

# Request for Proposal for implementation of Enterprise Resource Planning System at MMTC Limited

Tender Reference No: MMTC/CO/COMP/ERP/RFP/2015-16/1 dated  
29.10.2015

Volume I Functional, Technical and Operational Requirements



**A Govt. of India Enterprise**

(Core-1, SCOPE Complex, 7, Institutional Area, Lodi Road)

New Delhi – 110 003 (India)

## Disclaimer

---

This Request for Proposal (**RFP**) for Selection of ERP product and its implementation partner is issued by MMTC Limited (referred in the document as MMTC) which is under the administrative control of Ministry of Commerce, Government of India.

Whilst the information in this RFP has been prepared in good faith, it is not and does not purport to be comprehensive or to have been independently verified. Neither MMTC, nor its employees, nor any of their advisers nor consultants accept any liability or responsibility for the accuracy, reasonableness or completeness of the information contained in the RFP, or for any errors, omissions or misstatements, negligence or otherwise, relating to the proposed ERP Project, or makes any representation or warranty, express or implied, with respect to the information contained in this RFP or on which this RFP is based or with respect to any written or oral information made or to be made available to any of the recipients or their professional advisers and, so far as permitted by law and except in the case of fraudulent misrepresentation by the party concerned, and liability therefore is hereby expressly disclaimed.

The information contained in this RFP is selective and is subject to updating, expansion, revision and amendment at the sole discretion of MMTC. It does not, and does not purport to, contain all the information that a recipient may require for the purposes for making a decision for participation in this process. Each Party must conduct its own analysis of the information contained in this RFP, to correct any inaccuracies therein and is advised to carry out its own investigation into the proposed ERP Project, the regulatory regime which applies thereto and by and all matters pertinent to this Project and to seek its own professional advice on the legal, financial and regulatory consequences of entering into any agreement or arrangement relating to this Project. MMTC shall not be responsible for any direct or indirect loss or damage arising out of or for use of any content of the RFP in any manner whatsoever.

This RFP includes certain statements, projections, targets and forecasts with respect to the Project. Such statements, projections, targets and forecasts reflect various assumptions made by the management, officers, employees, consultants, and experts of MMTC, which (the assumptions and the base information on which they are made) may or may not prove to be correct. No representation or warranty is given as to the reasonableness of forecasts or the assumptions on which they may be based and nothing in this RFP is, or should be relied on as, a promise, representation or warranty.

MMTC shall be the sole and final authority with respect to qualifying a bidder through this RFP. The decision of MMTC in selecting the System Integrator (SI) who qualifies through this

RFP shall be final and MMTC reserves the right to reject any or all the bids without assigning any reason thereof.

MMTC may terminate the RFP process at any time without assigning any reason and upon such termination, MMTC shall not be responsible for any direct or indirect loss or damage arising out of such a termination.

## Table of Contents

1.	About the RFP .....	11
2.	Introduction .....	12
2.1.	Objectives of MMTC.....	12
2.2.	MMTC Areas of Operations .....	12
2.3.	MMTC Organizational Structure .....	15
2.4.	MMTC office Locations .....	17
2.5.	MMTC Organization Strength .....	17
3.	About the Project.....	18
3.1.	Project Vision .....	18
3.2.	Project Objectives .....	18
3.3.	Broad Expectations from the proposed ERP System .....	18
4.	Broad Overview of MMTC Operations.....	20
4.1.	Functional Overview .....	20
4.1.1.	Commodity Trading.....	20
4.1.1.1.	Minerals .....	20
4.1.1.2.	Precious Metals, Gems and Jewellery .....	20
4.1.1.2.1.	Bullion Operations .....	21
4.1.1.2.2.	Retail .....	22
4.1.1.3.	Metals and Industrial raw materials.....	22
4.1.1.4.	Agro Products .....	22
4.1.1.5.	Fertilizer and Chemicals.....	23
4.1.1.6.	Coal and Hydrocarbons.....	23
4.1.1.7.	General Trade .....	23
4.1.2.	Shipping.....	24
4.1.3.	Corporate Functions .....	24
4.1.3.1.	Finance and Accounts .....	24
4.1.3.2.	Personnel and Training .....	25
4.1.3.3.	Corporate Planning .....	25
4.1.3.4.	Projects Division.....	25
4.1.3.5.	Internal Audit.....	26
4.1.3.6.	Corporate Social Responsibility (CSR) .....	26
4.1.3.7.	Board Secretariat .....	26
4.1.3.8.	Administration and Establishment.....	27
4.1.3.9.	Corporate Communication.....	27
4.1.3.10.	Law.....	27
4.2.	Existing Information Systems.....	27
5.	Project Requirements .....	30
5.1.	Statement of Work.....	30
5.2.	Detailed Functional Requirement study, System Requirements Study and System Design 31	
5.2.1	Detailed Description of Requirements and Features.....	31
5.2.2	Project Preparation .....	31
5.2.3	Requirements Gathering and Analysis .....	32

