

RFP No – INV/IND/IT/RFP-19-20/03



INVEST INDIA

NATIONAL INVESTMENT PROMOTION
AND FACILITATION AGENCY

REQUEST FOR PROPOSAL

IT Governance & Compliance Assessment

Issued by

Invest India

1st Floor, Vigyan Bhawan Annexe, Maulana Azad Road, New Delhi – 110001

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1. Introduction

Invest India is the national investment promotion and facilitation agency for India. Operationalized in December 2009, Invest India has been set up as a not for-profit joint venture between Department of Industrial Policy and Promotion (DIPP), Ministry of Commerce & Industry, Government of India; State governments and three Indian Chambers of Commerce, i.e., FICCI, CII and NASSCOM. It has a focus on sector-specific investor targeting and development of new partnerships to enable sustainable investments in India.

To support the organizational objectives, Invest India requires an IT department that can efficiently support its future endeavor. It is looking for partners who can efficiently evaluate its current capacity and help in planning and executing the roadmap.

Invest India invites applications from reputed firms to perform “As-Is” assessment of its existing IT infrastructure & processes and provide recommendations w.r.t IT Governance and Compliance standards, regulations and industry best practices. The objective is to develop a robust infrastructure that is secure, resilient and compliant.

The criteria and actual process of evaluation of the responses to this RFP and subsequent selection of the firm(s) will be as mentioned in this RFP and any modification or changes to the terms and conditions mentioned in this RFP will be entirely at discretion of Invest India.

No contractual obligation whatsoever shall arise from this Request for Proposal (RFP) process unless and until a formal contract is signed and executed by duly authorized official(s) of Invest India with the selected Firm(s).

Invest India reserves the right to negotiate further the rates quoted by one or more bidders. Invest India also may negotiate with one or more bidders to match the lowest commercial bid value quoted by one or more other bidders.

2. Scope of Work

Objective: To provide advisory services to the Invest India IT team by performing “As-Is” assessment and provide a roadmap for the organization.

Consultants deployed at Invest India will be working as independent consultants. Following are the broad areas of scope of work:

1. Perform “As-Is” assessment of the current IT Processes in accordance with applicable global standards (ISO 27001, CSA, Data Protection Laws) and industry best practices in the following areas:
 - a. Risk Assessment
 - i. Perform a risk assessment based on ISO27001 and applicable Data Protection standards
 - ii. Review information security risks with the stakeholders and draft a risk treatment plan for Invest India
 - b. IT Process Review
 - i. Assess the IT processes based on applicable standards. Following is a list of indicative controls (not limited to):
 - Access Management
 - Data Classification and Data Security
 - Backup
 - Business Continuity and Disaster Recovery
 - Change Management
 - ii. Test the design and operating effectiveness across each of the process areas
 - iii. Review the Cyber process readiness along the following areas:
 - Network Security
 - Threat Monitoring and Management
 - Incident Management
 - Vulnerability Management (includes patch management)
 - Application Security
 - iv. Prepare a maturity roadmap for the associated control areas
 - c. IT Governance Review
 - i. Review the IT Governance mechanism
 - ii. Assess the effectiveness of IT Organization structure
 - iii. Review the Roles and Responsibility of IT Organization
 - iv. Highlight gaps related to IT and IS governance

2. Define IT Policies & Procedures for Invest India, after successfully conducting “As-Is” assessment
3. Based on the assessment and gap analysis results, provide a strategic roadmap for the next 3 years to meet the requirements of the organization

Key Deliverables

1. “As-Is” assessment analysis reports
2. Gap Analysis Report
3. Prepare a risk register and risk treatment plan for Invest India
4. IT Policies and Procedures as per Industry best practices and standard
5. RACI Matrix with respect to IT policies and procedures within the organization
6. Strategic roadmap for the organization based on risk identification, assessment & prioritization

Key Considerations

1. Invest India will appoint a SPOC for the overall management of the project and similarly the partner should nominate one SPOC for the overall program governance
2. The partner shall rely on the data provided by the SPOC and for all the deliverables SPOC and/or IT Head shall be the final reviewer and approver
3. The overall report shall be addressed to the management and presented before them
4. Location of the Project will be Invest India office in Delhi
5. The project will be Fixed Price project
6. The partner should focus on integrating and leveraging existing Invest India infrastructure as part of the strategy roadmap
7. For implementation support, post successful completion of project, partner can propose rates based on loan staff model

Timelines

The total duration of the project is estimated 10 weeks including Assessment, Recommendations and Policy Creation.

