

**Proposal Required for  
Level 1 Application support for  
Core Banking/sub-system applications**

**IBM India Pvt. Ltd.**

# Proposal for Level 1 Application support

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### 1.0 Introduction

IBM needs support for the Level 1 calls for Application support project. Vendor should provide the necessary resources, skills and experience to meet the objectives of the program to be positioned at customer office in **Bangalore, India** as per details outlined in section “Scope & Commercials for the Vendor” below.

### 2.0 General Guidelines

With respect to the scope of work of the vendor as per this document, all T&Cs will be back to back to the tender document from client which will be shared subsequently.

- Exact details of the scope are provided in detail below in this document

Further the vendor agrees to the following:

- Vendor and IBM team will mutually agree and draw on detail project plan during project initiation stage post discussion with Client.
- Vendor would be flexible enough to adjust to change in Project schedule/plan based of project situations and commit to provide desire skilled resources on request from IBM PM.
- Vendor would provide replacement of resources if there are any quality/skills related issues on provided resources within 4 weeks of request raised by IBM Project Manager.

## 3.0 Project Scope

Level 1 application support requirements for the following application portfolios:

- FLEXCUBE – FCR, FCC, FCDB and FCUBS
- Associated CBS sub-system applications and related interfaces

### 3.1 Service Desk

#### 3.1.1 Service Description:

IBM need the vendor to manage Service Desk functionalities of CBS Solution Manager for L1 support and service requests. Vendor will capture, log tickets, categorize and prioritize all requests as per definitions based on impact to business. Vendor will resolve all support tickets that do not require any application change as per agreed SLs by providing optimal quality solutions and work around to the users. Vendor's Service Desk team will resolve all requests for support and help.

Vendor will provide support and help in English language.

#### 3.1.2 Service Activities:

- Receiving the calls, mails, from Client users
- Answering on 'how to' kind of questions
- Answering on 'how to' kind of questions
- Resolving the Id/password issue
- Recording the incidents in-house Bank tool.
- Cascading the incidents to IBM AMS team.
- Identify the solution or temporary work around from Knowledge Database (where available).
- Provide optimal quality solution to user meeting user queries.
- Escalate to Client's responsible person for non resolution or in case of any conflict.

The different levels of support are categorized as follows:

Support Type	By Whom	Support Description
Helpdesk (L0 Support)	Bank	<ul style="list-style-type: none"><li>• Log tickets</li><li>• Assign severity and categorize the call – Bank to revert in case any change in severity level is required</li><li>• Analyze and provide call resolution</li><li>• Calls requiring in-depth data analysis are moved to L1 Support</li><li>• Identify appropriate L1 Support for ticket assignment</li><li>• Where information is insufficient request for further information</li><li>• Monitor calls for SLA adherence</li><li>• Move calls to 'Resolved' status</li><li>• Submit Helpdesk reports to the concerned parties</li></ul>

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L1 Support	IBM	<ul style="list-style-type: none"> <li>• Log Tickets</li> <li>• Review severity assigned by L0.</li> <li>• Approve all data patches and releases</li> <li>• Review and mark "Closed" status for Resolved tickets.</li> <li>• Participate in L1 resolution process.</li> <li>• Handle Out-of Scope Helpdesk requests</li> <li>• Branch users to be educated to refer to the work-log of Remedy/in-house tool to get the current status on their case lodged. They should also be educated to log the ticket with complete details.</li> </ul>
L2 Support	IBM	<ul style="list-style-type: none"> <li>• Perform data analysis for the calls assigned</li> <li>• Document all actions in the request record according to work performed</li> <li>• Application bugs which requires further analysis will be forwarded to Global Support</li> <li>• Coordinate resolution of calls</li> <li>• Update and forward resolved calls to L0/L1</li> <li>• Assist in Disaster Recovery Drill like switch over testing – once in 6 months</li> </ul>
L3 Support	Vendor	<ul style="list-style-type: none"> <li>• Offsite Global Support would be provided from Vendor premises</li> <li>• These services would be part of the AMC agreement</li> <li>• The primary responsibility of the Offsite Global Support team would be to analyze errors which require code changes and deliver application releases to address application defects.</li> <li>• The onsite FLEXCUBE Application Support team would co-ordinate with the Global support for the delivery of application defect fixes</li> </ul>