5.2.4	System Design .....	32
5.2.5	Business Design .....	34
5.3	Supply, installation, implementation, configuration, customization, integration and testing of Enterprise Resource Planning system together with relevant database, licenses and other software in conformance to Industry standards.....	34
5.3.1	Compliance to Standards .....	35
5.3.2	Reference Architecture.....	36
5.3.3	Deployment Architecture .....	36
5.3.4	Testing and Hosting .....	36
5.4	Procurement, installation, configuration and commissioning of central servers for hosting the proposed ERP system in the Data Center at MMTC corporate office, New Delhi.....	36
5.5	Procurement, installation, configuration and commissioning of central servers for hosting the proposed ERP system in the Disaster Recovery Center(DRC) at Mumbai Regional Office	37
5.6	Facilitate MMTC in the estimation for Networking & Security requirements and all user computing infrastructure comprising hardware and software, and help in the procurement, installation, configuration and commissioning of the same as and when required.....	37
5.7	Data Migration of Legacy Data .....	37
5.8	Change Management and Capacity Building including Training of users for effective use of the system .....	39
5.9	Operation and Maintenance of the entire ERP System, including Application and IT infrastructure for a period of Five (5) years, extendable to Three (3) further terms of Two (2) years each from the date of Final Go Live .....	39
5.10	Adherence to Implementation Plan and Project Governance Structure.....	40
5.11	Documentation of ERP Project.....	40
6.	Functional Landscape.....	42
7.	Technical Architecture & Requirements .....	45
7.1.	Application-related Technical features.....	46
7.2.	Application and other standards.....	46
7.3.	Compliance with Industry Standards .....	46
7.4.	Non Functional requirement for the ERP Implementation .....	47
7.5.	Security Requirements and features .....	49
7.6.	Audit Requirements .....	50
7.7.	OEM Services .....	51
7.8.	Interface Requirements .....	54
8.	Infrastructure Requirements .....	55
8.1.	Data Centre and Disaster Recovery Center requirements.....	55
8.2.	Network connectivity.....	56
8.3.	Deployment Architecture .....	56
9.	The implementation Methodology.....	60
9.1.	Installation and Commissioning of necessary infrastructure.....	61
9.2.	Configuration / customization .....	61

9.2.1	<i>Custom Developed Reports (Includes reports/ Custom Dashboards)</i> .....	63
9.2.2	<i>Custom Developed Forms and Print Layouts</i> .....	63
9.2.3	<i>Custom Enhancements</i> .....	63
9.2.4	<i>Custom Workflows</i> .....	63
9.2.5	<i>Custom Interfaces</i> .....	63
9.2.6	<i>Custom Data Conversion Programs</i> .....	63
9.2.7	<i>Complexity Guidelines</i> .....	63
9.3.	Testing.....	66
9.3.1	<i>Base Line Testing</i> .....	66
9.3.2	<i>Development Testing</i> .....	67
9.3.3	<i>Integration and System Testing</i> .....	67
9.3.4	<i>Load and Stress Testing</i> .....	68
9.4.	System Acceptance .....	69
9.5.	Cutover and Go-Live.....	69
9.6.	Post Go-Live Stabilization Support.....	70
10.	Implementation Approach and Project Timelines.....	71
11.	Project Deliverables Schedule.....	73
12.	Deliverables Acceptance Criteria .....	76
13.	Operations & Maintenance.....	77
13.1.	Operations and Maintenance Support .....	78
13.1.1	<i>Operation and Maintenance from the date of Go Live</i> .....	78
13.2.	Handholding Support Requirements .....	87
13.3.	Centralized helpdesk.....	88
14.	Data Migration Requirements .....	92
14.1.	Additional Requirements for Data Migration .....	93
15.	Training and Change Management Plan.....	94
15.1.	Need for Change Management.....	94
15.2.	Key Change Management Implications .....	94
15.3.	Change Management Plan .....	96
15.4.	Responsibilities of Change Management Teams .....	96
15.5.	Key steps for change implementation .....	97
15.6.	Approach to Capacity Building.....	97
15.7.	Training Requirements.....	98
16.	Governance.....	100
16.1.	Key Stakeholders of the project.....	100
16.2.	Project Steering Committee.....	100
16.3.	Project Operations Committee .....	101
16.4.	Project Management Unit (PMU) .....	101
16.5.	SI Project Team .....	102
17.	Documentation Requirements.....	106
18.	Roles and responsibilities.....	108
18.1	Role and Responsibilities of System Integrator (SI).....	108

18.2 Role and Responsibilities of MMTC .....	109
Annexures.....	111
Annexure I .....	111
<i>List of MMTC Office Location</i> .....	111
<i>List of MMTC Retail Stores</i> .....	112
Annexure II .....	115
Annexure III .....	115
Annexure IV .....	116
<i>Bill of Material and Technical Specifications</i> .....	116
<i>IT infrastructure specifications</i> .....	123

## List of Figures & Tables

FIGURE 1 MMTC TRADING COMMODITIES .....	13
TABLE 1 DETAILS OF EXPORT & IMPORT OF COMMODITIES.....	14
TABLE 2 DETAILS OF INTERNAL CORPORATE FUNCTIONS.....	15
FIGURE 2 MMTC ORGANIZATIONAL STRUCTURE.....	16
FIGURE 3 MMTC OFFICE LOCATIONS .....	17
FIGURE 4 MMTC COMMODITY TRADING .....	20
FIGURE 5 MMTC CURRENT ERP MODULES.....	28
FIGURE 6 MMTC CURRENT IT LANDSCAPE .....	29
FIGURE 7 FUNCTIONAL LANDSCAPE.....	42
FIGURE 8 HIGH LEVEL SOLUTION ARCHITECTURE .....	45
TABLE 3 INDUSTRY STANDARDS.....	47
TABLE 4 EXTERNAL INTERFACES WITH ERP APPLICATION.....	54
TABLE 5 CURRENT NETWORK ARRANGEMENT.....	56
TABLE 6 PROJECT USERS (*SUBJECT TO CHANGE).....	57
FIGURE 9 LOGICAL CONNECTIVITY DIAGRAM OF DC AND DRC AND MMTC OFFICES .....	59
TABLE 7 TIMELINES FOR PROJECT IMPLEMENTATION .....	71
TABLE 8 PROJECT MILESTONES AND DELIVERABLE SCHEDULE.....	75
TABLE 9 HELPDESK RESOURCE REQUIREMENTS.....	91
TABLE 10 DATA MIGRATION CONSIDERATIONS .....	92
TABLE 11 CHANGE INTERVENTIONS.....	95
TABLE 12 ISSUES CATEGORIZATION .....	96
TABLE 13 TRAINING USER MATRIX .....	98
TABLE 14 PROPOSED TEAM STRUCTURE .....	105