As part of the proposal the partner should provide a detailed timeline for Project Implementation Schedule and key activities.

3. Key Dates

RFP Issue Date	30 th September 2019
Last Date for Bid Clarification	4 th October 2019
Last Date for Bid Submission	14 th October 2019

4. Instruction to Bidders

In order to be considered for empanelment bidders should submit their bids conforming to the following instructions

I. Data Sheet

S. No.	Details
4.1.1	Name of the Issuing Office: INVEST INDIA
4.1.2	Name of the Assignment: IT Governance and Process Assessment
4.1.3	Method of Evaluation: The evaluation shall be on the following basis: <ul style="list-style-type: none">• Based on organization expertise, proposed approach and commercial bid• In-Detail discussion with the shortlisted bidder(s)• Result Declaration
4.1.4	<p>Earnest Money Deposit (EMD): Bidders are required to pay Rs. 50,000 (INR) towards Earnest Money. Deposit in the form of a Demand Draft/Bankers' cheque drawn in favor of "Invest India", New Delhi" payable at New Delhi.</p> <p>In case EMD is not enclosed in the bid, the bid will be straightway rejected and will not be considered for further evaluation.</p> <p>No interest shall be payable on the sum deposited as EMD. No bank guarantee shall be accepted in lieu of the EMD.</p> <p>Refund of EMD: The EMD of the unsuccessful bidders (bidders who fail to qualify in the bid evaluation process) shall be returned within one month of completion of the RFP process.</p> <p>The EMD of the successful bidders shall be returned on signing the contract (Letter of Contract)</p> <p>Forfeiture of EMD: The EMD shall be forfeited, if the bidder withdraws or modifies/alters the bid after the opening of bids and during the validity period or if the bidder tries to influence the evaluation process. The EMD shall also be forfeited if the bidder quotes zero or incredibly low rates compared to the industry prevalent rates or rates quoted by most of the other bidders. Invest India's view on this matter shall be final and binding on all Bidders.</p> <p>The EMD is exempted for bidders who are DIPP recognized Startups.</p>
4.1.5	Validity period of the bid: The bid should be valid for 90 days from the last date of submission of the
4.1.6	Last date for submission of written queries for clarification: All queries should be received by Invest India not later than the date prescribed in "Key Dates" section. A bidder seeking any clarification should send an email to karan.gupta@investindia.org.in
4.1.7	Last date and time for receipt of bids: The bids should be addressed to the Addressee and should be received at the Address by the date and time

	stipulated in “Key Dates” section. Bids received after the stipulated date and time will not be opened and will be returned unopened.
4.1.8	<p>Others</p> <ul style="list-style-type: none"> a) During evaluation of bids, INVEST INDIA, may at its discretion, seek clarifications from the bidders on their bids and the bidders are required to respond within the time frame prescribed by INVEST INDIA. b) At any time prior to the prescribed last date for receipt of bids, INVEST INDIA reserves the right to modify the RFP. The amendments and modifications to the RFP shall be notified on the INVEST INDIA website (www.investindia.gov.in), which shall be binding on the bidders. Bidders are requested to frequently visit the website of INVEST INDIA for updates. c) Bids from a consortium of agencies are not acceptable. d) The bids prepared by the bidders and all correspondence and documents relating to the bids exchanged between the INVEST INDIA and the bidders shall be in English language. e) Commercials in any form or by any reason before the opening the Bids should not be revealed, failing which the offer shall be liable to be rejected. f) Bids received with Man month rate quoted as zero or at incredibly low rates/ high rates compared to the generally prevalent industry rates for similar category of services or rates quoted by most of the bidders for any resource category shall be rejected and the EMD forfeited.

II. Documents Comprising the Bids

The bids prepared by the bidders shall comprise and conform to the following Standard forms:

Prequalification and Solution Proposal

- PRE-QUAL FORM- 1- Prequalification Proposal Submission Form
- PRE-QUAL FORM -2-Bidders' Organization and experience
- TECH FORM-1: Bidder's Experience in activities (as mentioned in Scope of work)
- TECH FORM-2: Summary of Team Composition
- TECH FORM-3: Curriculum Vitae

Commercial bid

- COM FORM- 1- Commercial Bid Submission Form
- COM FORM- 2-Summary of Costs of Resources