Support Type	By Whom	Support Description
L1	IBM	<ul style="list-style-type: none"> <li>▪ Receive incidents, service requests, queries and change requests through the agreed modes of communication and log calls</li> <li>▪ Record / verify the issues, assign severity, initial analysis, FAQ based solution and routing</li> <li>▪ Providing telephonic and / or electronic mechanisms for problem reporting, requests for service, and status updates</li> <li>▪ Tracking of problems from initial call to service restore. This includes problems redirected to third party service providers.</li> <li>▪ Notifying users of problem status</li> </ul>
L 1.5 / L2	IBM	<ul style="list-style-type: none"> <li>▪ Application (mainly CBS - <b>FLEXCUBE</b>) and functional (Banking) expertise in resolving the L1.5 / L2 issues, typically of the following types: <ul style="list-style-type: none"> <li>– Monitor and analyse the application logs</li> <li>– Resolve functional and integration issues</li> <li>– Support the DR Drills as and when required</li> <li>– Support the team for infrastructure related planning and upgrades, patches.</li> <li>– Escalations for all application related issues</li> <li>– Transaction Banking applications support for RTGS/ NEFT, Internet Banking</li> <li>– Service Management for non-CBS related applications</li> </ul> </li> <li>▪ Conduct root cause analysis for Severity-1 issues such as: <ul style="list-style-type: none"> <li>– Problems which have resulted in complete service disruptions or</li> </ul> </li> </ul>

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Support Type	By Whom	Support Description
		<p>downtime</p> <ul style="list-style-type: none"> <li>- Critical production issues such as incorrect interest application in majority of the accounts, frauds done using the system, inconsistent accounting or system behaviour, Delayed response times</li> <li>▪ To decide on preventive maintenance schedule with the BANK</li> <li>▪ Liaise with the L1 support personnel for the call information and resolution</li> <li>▪ All other activities as would be required by the bidder to manage and maintain the solutions</li> </ul>
L3 Coordination	Respective OEM Vendors IBM to co-ordinate with OEM vendors	<ul style="list-style-type: none"> <li>▪ Coordinate with respective OEMs for L3 resolution               <ul style="list-style-type: none"> <li>- Ensure that Level 3 issues are tracked to closure.</li> <li>- Communicate the status of the call to the BANK</li> <li>- Update the status and date of resolution in the tool.</li> <li>- Track the issues to closure and adhere to the escalation matrix</li> </ul> </li> <li>▪ Provide workaround solution for the L3 issues after getting the concurrence from BANK's team.</li> <li>▪ Implement the workaround (as provided by respective OEMs) after getting concurrence from BANK's team</li> <li>▪ Log calls with respective OEM vendors and coordinate with application OEMs</li> <li>▪ Report vendor SLA performance for L3 tickets</li> <li>▪ Track all the vendor related issues and send status updates to BANK on the call progress</li> </ul>
	Service Delivery Management	<ul style="list-style-type: none"> <li>▪ Record, analyze and report to BANK on calls received by the service desk, including:               <ul style="list-style-type: none"> <li>- Call volumes and duration</li> <li>- Problem trends</li> <li>- Pending calls</li> <li>- Call resolution time</li> <li>- Call analysis</li> </ul> </li> <li>▪ Define service desk call prioritization guidelines, problem severity codes, and escalation procedures in consultation with BANK.</li> <li>▪ Manage issue escalation procedures and document the same in the service desk procedure manual and share the same with the BANK on monthly basis.</li> <li>▪ Provide periodic (daily, weekly, monthly etc.) reports to BANK assessing the service desk performance against the agreed Service Levels</li> <li>▪ Perform periodic problem reviews for root cause analysis of all reported problems and, in conjunction with BANK, establish appropriate measures to prevent recurring incidents.</li> <li>▪ Provide mutually agreed service management process documents during the transition</li> <li>▪ Monitor and report to BANK on maintenance of performance by the Vendor.</li> <li>▪ Provide input to BANK on End User training requirements based on service desk issue call tracking and analysis.</li> <li>▪ Ensure that the methodology proposed for addressing and resolving problems is aligned to the required service levels.</li> </ul>