### List of Abbreviations

S. No.	Abbreviation	Description
1	BG	Bank Guarantee
2	BL	Bill of lading
3	BOD	Board of Directors
4	CIF	Cost, Insurance and Freight
5	CO	Corporate Office
6	C&F	Cost and Freight
7	CHA	Custom House Agents
8	CMD	Chairman cum Managing Director
9	Corp IT	Corporate income tax
10	CIT(A)	Commissioner of Income-tax (Appeals)
11	CWC	Central Warehousing Corporation
12	D&B	Dun & Bradstreet
13	DWT	Deadweight Tonnes
14	DD	Demand Draft
15	EC	Executive Committee
16	EDLI	Employee Deposit linked insurance
17	EMD	Earnest Money Deposit
18	EPFO	Employees' Provident Fund Organization
19	ERP	Enterprise Resource Planning
20	ETA	Estimated Time of Arrival (of vessel)
21	FOBT	Free On Board Trimmed
22	FOR	Free on Rail
23	FOB	Free On Board
24	F&A	Finance and Accounting

25	FCI	Food Corporation of India
26	FSI	Foreign Service Accounts
27	FDR	Fixed Deposit Rates
28	FY	Financial Year
29	FMCOD	Functional Management Committee of Directors
30	GR	Guaranteed Remittance
31	IT	Information Technology/ Systems
32	IT Department	Income Tax Department
33	LC	Letter of Credit
34	LTA	Long Term Agreement
35	LIC	Life Insurance Corporation of India
36	LOI	Letter of Intent
37	MMTC	MMTC Limited
38	MCX	Multi Commodity Exchange
39	MT	Metric Ton
40	NCDEX	National Commodity and Derivatives Exchange
41	NINL	Neelachal Ispat Nigam Limited
42	NOR	Notice of Readiness
43	NFM	Non-Ferrous Metal
44	NIT	Notice Inviting Tender
45	NINL	Neelachal Ispat Nigam Limited.
46	NMDC	National Mineral Development Corporation
47	NSEL	National Spot Exchange Limited
48	POSCO	Pohang Iron and Steel Company
49	PM	Precious Metal

---

<b>50</b>	RO	Regional Office
<b>51</b>	SAIL	Steel Authority of India
<b>52</b>	SI	System Integrator
<b>53</b>	SOF	Statement of facts
<b>54</b>	SRO	Sub Regional Office
<b>55</b>	SPCOD	Sale Purchase Committee of Directors
<b>56</b>	SWC	State Warehousing Corporation
<b>57</b>	VAT	Value Added Tax

## 1. About the RFP

---

This document constitutes the Request for Proposal (RFP) for selection of ERP product and System Integrator (referred in the document as SI) by MMTC Limited (referred in the document as MMTC). This RFP has been prepared to invite bidders to submit their proposals to implement and maintain the ERP System for MMTC.

Information used for the preparation of this RFP has been made available from relevant and published sources of MMTC. Nonetheless, bidders are required to make informed evaluation and decision based on their judgment.

This RFP document contains the entire information that constitutes the requirement as proposed by MMTC in order for qualified bidders to submit their proposals. Any queries or clarifications must be submitted in the prescribed format and will be addressed to all bidders simultaneously.

This RFP comprises the following documents:

### **Volume I: Functional, Technical and Operational Requirements**

Volume I of RFP brings out all the details of solution requirements of the ERP System. This volume also gives the details of the other requirements (functional, operational and technical) of the ERP system.

### **Volume II: General Instructions, Commercial and Bidding Terms**

Volume II of RFP brings out details of the bidding process, bidding terms and conditions and all that may be needed by the bidders to understand the bidding process.

### **Volume III: Master Service Agreement and Service Level Agreement**

Volume III of RFP explains the contractual terms that will govern the project implementation and operation. This includes the draft Master Service Agreement and Service Level Agreement that MMTC intends to sign with the successful bidder i.e. the selected SI.

**This Document is Volume I.**

## 2. Introduction

---

MMTC was established in 1963, is one of the highest foreign exchange earners for India and also a leading international trading company with a turnover of over Rs. 25,270 Crores during 2013-14. It is the first Public Sector Enterprise to be accorded the status of "FIVE STAR EXPORT HOUSE" by Government of India for long standing contribution to exports.

MMTC is the largest non-oil importer in India. MMTC's diverse trade activities encompass Third Country Trade, Joint Ventures and Link Deals - all modern day tools of international trading. Its vast international trade network includes a wholly owned international subsidiary in Singapore spans almost in all countries in Asia, Europe, Africa, Oceania and Americas, giving MMTC market coverage globally.