5. Procedure for submission of bids

- a) The bidders **are advised to study this RFP** document carefully before participating. It shall be deemed that the bid has been submitted by the bidders after a careful examination and full understanding of its implications.
- b) The bids should be received in one large envelope (the Bid cover) which should be superscribed with the words “**Request For Proposal of IT Governance and Compliance Assessment**”:
- The bid cover should also clearly indicate the **name, address and telephone number** of the bidder. The bid cover should contain the following two envelopes:
- **EN-01** – EMD, Pre-qualification and Solution proposal: This envelope should be sealed and superscripted “**Prequalification and Solution proposal- Request For Proposal of IT Governance and Compliance Assessment**”. This envelope should contain two hard copies of the **Pre-qualification and Solution** proposal marked as ‘ORIGINAL’ and ‘COPY’ duly bound with all supporting documents and the Demand Draft/Bankers’ cheques for the RFP.
 - **EN-02** - Commercial bid: This envelope should be sealed and superscripted “**Commercial bid- Request for Proposal of IT Governance and Compliance Assessment**”. This envelope should contain one hard copy of the Commercial bid marked as ‘ORIGINAL’ containing all the Documents comprising the Commercial bid.
- c) Each envelope should indicate the Name, address, telephone number, email id and fax number of the bidder.
- d) Bidders shall sign and seal the bid with the exact name of the Company/Firm.
- e) Pre-qualification bid containing commercial information shall be declared non-responsive and shall be rejected.
- f) Other conditions:
- Bidders should not contact Invest India on any matter relating to its bid from the time of bid opening till the **proposal** is finalized and notified.
 - The bidder should be registered with the Tax department and carry a valid PAN.
- g) Disqualification – Invest India may at its sole discretion and any time during the evaluation process disqualify any bidder, if the bidder:
- Makes misleading or false representation in the forms, statements and attachments submitted in proof of the statements or eligibility criteria.
 - Exhibits a record of poor performance such as abandoning work, not completing the contractual obligations, inordinately delaying, completion or financial failures, etc. in any project in the preceding three years.
 - Submits a bid that is not accompanied by required documentation or is non-responsive.
 - Fails to provide clarifications related to the bid, when sought

- Submits more than one proposal or submits bid in a consortium
- Is declared ineligible by the Government of India/ State/Union Territory Government for corrupt and fraudulent practices.

6. Evaluation Criteria

I. Prequalification criteria

Bidders applying to the RFP are expected to meet the following Pre-Qualification criteria. Bidders failing to either meet these criteria or not furnishing the requisite supporting documents/documentary evidence is liable to be summarily rejected. Invest India shall evaluate the prequalification proposal with reference to the information contained in Standard Form PRE- QUAL FORM 2 and other supporting documents furnished.

S. No.	Pre-Qualification Criteria	Supporting Documents
1.	The bidder should be a Company registered in India under the Companies Act 1956/2003 or a partnership registered under the LLP Act 2008 with their registered office in India for the last three years. For start-ups as defined by Department of Industrial Policy and Promotion, Ministry of Commerce and Industry, Govt. of India, Bidders must be a company registered in India under the Companies Act 1956/2013 or a Partnership registered under Limited liability Partnership Act 2008 with their registered office in India.	Certificate of Incorporation/ Registration
2.	<ul style="list-style-type: none">The annual turnover of Bidder is at least INR 50 crores (Rupees Fifty crores) in FY 2018-19DIPP recognized Startups will be exempted for prior turnover clause	Audited/Certified Annual Financial Statements and Annual Report for the financial year 2017-18
3.	The bidder should have successfully completed at least 10 assignments of similar nature, which include work on at least 60% of the activities listed in the “Scope of Work” in last 2 years	Work Orders for experience cited
4.	The bidder should have at least 50 skilled manpower specializing in executing various activities in the defined scope of work DIPP recognized Startups will be exempted for skilled manpower clause	Certificate from the HR/ head of the Firm

Note: To avail the benefit of exemption from prior experience, prior revenue and EM Startup shall provide a copy of certificate issued by DIPP.

II. Solution Evaluation

The Solution Evaluation would happen based on bidder's relevant experience and key personnel as described under:

S.No.	Parameters	Max. Marks
1.	<p>Experience of similar nature of services specified in scope of work within last 5 (Five) years</p> <p>Out of the types of services listed, for each type of service 2 marks will be awarded, upto a maximum of 20 marks. If a firm/bidder has experience in all the services specified in scope of work, it will get 20 marks.</p>	20
2.	<p>CVs of professionals to be deployed for the assignments (to provide at least 5 CVs)</p> <ul style="list-style-type: none"> Quality of personnel (qualifications, experience, skills and competencies) – At least 2 years of experience Dedicated certified project managers- PMP Trained/Certified Scrum Master/PGDM/MBA/CISM/CISA/CISSP 	30
3.	<p>Strategy: Approach and Methodology including but not limited to the following:</p> <ul style="list-style-type: none"> Risk Assessment Framework Key industry standards/ regulations considered for risk assessment Proposed Project Management Methodology Proposed Assessment and Gap-Analysis approach Tools/ Technology for vulnerability assessment Clear & concise understanding of scope of work Delivery model Sample templates of RACI Matrix, Gap Assessment reports etc. 	50

For each of the project, the bidder should provide Work Order/ other support documents for experience cited.