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Support Type	By Whom	Support Description
		<ul style="list-style-type: none"> <li>▪ Provide reports that effectively summarize and communicate the performance and compliance with service levels defined in BANK's service level agreement (SLA) with the Vendor. The BANK would have the ability to directly generate standard and ad hoc reports as needed from the same service desk setup.</li> <li>▪ Educate Branch users to refer to the work-log of the tool to get the current status on their case lodged.</li> <li>▪ Provide relevant reports for the previous month in the 1st week of every month</li> </ul>
Application Support		<ul style="list-style-type: none"> <li>▪ Performance monitoring &amp; management of application</li> <li>▪ Installation &amp; configuration of application</li> <li>▪ Availability installation &amp; configuration of application</li> <li>▪ Application un-installation</li> <li>▪ Relevant functional support at L1 , L2 level</li> <li>▪ Creation of test setups for applications</li> <li>▪ Supporting test setups for applications (maximum of 15 environments)</li> <li>▪ Liaising with software OEM for L3 support and resolving the issues</li> <li>▪ Application patch management and version control</li> <li>▪ Deployment of objects in application server</li> <li>▪ Trouble shooting application server product related issues</li> <li>▪ Troubleshooting patch management</li> <li>▪ Configure and use monitoring tools provided for application server</li> <li>▪ Session Initiation Protocol &amp; performance management</li> <li>▪ Vendor management (Logging a call with product Vendor)</li> <li>▪ File level backup for application server</li> <li>▪ Backup &amp; restoration management of application server</li> <li>▪ Support to known errors and problems</li> <li>▪ Monitor alert notifications, checking for impending problems, triggering appropriate actions</li> </ul>

### 3.1.3 Responsibilities:

- Logging of ticket in ticketing tool Service desk system on behalf of the user with proper categorization & sub categorization and team assignment.
- Analysis of the support ticket.
- Resolution of the ticket by providing optimal quality solution & workaround solution as per the agreed SLs.
- In case of unavailability of onsite L1 resource, all the issues/tickets pertaining to that resource would be handled by other team members. The calls would be routed or managed through centralized helpdesk and Service Management tool.
- Support consists of initial, basic call/incident support during the requested Service windows for different applications within the response times specified by the client. Suggest workarounds (temporary/permanent) to the user
- Provides helpdesk support to the user community using existing communication medium and using scripts to resolve queries
- Understand the routing matrix for resolution and provide first level resolution

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- Forwarding calls to L1.5/L2 support groups as well as to other support teams.
- Maintain FAQs and standard question templates for effective escalation to the L1.5/L2/L3 resolver group to reduce turnaround time
- Tracking the incidents to closure, co-ordination with resolver groups and capturing the user feedback on the incident reported
- Providing tool based Weekly/Monthly incident reporting. Ticket Status update in the helpdesk tool
- Update knowledge data base.
- Follow up with requestor for closure of the support ticket & end user satisfaction survey.
- Reporting to concerned person responsible in Client's team
- Monthly reporting of agreed SLs & KPIs.
- Plan & transition for support of new functionalities.

### 3.2 How to Services

#### 3.2.1 Service Description:

- This service includes handling user queries related to either business processes, CBS transactions and interface applications. Provide solution or workarounds to "How to perform a particular task".

#### 3.2.2 Service Activities:

- Analysis of "How to" queries of user
- Identify the solution or temporary work around from Knowledge Database (where available).
- Provide optimal quality solution to user meeting user queries.
- Escalate to Client's responsible person for non resolution or in case of any conflict.

#### 3.2.3 Responsibilities:

- Search for solution in Knowledge Database (where available)
- Provide optimal quality solution or temporary workaround.
- Identify training needs of users based on "How to" support tickets logged from hosted countries, using historical statistics.
- Update Knowledge Database.
- Follow up with requestor for closure of the support ticket & end user satisfaction survey.
- Follow defined escalation process of Client.
- Monthly reporting of agreed SLs & KPIs.
- Explain to users on how to use the Service Desk tool
- Plan & transition for support of new functionalities.

### 3.3 Duration of the Project

**AMS – 84 Months**

**Estimated starting from 5<sup>th</sup> Aug 2016.**



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### 3.4 Service Hours

Support timings given below:

Days	Time (IST)
India - Monday – Saturday	8:00 AM to 8:00 PM ( At Client location)
Excluding Bank declared & National holidays	

### 3.5 Baseline

#### 3.5.1 Modules and Systems

The tables below Show Modules to be supported and the applications to be supported for the CBS Application Service Desk at the time the contract is concluded.