### 2.1. Objectives of MMTC

---

1. To be a leading International Trading House in India operating in the competitive global trading environment, with focus on "bulk" as core competency and to improve returns on capital employed.
2. To retain the position of single largest trader in the country for product lines like minerals, metals and precious metals.
3. To promote development of trade-related infrastructure.
4. To provide support services to the medium and small scale sectors.
5. To render high quality of service to all categories of customers with professionalism and efficiency.
6. To streamline system within the company for settlement of commercial disputes
7. To upgrade employee skills for achieving higher productivity.

### 2.2. MMTC Areas of Operations

---

As the largest Public Sector Trading Company in India and a major Trading company of Asia, MMTC aims at improving its position further by achieving sustainable and viable growth rate through excellence in all its activities, generating optimum profits through total satisfaction of shareholders, customers, suppliers, employees and society.

MMTC has been engaged in business areas comprising majorly of 8 trade segments and their Corporate functions. The trade segments are:

1. Non Ferrous Metals
2. Minerals
3. Precious Metals
4. Agro products
5. Coal and Hydro Carbons
6. Fertilizer & Chemicals
7. Steel
8. General trade



**Figure 1 MMTC Trading Commodities**

As a Trading company, MMTC deals in export and import of various commodities. For some of the commodities like urea, iron ore etc. it is a canalized agency i.e. nominated by Government of India. Major area of operations for MMTC includes the following:

S No	Area	Major Products Handled	Operation
1	Minerals	Iron ore, Chrome Ore and Manganese Ore	Export, domestic trade and supply to NINL
2	Steel	Steel , Steel Billets , NINL Products	Import, Domestic trade and Export
3	Coal & Hydrocarbons	Non Coking (Steam), Coking Coal, Thermal Coal, Naphtha, LAM Coke, Furnace Oil and Bitumen	Import & Domestic trade
4	Non Ferrous Metals	Copper, Aluminium, Zinc Ingots, Lead Ingots, Tin Ingots, Nickel and IRM	Import & Domestic trade
5	Fertilizer & Chemicals	Urea, Di-ammonium Phosphate (DAP), Muriate of Potash (MOP), Sulphur, Rock Phosphate, Phosphoric Acid, Ammonia, Complex Fertilizer and Technical Grade (TG) Urea	Import & Export
6	Agro Products	Wheat, Rice, Sugar, Pulses, Edible oil and Cotton	Domestic trade, Export and Import
7	Precious Metals	Gold, Silver, Platinum, Palladium,	Import & Domestic

S No	Area	Major Products Handled	Operation
		Rough Diamonds and Coloured Stones	trade
		Jewellery Operations	Domestic trade & Export
		Assaying and Hallmarking	For testing purity
		“Sanchi” Silverware	Manufacturing & Retail sale
		Medallion	Manufacturing & Sale
8	General Trade	Resins, Petrochemicals, Security items, Gypsum, Clinker, Cement, Pharmaceuticals, Machinery, transformer, etc.	Import

**Table 1 Details of Export & Import of Commodities**

The other internal corporate functions of MMTC include the following:

S No	Name of the function	Subordinate Function
1	Administration & Establishment	<ul style="list-style-type: none"> <li>• Estate</li> <li>• Stores</li> </ul>
2	Finance & Accounts	<ul style="list-style-type: none"> <li>• Central accounts</li> <li>• Administration &amp; Establishment</li> <li>• Medical Accounts</li> <li>• Banking</li> <li>• Corporate Income Tax</li> <li>• Contributory provident fund</li> </ul>
3	Personnel	<ul style="list-style-type: none"> <li>• Corporate Social Responsibility(CSR)</li> <li>• Human Resource &amp; Training</li> <li>• Industrial Relations (IR)</li> <li>• Welfare</li> <li>• Right to Information (RTI)</li> </ul>
4	Law	
5	Corporate Communication	
6	Corporate Planning	
7	Internal audit	
8	Board Secretariat	
9	Projects	<ul style="list-style-type: none"> <li>• Joint Ventures</li> </ul>

---

<b>10</b>	Systems(IT)	
<b>11</b>	Vigilance	
<b>12</b>	Raj Bhasha	
<b>13</b>	Shipping	
<b>14</b>	Insurance	