The minimum technical cut-off to qualify is 70% of maximum marks

III. Commercial Bid Opening and Evaluation

The commercial bids should include the following details-

1. Cost per resource per day – These rates should be blended rates offsite/online (minimum experience personnel at least 2 years, mean experience of entire team on project should be within 3-5 years)

2. Cost of Project Manager per month
3. Total Project cost spanning 10 weeks

Invest India shall evaluate the Commercial bids with reference to the information provided in the Standard Form (FORM 2). The Commercial bids of only those bidders who qualify the Pre-Qualification and scores minimum 70% of maximum marks, as the case may be under the Solution Evaluation shall be considered. **Invest India reserves the right to call any bidder to further discuss on the commercials submitted or seek clarification.** Invest India shall correct any computational errors in the Commercial bid and in case of dispute between the amounts expressed in words and figures, the former shall prevail.

Least Cost Basis: The commercial bids for only those bidders will be opened who qualify the technical round. Lowest commercial bids shall be selected for further discussion/ evaluation.

Invest India reserves the right to negotiate with the L1 bidder and others if required.

Upon completion of the RFP process, Invest India shall formally on-board the qualified bidder and the bidder shall be prepared to start the project as per the agreed schedule.

7. Terms and Conditions

- Only the Registered Firms/Companies who have expertise and specialization in providing services defined in scope of work will be considered.
- Applicants should not be blacklisted by any Central or State Government institution.
- The Registered Firms/Companies shall maintain complete confidentiality of all cases referred to them and shall not disclose any information to any unauthorized person in any form without prior permission from Invest India.
- Selected Firms/Companies will have to sign a Non-Disclosure and Confidentiality clause with Invest India.
- Invest India will evaluate proposals received and do their due diligence. The Executive Council formed under the Invest India will select Firms/Companies for On-Boarding.
- Invest India may propose fixed formats for preparation of reports at any time which the selected Firms/Companies will have to adhere to.
- Invest India has the right to expel any selected Firm/Company at their discretion. Any company which is found to deliver unsatisfactory work may not be liable to receive payment(s) for that particular work.
- **Termination of Contract:** Invest India may at any time terminate the contract by giving a written notice to the firm/company without any compensation if the firm/company becomes bankrupt or otherwise insolvent or in case of dissolution of the firm or winding up of the company, provided that such termination will not prejudice or effect any right of action or remedy, which has accrued thereafter to Invest India. The contract shall also be terminated in case of breach of any of the terms and conditions of the contract.
- **No claim certificate:** The firm/company shall not be entitled to make any claim, whatsoever, against the Invest India under or by virtue of or arising out of the contract nor will the Invest India entertain or consider any such claim for the jobs accepted post contract.
- **Confidentiality:** The firm/company and their personnel shall not, either during the term or after expiration of this contract, disclose any proprietary or confidential information relating to the services, contract or business or operations of the Invest India, without the prior written consent of the Invest India.
- **Force Majeure:** For the purpose of this clause, 'Force Majeure' shall mean an event that is unforeseeable, beyond the control of the parties and not involving the parties' fault or negligence. Such events may include acts of the Government either in its sovereign or in its contractual capacity, war, civil war, insurrection, riots, revolutions, fire, floods, epidemics, quarantine, restrictions, freight, embargoes, radioactivity and earthquakes. The firm/company shall not be liable if the delay in the discharge of its

obligations under this agreement is the result of an event of Force Majeure as defined above.

- If a Force Majeure situation arises the firm/company shall promptly notify to the Invest India in writing of such conditions and the cause thereof. Unless otherwise directed by Invest India in writing, the firm/company shall continue to perform its obligations under this Agreement, as far as it is reasonably practical and shall seek all reasonable means of performance not prevented by the Force Majeure event.
- **Arbitration and Jurisdiction:** Invest India and the firm/company shall make every effort to resolve amicably by direct negotiation any disagreement or dispute arising between them. If any dispute arises between the Invest India and the firm/company not covered by this agreement such dispute shall be referred to three arbitrators, one each to be appointed by each party and the third to be appointed by the DIPP Secretary, Department of Industry Policy & Promotion, Ministry of Industry and Commerce, Government of India. The award of the Arbitrators shall be binding upon the parties to the dispute. Such arbitration shall be governed by the provisions of the Indian Arbitration Act, 1996. The arbitration proceedings shall be held in New Delhi.