Applications under scope

S/N	Application/ Module	Vendor
1	Oracle FLEXCUBE Core Banking Retail Modules Version 6.7.1 Modules - Core, Current and Savings Accounts, Time Deposits, Retail Loans, Standing Instructions, Signature Verification, Branch, ATM Interface, POS Interface, IVR and Call centre Interface	Oracle Financial Services
2	Oracle FLEXCUBE Core Banking Corporate Modules Version 3.4.12 Modules - Bills and Collections, Letters of Credit and Guarantees, Loans, Foreign Exchange, Nostro Reconciliation, FLEXCUBE Reporting System	Oracle Financial Services
3	Oracle FLEXCUBE Direct Banking (Internet Banking) Version 12.0.1 Modules - Base, Retail, Corporate	Oracle Financial Services
4	Oracle FLEXCUBE Universal Banking System Version 12.0.1 (for Overseas Branches - Johannesburg, Shanghai, Hong Kong, New York, London and Bahrain) Modules - Base, Corporate Deposits, Bills and Collection, Letters of Credit, Foreign Exchange, Money Markets, Securities, Swaps and FRA, Loan Syndication, Fixed Assets, Current and Savings Accounts, Term Deposits, Retail and Small and Medium Enterprise Loans, Payments and Collections, Funds Transfer, Electronic Messaging System, Nostro Reconciliation, Standing Instructions, Branch, ATM Interface, POS Interface, Inventory Management	Oracle Financial Services
5	Loan Application Processing System (LAPS) Version 1.2	Sysarc Informatics
6	Safe Deposit Locker Application (SAFE) Version 1.0	Sysarc Informatics
7	Depository (DEBOS) Version 10.6.2	Kalpataru
8	NSE Interface – NYSYS Version 10.07	Kalpataru
9	ASBA Version 11.03	Kalpataru
10	CRM Version 8.5	Talisma

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IBM may also include GBM and AML solutions in the above stack.

### **Assumptions:**

- A centralized Helpdesk is in place and team to receive calls from the Client user
- A Bank tool would be provided to log calls

### **3.5.2 Call Volume**

Below is the estimated monthly call volume that is envisaged for support. The values projected are based on the earlier trend and is indicative.

	Y1	Y2	Y3	Y4	Y5	Y6	Y7	
Support	2016	2017	2018	2019	2020	2021	2022	2023
Level 1 Tickets	1910	1970	2030	2090	2150	2210	2280	2350

100% of the L1 Tickets under the defined Monthly Baselines year on year, as stated in above, will be supported by the estimated and defined L1 Team throughout the contract duration. Any deviation in baseline greater than 10% will be taken up with IBM in-line with the Project Change Control Procedure as agreed between IBM & Vendor during the final stages / award of this project.

### **3.5.3 Resolution time**

**Maximum time to log** the call is defined as the time taken within which help desk has to log a complaint in the system provided by the end user. Help desk should provide the trouble ticket number to the end user within 30 min of logging the complaint.

**Maximum time to restore** is defined as the time taken to resolve the problem, starting from the time of logging the complaint and within the time specified in SLO table below. Help desk should notify the end user within 30 min after resolution of problem.

### **3.5.4 Team Structure**

Vendor to provide the Details of Team Structure based on the requirements. They would be based on-site, at client location in Bangalore, India.

The team to be comprise of '10' L1 practitioners all based out of Client site at Bangalore.

The skill set is listed below:

1. The resources should have FLEXCUBE FCR, FCC FCDB and FCUBS skills.
2. The resources should have banking domain knowledge.
3. The resources should be experience should be 3 years and above.
4. The resources should be prepared to work for Indian Bank scenario which will include Saturday working.

## 4.0 Severity Level Definitions and Objectives

Service Incidents and/ or Service Requests would be treated in severity level order and within the same severity level, in the order received, unless directed otherwise by the Client Project Manager. The Severity Levels described in the following table would be used to categorize Bug Fixing Service Incidents from the Client user community. The Severity Level would be assigned initially by Client Helpdesk and validated by the assigned Application Management Consultant(s) and/ or the IBM Project Manager.

Severity Level	Support Category	Criteria
1	Emergency	<ul style="list-style-type: none"> <li>▪ Production use of the supported programs is stopped or so severely impacted that the Bank cannot reasonably continue any work. Bank experiences a complete loss of service. The operation is mission critical to the Business and the situation is an emergency. A Severity 1 service request has one or more of the following characteristics:                             <ul style="list-style-type: none"> <li>○ Data corrupted</li> <li>○ A critical documented function is not available</li> <li>○ System hangs indefinitely, causing unacceptable or indefinite delays for resources or response</li> <li>○ System crashes, crashes repeatedly after restart attempts</li> </ul> </li> </ul>
2	High	<ul style="list-style-type: none"> <li>▪ Bank experiences a severe loss of service. Important features are unavailable with no acceptable workaround; however, operations can continue in a restricted fashion</li> </ul>
3	Medium	<ul style="list-style-type: none"> <li>▪ Bank experiences a minor loss of service. The impact is an inconvenience, which may require a work around to restore functionality</li> </ul>
4	Low	<ul style="list-style-type: none"> <li>▪ Bank request information, an enhancement, or documentation clarification regarding your software but there is no impact on the operation of the software. Bank experiences no loss of service. The result does not impede the operation of the System</li> </ul>

Service Requests would be responded according to Assigned Severity Level. The planned Service Level Objectives for response time for calls of each Severity Level is shown in the following table:

Type of request	Severity Type	Acknowledgement/ Initial response	Final response or Fix provided
Emergency	1	Workaround or agreed action plan within 12 hours with an overall cap coverage of 80% of the Severity 1 incidents	As per agreed action plan
High	2	Severity for resolution within 3 working days	Next maintenance release or 30 working days
Medium	3	Schedule for resolution within 5 working days	Next maintenance release
Low	4	Response/Schedule for resolution within 2 weeks	N.A.