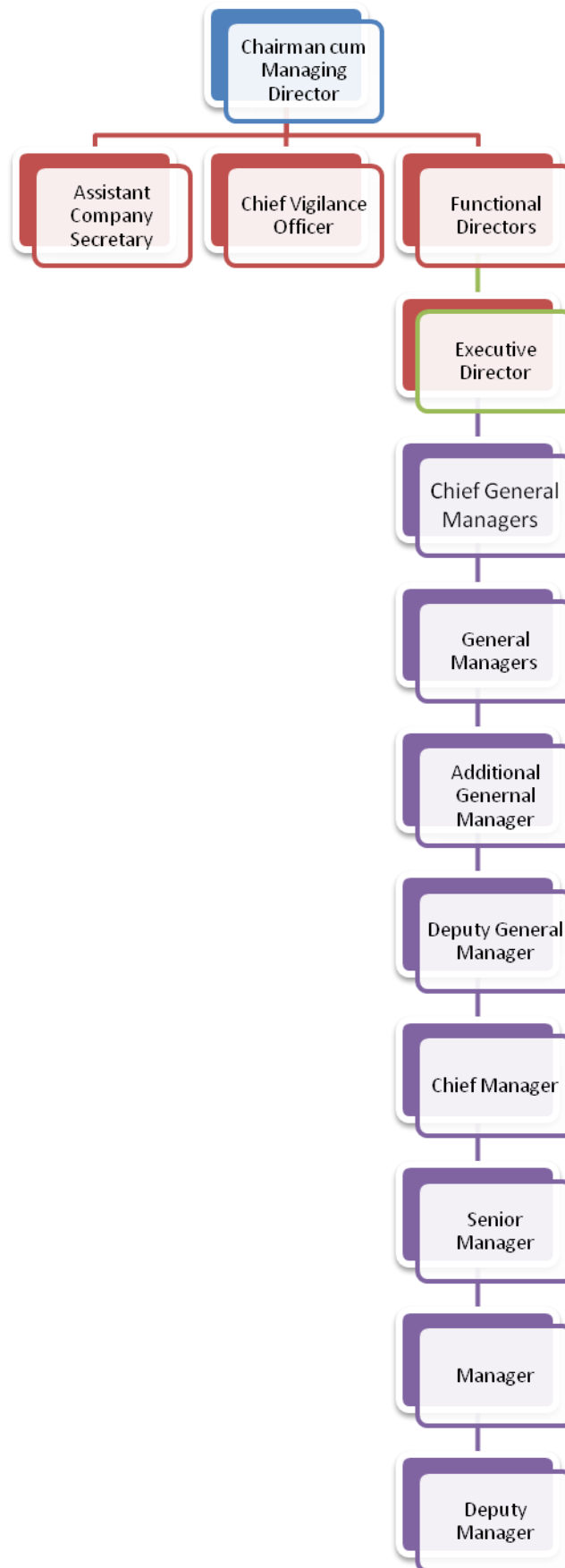
**Table 2 Details of Internal Corporate Functions**

### 2.3. MMTC Organizational Structure

---

MMTC is a centrally administered organization with all the policies and procedures being administered by the Corporate Office. All the commodity business is realized by concerned Regional Office (including its Sub regional offices, Godown and Port/field offices etc.) hence the presence of divisions in regions and other locations is strictly on need basis.



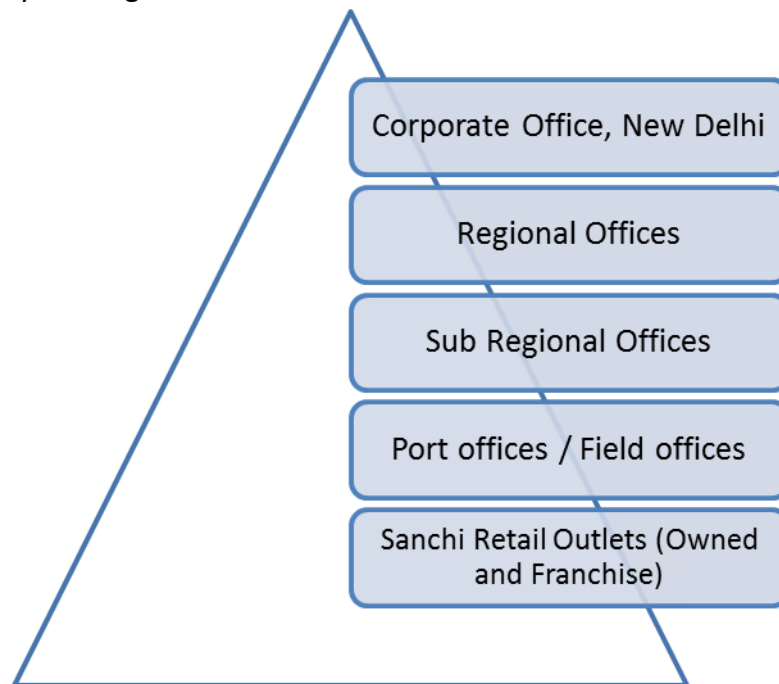


**Figure 2 MMTC Organizational Structure**

## 2.4. MMTC office Locations

---

MMTC's corporate office is located in New Delhi and other offices are spread across all over India, monitored by the Regional office concerned.



**Figure 3 MMTC Office Locations**

A detailed list of office locations and retail outlets is mentioned in Annexure I of volume I the RFP document.

## 2.5. MMTC Organization Strength

---

The employee strength of MMTC is approximately 1500 employees spread across all locations in India.

### 3. About the Project

---

MMTC is one of the first PSU organizations who have implemented the Enterprise Resource Planning (ERP) System. MMTC implemented the ERP system in 2001 to provide improved services to its employees and other stakeholders. However, the implemented ERP system is not able to cope up with rapidly changing business environment/processes in MMTC which has resulted in the development of multiple applications which are either standalone or partially integrated with the current ERP System. The present ERP system in its current state needs to be technically upgraded to latest technology platform & provide services to the stakeholders to meet the current requirements. Considering the limitation of the existing ERP system, MMTC intends to implement an ERP system in order to cope with the challenges posed by the growing business needs including statutory compliances.

In order to streamline its processes and increase efficiency and effectiveness of services, MMTC has undertaken a comprehensive exercise to implement a new ERP System across all the functions and locations of the organization. The proposed ERP system is aimed to bring in transparency and sustainability of the processes.

#### 3.1. Project Vision

---

MMTC proposes to implement ERP System across all its locations and functions for seamless exchange of information within the organization.

***“To ensure transparent, easy, efficient and accurate availability of information and facilitation of transactions”***

#### 3.2. Project Objectives

---

The key objectives of this initiative are:

1. Design and implement processes and applications that help MMTC achieve the project vision
2. To increase the efficiency and improve monitoring and administration for effective decision making
3. Developing a single and integrated view of MMTC’s information system across all functions and locations

#### 3.3. Broad Expectations from the proposed ERP System

---

The present ERP System was implemented on centralized client-server architecture deployed across India covering Corporate Office, Regional offices and Sub-regional offices.