8. Annexures

I. Pre-Qualification Form - 1

{To Be Submitted on the Letter Head of the Bidder}

To:

Aditya Sharma
Chief Technology Officer
Invest India,
1st Floor, Vigyan Bhawan Annexe,
Maulana Azad Road, New Delhi – 110001

Subject: Submission of the Pre-Qualification Proposal for IT Governance and Compliance Assessment

Dear Madam / Sir:

We, the undersigned, offer to provide Assessment and Consultation Services in accordance with your Request for Proposal dated ----- . We would like to be a part of the evaluation process and kindly consider this letter as our formal application for the same.

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 agree to abide by all the terms and conditions of the RFP document.

We understand you are not bound to accept any proposal you receive.

Yours sincerely,

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Location: _____ Date: _____

II. Pre-Qualification Form – 2

{To Be Submitted on the Letter Head of the Bidder}

Name of the Bidder	
Mailing Address in India	
Telephone Number	
Year of Establishment	
Number of Employees	
Annual Turnover	

S. No.	Pre-qualification Criteria	Supporting Documents to be furnished	Compliance (Yes/No)	Supporting Document Reference (with page no)
1				
2				
3				
4				

POC Name	
Designation	
Phone Number	
E-Mail	

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Location: _____ Date: _____

III. Tech Form-1: Bidder's Experience

Part 1 – Executive Summary

- Should Focus on overview of Organization
- IT GRC services and capabilities of the organization
- Proposed Solution/ framework/ delivery model/ approach
- Experience of Implementing Similar Projects

Part 2

1. Using the format below, provide information on each assignment for which your firm was legally contracted for carrying out Technology services as requested under this assignment
2. All fields in the format are mandatory. In case of absence of information, the evaluation committee shall consider the information unresponsive for that credential and continue with the evaluation

Client Name	
Address	
Project Title	
Start Date	
End Date	
Location of project	
Narrative description of the project	
Description of actual services provided by your staff within the assignment and areas in which it was provided.	

IV. Tech Form-2: Summary of Team Composition

S.No	Proposed Position	Resource Name	Educational Qualifications	Experience in Years	Certifications, Skills & Competencies
1					
2					
3					

V. Tech Form-3: Curriculum Vitae

1. Proposed Position:
2. Name of Firm:
[Insert name of Bidder proposing the staff]:
3. Name of Staff: [Insert full name]:
4. Date of Birth:
5. Education:
[Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]
6. Membership of Professional Associations:
7. Countries of Work Experience:
[List countries where staff has worked in the last ten years]
8. Languages: [For each language indicate proficiency: good, fair, or poor in speaking, reading, and writing]
9. Employment Record:
From [Year To Year]
Authority:
Positions held:
10. Detailed Tasks Assigned:
[List all tasks to be performed under this Assignment/job]
11. Work Undertaken that Best Illustrates Capability to handle the Tasks Assigned

VI. Com Form-1: Commercial Bid Submission Form

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

To:

Aditya Sharma
Chief Technology Officer
Invest India,
1st Floor, Vigyan Bhawan Annexe,
Maulana Azad Road, New Delhi – 110001

Subject: Submission of the Commercial bid for IT Governance and Compliance Assessment

Dear Madam / Sir:

We, the undersigned, offer to provide Technology Services in accordance with your Request for Proposal dated -----and our Proposal. We are hereby submitting our Commercial bid sealed in a separate envelope.

Our Commercial bid shall be binding upon us for the bid validity period of 90 days as stipulated in the RFP document.

We hereby declare that all the information and statements made in this Commercial bid are true and accept that any misinterpretation contained in it may lead to our disqualification. We agree to abide by all the terms and conditions of the RFP document.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Location: _____ Date: _____

VII. Com Form-2: Summary of Costs Of Resources

- a) Tax and expenses shall be outside the Resource Cost and should not be included in the above table.
- b) Tax shall be billed at prevailing Government rate.
- c) The Out-of-Pocket expenses if any shall be decided separately on project to project basis.
- d) For consideration of their bids, bidders shall have to quote for all the above Resource categories.

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Location: _____ Date: _____