IBM AMS Team would measure the Service Level Objectives achieved as compared to the target during the Measurement Period (3 months), which would commence after the completion of Transition period and would then formalize the SLA after discussion with Client. IBM AMS Team would follow the agreed Service Levels during the Steady State Period.

Calls/ tickets which meet/ have dependency on the conditions given below will be excluded from the SLA scope:

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S/N	Condition	Applicable (Y/N)	Remarks
1.	Bug in standard product codes	N	<ul style="list-style-type: none"><li>IBM will raise the issue with respective vendor. Resolution is contingent to vendor's turnaround time. IBM will work on getting it addressed on best effort basis. Tickets excluded from SLA computations.</li></ul>
2.	Network latency	N	<ul style="list-style-type: none"><li>To be addressed by the Client</li></ul>
3.	Hardware/ OS	N	<ul style="list-style-type: none"><li>To be addressed by the Client</li></ul>

Note:

- Response time implies acknowledging the ticket receipt;
- Response time is measured from the time when the call is received by IBM AMS team to the time when IBM AMS team acknowledges the receipt of the problem.
- Resolution time is measured from the time when the call is received by IBM AMS team to the time when the problem is resolved or workaround provided.
- In case problem occurs in 3rd party application/ core package, SLA measurement shall be excluded. However, IBM would continuously track problem resolution until closure;
- For severity level 1 incidents, Client agrees that key resources are made available immediately to the IBM AMS Support team until the incident is resolved or a work around has been identified;
- If a problem is reported outside service window hours, resolution time for measurement shall be counted from next business day as per the service window hours.
- Service request resolution time excludes the time taken by Client personnel for problem diagnosis.
- Users are expected to respond within 24 hours of problem resolution, failing which the problem resolution would be deemed accepted and the call would be closed immediately.

## 5.0 Solution Size & Commercials

### 5.1 Commercials

A team comprising '10' L1 practitioners would support all the users. SPOC shall manage the team and would be responsible for rostering, mentoring, handling escalations, client interaction, etc.

Please provide the commercial update as per below.

- The fixed price proposal will have to be all expenses inclusive price from the Vendors.
- All work will be carried out onsite at the Client in Bangalore, India
- All fees to be mentioned in INR
- IBM DPE/Project Manager will interview the resource being deployed from the Vendor, prior to deploying on the project
- IBM will not be responsible for increases in costs, fees or expenses, or schedule delays

**Contract Type:** Fixed Price Managed Service with the above scope of work to be provided

Team	Count #	Quote(in INR) Rs	
		Monthly	Year 1 to Year 7
FLEXCUBE/Sub-system L1 practitioners	10		
Rate card for Practitioner over for additional needs			

Please provide Inflation % being considered for 7 years.

Team/ Group	Year 1-2	Year 3	Year 4	Year 5	Year 6	Year 7
Inflation %						

The price validity will be for 90 days.

### 5.2 Payment

- Payment will be as per agreement between IBM and the End Client

### 5.3 Change Request

The following process will be followed if a change to this Scope of Work is required.

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1. A Project Change Request (PCR) will be the vehicle for communicating change. The PCR must describe the change, the rationale for the change and the effect the change will have on the project. The PCR will be raised on the basis of the Issue Log maintained throughout the duration of the project. The IBM Project Manager will be the administrator of the Project Issue Log and will discuss all open issues and resolution mechanisms with the Vendor project manager. In the event that the resolution mechanisms suggested are not acceptable to IBM, and there is a need to address the same, this will be tracked in as a Project Change Request.
2. The designated Project Manager of the requesting party will review the proposed change and determine whether to submit the request to the other party.
3. Both Project Managers will review the proposed change and recommend it for further investigation or reject it. Investigation of such PCR to be done only after consent with IBM, IBM will specify any charges for such investigation. A PCR must be signed by authorized representatives from both parties to authorize investigation of the recommended changes. The investigation will determine the effect that the implementation of the PCR will have on price, schedule and other terms and conditions of the Agreement.
4. A written Change Authorization and/or PCR must be signed by authorized representatives from both parties to authorize implementation of the investigated changes.