As discussed in the previous section, that in the last decade MMTC’s business and related processes have changed significantly, hence the new solution should be flexible enough to cater to changing business needs. Some of the broad expectations gathered during employee interactions are listed below:

- The system should be a single integrated system for all locations
- The system should be able to generate all Financial statements, Cash flow statements and consolidated reports as per financial standards adopted by MMTC
- The system should be user friendly and with simplified workflows
- The system should allow users to have Drill down functionality from General Ledger to Sub-ledger entries
- The system should allow tracking of financial and security instruments
- The system should have minimum customization
- The system should be able to support consolidation of regional budgeting and approvals
- The system should allow users to monitor funds usage and perform analysis using dashboard

The proposed solution should comply with the functional requirements specifications attached in Annexure II of volume I of the RFP document.

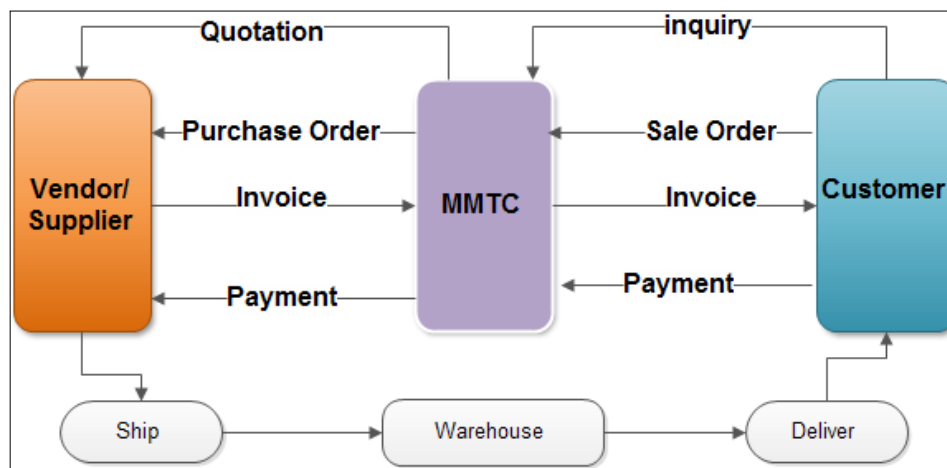
## 4. Broad Overview of MMTC Operations

### 4.1. Functional Overview

As the largest Trading Company of India and a major Trading company of Asia, MMTC aims at improving its position further by achieving sustainable and viable growth rate through excellence in all its activities, generating optimum profits through total satisfaction of shareholders, customers, suppliers, employees and society.

#### 4.1.1. Commodity Trading

The primary function of MMTC is bulk Commodity trading. The revenue generation to MMTC is by facilitating the transactions between buyers and sellers. The core processes of trading at MMTC are Back-to-Back businesses where the key object of trading is Contract.



**Figure 4 MMTC Commodity Trading**

MMTC's business includes trading in various Minerals, Metals, Fertilizers, Agro commodities, Coal, Hydrocarbons, Precious metals etc. The complete trading function is cross-functional, cutting across the various geographies and functional groups.

##### 4.1.1.1. Minerals

MMTC continues to be the country's leader in mineral exports for over five decades now. MMTC has managed bulk operations spread across far - flung areas in the mineral rich states of the country and by exporting minerals from all the major ports of India, thus utilizing the extensive network of infrastructure facilities. The items that are traded are Iron Ore, Manganese Ore, Chrome Ore and others like Mud Chemicals, Barytes, Bentonite, Bauxite, Talc, Gypsum, Feldspar, Quartz/Silica Sand, Garnet Sand, Kaolin Vermiculite etc.

##### 4.1.1.2. Precious Metals, Gems and Jewellery

MMTC is one of India's Premier bullion traders, handling Precious Metals, dealing mainly with import and export of gold & silver, platinum, palladium, gems, rough diamonds and other semi-precious color stones. The Division is into a range of activities covering imports,

exports and domestic trade. It also helps in promoting exports from India by holding exclusive foreign exhibitions of gold and studded Jewellery at chosen overseas locations. MMTC is an authorized agency of Government of India for import of gold, silver, platinum, palladium, rough diamonds, emeralds, rubies and other semi-precious stones and supplies these items to Jewellers in India for domestic sales and exports. It is one of the custodians of the Diamond Plaza Customs Clearance Center in Mumbai. MMTC is also the custodian for import & export of precious cargo at SEEPZ, Mumbai.

This division also operates in-house assaying and hallmarking units in New Delhi, Ahmedabad, Kolkata and Jaipur duly accredited by the Bureau of Indian Standards (BIS) for testing purity of gold/silver medallion and gold/silver articles. MMTC has a unit in New Delhi for manufacturing its own brand of gold & silver medallions and silverware. Customized requirements for corporate and institutional orders are serviced from here throughout the year.

The division sells “Sanchi “, its own silverware brand and medallions through its Sanchi showrooms and franchise stores in all the major cities of India. This division also sells branded hallmarked gold and studded Jewellery from its showrooms across India.

The division also regularly organizes domestic Jewellery exhibitions for sale of gold and diamond Jewellery, medallions and Sanchi on various occasions round the year.

