Third Party IT Audit projects” and/or SIMC related services (with project value of at least 05 crore each) in preceding 3 years of which*

- a) at least 2 projects should be done using the Framework similar to GPRC*
- b) one of the projects done using the Framework similar to GPRC, should be in the Government sector in any country across the world.*

*In case, information required by UIDAI is not provided by Bidder, UIDAI shall proceed with evaluation based on information provided and shall not request the Bidder for further information. Hence, responsibility for providing information as required in this form lies solely with Bidder.]*

Assignment name:	Approx. Value of Contract: (Mandatory field) (Mention contract value in INR)
Country: Location within country:	Duration of assignment (months):
Name of Employer:	Total No. of staff-months of the assignment:
Address:	Approx. value of the services provided by your company under the contract (in INR):
Start date (month/year): Completion date (month/year):	No. of professional staff-months provided by associated Bidders:

Name of associated Bidders, if any:	Name of senior professional staff of your company involved & functions performed:
Narrative description of Project:	
Description of actual services provided by your staff within the assignment:	

Company's Name: \_\_\_\_\_

**ANNEXURE-III:PROFORMA – EMD FORM**

Whereas ----- (hereinafter called 'the Respondent') has submitted its RFQ dated ----- for selection of GPRC-SP for the Unique Identification Authority of India ("UIDAI") (hereinafter called "the RFQ Response")

KNOW ALL MEN by these presents that WE ----- of -----  
----- having our registered office at -----  
----- (hereinafter called "the Bank") are bound unto the Unique Identification Authority of India ("UIDAI") (hereinafter called "the Client") in the sum of -----  
----- for which payment well and truly to be made to the said Client, the Bank binds itself, its successors and assigns by these presents. Sealed with the Common Seal of the said Bank this ----- day of ----- 2011

THE CONDITIONS of this obligation are:

1. If the Respondent, having been notified of the acceptance of its RFQ by the Client during the period of validity of RFQ
  - (a) Withdraws his participation from the RFQ during the period of validity of RFQ document; or
  - (b) Fails or refuses to participate in the subsequent tender process after having been short listed in accordance of the RFQ Document;

We undertake to pay to the Client up to the above amount upon receipt of its first written demand, without the Client having to substantiate its demand, provided that in its demand the Client will note that the amount claimed by it is due to it owing to the occurrence of one or both of the two conditions, specifying the occurred condition or conditions.

This guarantee will remain in force up to and including 60 days after the period of RFQ Response validity, and any demand in respect thereof should reach the Bank not later than the above date.

-----  
**(Authorized Signatory of the Bank)**

**ANNEXURE-IV: QUESTIONS FOR RESPONSE**

Q.1 In the light of UIDAI Programme (please refer [www.uidai.gov.in](http://www.uidai.gov.in)) what can be the objectives of GPRC framework?

Q.2 Provide the GPRC framework based project methodologies and implementation services provided by your organisation.

Q.3 Suggest the leading practices / benchmarking exercise considered by GPRC Project implementation.

Q.4 Suggest the technological challenges and the timeline related problems while the implementation of GPRC Projects.

Q.5 What are the critical risks envisaged during the implementation of GPRC Projects?

Q.6 Briefly outline the GPRC implementation plan for projects of such nature.

Q.7 What are the approximate manpower requirement for implementing the GPRC for project of such nature?

Q.8 Which are the key technology components that you intend to propose for the SIMC setup under GPRC framework including but not limited to the physical requirement, hardware requirement and network connectivity requirement?

Q.9 Suggest key deliverables of the GPRC framework.

Q.10 What are the SLAs that you seem to be essential to monitor the performance of GPRC Project?

NOTE:

1. The answer to each question to be limited to a minimum of one page and maximum of 10 pages of A-4 size for each question, with minimum font size of 12.
2. The answers must be relevant and well within the context.