#### 4.1.1.2.1. Bullion Operations

MMTC is one of India’s Premier bullion traders; the Precious Metals division has consistently contributed to the total turnover of the Company. This division imports and supplies Gold, Platinum and Silver to exporters under various schemes as per Foreign Trade Policy of Government of India which gets revised from time to time. It also imports Gold and Silver for sale in domestic market under Open General License (OGL) Scheme as one of the Nominated Agencies. Bullion is imported either on consignment basis or against Letter of Credit (LOC) or Standby Letter of Credit (SBLC). The supplier has to be a London Bullion Market Association (LBMA) member and in case of imports under consignment basis or SBLC, a Master agreement is entered by Precious Metals division, Corporate Office with the foreign supplier. The customer has to be registered with MMTC before commencing business after due diligence is conducted.

The various schemes under this division are offered on need basis. Even though all the schemes mentioned above are not in operation presently, the division may implement a scheme as and when the need arises, as per the Foreign Trade Policy of Government of India which gets revised from time to time.

---

#### 4.1.1.2.2. Retail

Sanchi is MMTC's brand of Silverware specifically introduced for the quality conscious customers. The retail products of MMTC are sold through its retail outlets and franchise showrooms across India.

MMTC has a unit in New Delhi for manufacturing its own brand of gold and silver medallions since the year 1996. Customized requirements for corporate and institutional orders are serviced from here throughout the year.

---

#### 4.1.1.3. Metals and Industrial raw materials

MMTC imports the following metals as per London Metal Exchange (LME) deliverable specifications and also Non LME grade material according to the requirements of MMTC customers:-

1. Non-Ferrous Metals: Copper in the form of Wire bars, Cathodes, CC rods, Aluminum in the form of Ingots and Wire rods, Zinc Ingots, Special HG, Lead Ingots, Tin Ingots, Nickel, Briquettes, Ferro Nickel etc.
2. Minor Metals: Antimony, Silicon, Magnesium, Mercury, etc.
3. Industrial Raw Materials, Noble metals and Ferro alloys, etc.

These metals are imported for high seas sales and for catering to local requirement for domestic sale on ex-godown basis.

---

#### 4.1.1.4. Agro Products

MMTC is a global player in the Agro trade, with its comprehensive infrastructural expertise to handle agro products. This division provides full logistic support from procurement, quality control to guarantee timely deliveries from different parts of the country through a wide network of regional and port offices in India and its contacts abroad.

The Agro trade primarily depends on Government policies and vagaries of monsoon. At times when the surplus agro products are available in the country, the export opportunities emerge while in the period of shortages, the Agro products need to be imported. This division continues to pursue plans and strategies to meet the shortages of edible oils, food grains & pulses in the country by imports and export of surplus availability of Agro products like wheat in the country. The division is geared up to meet the challenges stemming from wide variations in quantity/ product range available for imports/ exports besides broadening the commodity profile to ensure future sustainability of business growth.

The company has to step-in to be bulk importer/exporter of any agro commodity as per the directives of Government of India from time to time.

---

#### 4.1.1.5. Fertilizer and Chemicals

---

MMTC has remained as one of the largest importers of fertilizers in India. It is engaged in the import of finished, intermediate and raw fertilizers. It continues to remain a trusted and reliable supplier of fertilizers to many institutional customers in India. The items that are imported are finished products like Urea, Di-ammonium phosphate (DAP), Muriate of Potash (MoP) and raw materials like Rock Phosphate, Phosphoric Acid, Ammonia etc.

#### 4.1.1.6. Coal and Hydrocarbons

---

Coal and Hydrocarbons is identified as one of the core areas of business for MMTC and Steam coal is identified as a thrust product for import. This division is very successful in organizing supplies of Coking coal, Non-coking (steam) coal, Low ash metallurgical coke, Naphtha etc. This division caters to the requirements of various customers, which includes State Electricity Boards and Power Utilities. This division is one of the largest importers of LAM COKE in India. LAM COKE is imported for various customers like Neelachal Ispat Nigam Limited (NINL), Steel Authority of India Limited (SAIL), Rashtriya Ispat Nigam (RINL), Kudremukh Iron Ore Company Ltd (KIOCL), and Industrial Development Corporation Orissa Ltd. (IDCOL) and also for some private companies. This division imports LAM COKE on a regular basis for MMTC's promoted Neelachal Ispat Nigam Limited. The Division also undertakes marketing of high quality LAM COKE and coal tar produced by Neelachal Ispat Nigam Ltd.

#### 4.1.1.7. General Trade

---

This division is equipped and dedicated to deliver International Trading solutions in the trading of a vast range of commodities like Chemicals, Drugs and Pharmaceuticals, Paraffin Wax, PVC Resin and Granules, Wool and Cotton, Cement, Clinker, Gypsum, Security equipment and Engineering goods. This division constantly pursues opportunities of any other items of interest to the trade and industry from anywhere in the world with particular focus on SAARC, CIS and East European countries.

#### 4.1.1.8. Steel

---

Neelachal Ispat Nigam Limited (NINL), a Company promoted by MMTC and Industrial Promotion & Investment Corporation of Orissa Limited (IPICOL) was set up as an integrated 1.1 Million ton capacity Iron and Steel Plant at Kalinga Nagar Industrial complex, Duburi, Orissa. Presently the main products are Pig Iron and BF coke along with Nut coke, Coke breeze, Crude tar, Ammonium sulphate and Granulated slag.

MMTC's contribution as the main promoter starts with procurement of raw materials like iron ore and coking coal, to closely monitor the eventual manufacturing and supply of finished products that meet the diverse requirements of end users for quality products.



#### 4.1.2. Shipping

---

The purpose of this division is to nominate vessels or its substitute as per the requirements of commodity division through the Ministry of Shipping so that it can ensure pre-shipment formalities and necessary statutory compliances are followed at the time of vessel loading as per the contract.

#### 4.1.3. Corporate Functions

---

##### 4.1.3.1. Finance and Accounts

---

Finance and Accounts comprises of various activities for performing business functions as described below:

###### 4.1.3.1.1 Administration and Establishment Division

This division primarily deals with all payments related to the administrative expenses of the corporate office. This division acts as the Associate finance division to the Administration & establishment division. The Administration division process the payments of both external vendors/ service providers and regular employees of MMTC.

###### 4.1.3.1.2 Finance – Central Accounts

The central accounts division of MMTC primarily deals in budgeting, Account finalization and MIS reporting .Weekly turnover reports created to capture details like turnover, gross profit etc. over various heads namely, export import, domestic, branch level etc. The reports also include profitability statement, debtor statements, administrative expenses, inventory statements and other miscellaneous reports. Budgeting includes generating budgetary requirements under various heads like, capital expenditure, loans and advances etc. Accounts finalization encompasses all voucher entry, Ledger maintenance, preparation of trial balance, preparation of financial statements (cash flow, profit and loss, balance sheet etc.)

###### 4.1.3.1.3 Finance-Corporate Income Tax

This division handles activity related to fulfilling the statutory requirements as specified by Government of India. This division prepares the Income Tax returns of the company in accordance with the rules specified. In order to do this, this division collects information from all the respective divisions/ROs and prepares the necessary documents.

###### 4.1.3.1.4 Finance – Contributory Provident Fund (CPF) Accounts

MMTC has set up its own CPF Trust which is a separate entity. The CPF division is located at the corporate office of MMTC in New Delhi. It does not have any other branch. MMTC CPF Trust has no branches but each Regional Office of MMTC function on behalf of the Trust for activities pertaining to the Trust. The Contributory Provident Fund (CPF) has two contributors: Employees and Employer. The MMTC CPF Trust is responsible for investment of funds also. Apart from this MMTC has its own pension scheme under retirement benefits

to the employees and accounting of the same is undertaken by CPF Division. The CPF Division may also undertake any other employee/stakeholder superannuation/benefits schemes as and when required.

#### 4.1.3.1.5 Finance – Medical Accounts

The medical accounts division of MMTC finance primarily deals with the settlement of claims and making payments to regular and retired employees towards Outpatient treatment & In-patient treatment.

#### 4.1.3.1.6 Finance – Banking

The banking section of Finance Division of MMTC primarily deals in Fund transfer to various RO/SRO/ other accounts, Reconciliation of Bank accounts at CO , Investment of surplus funds , arranging funds from various banks through credit facility etc.

### 4.1.3.2. Personnel and Training

---

This division is responsible for Manpower planning, Training and development, Personnel Administration, Human Resources activities, Industrial relations, Grievance Redressal etc.

Other activities performed by the department are Welfare matters, Canteen Society matters, EPS pensions return and claims, RB Section matters, Exemption to MMTC CPF Trust, HBA Cases, Gratuity, PF and matters related to MMTC Employees Defined Contribution Superannuation Scheme (Pension Scheme) etc.

### 4.1.3.3. Corporate Planning

---

The main role of this division is to provide strategic inputs to formulate a business plan for MMTC. This division works with all the business units across MMTC to develop a business plan. This division is mainly responsible for Strategic planning for MMTC with Short Term, Medium Term and Long Term perspective. Besides, the division provides strategic inputs to the management on various policy related issues and coordinates between MMTC and Ministry of Commerce and Industry (MoC&I) and other Ministries and departments. Among its other functions, conducting regional review meetings, information to management and MoC&I on Trade policy issues, coordination with Industry associations, preparation of Corporate presentations for Ministry, Parliamentary committees, MoU task force etc. and write-ups on MMTC on various company and government publications etc.

### 4.1.3.4. Projects Division

---

The project divisions' charter is to look into development of new business areas for MMTC as per management approvals. The areas where the new businesses are pursued are Wind Firm and Free Trade warehouses. MMTC owns a wind firm at Gajendragad which produces wind energy. MMTC, along with ILF&S IDC, has established a joint venture company, Free Trade Warehousing Pvt. Ltd. (FTWPL) for jointly promoting free trade warehousing zones in India. The SPVs formed under the joint venture company have been allotted land to set up

free trade warehousing zones at Haldia and Kandla on lines similar to special economic zones. MMTC is looking into the possibilities of construction of warehouses on its available land at various places.

#### *4.1.3.5. Internal Audit*

---

MMTC has a well-established Internal Audit system & procedures which commensurate with its diverse functions. The company has an Internal audit division to coordinate with external auditing firms in conducting internal audit all through the year. Number of initiatives started during the last fiscal year for strengthening the internal controls through concurrent audit of bullion transactions, special audit for bullion transactions for earlier years, etc. The Audit Committee of Directors meets the Company's Statutory Auditors and Internal Auditors regularly to ascertain their concerns and observations on financial reports.

The core responsibility of the division is dealing with the Government auditors, arranging reply of Audit Paras and its follow up for settlement, conducting internal audit of Corporate Office, Regional Office and other offices of MMTC across India, issuing Audit Reports and examining replies particularly of major paras submitted by Independent auditors and finally settlement of the Audit Paras and Conducting internal audits at all offices of MMTC.

#### *4.1.3.6. Corporate Social Responsibility (CSR)*

---

According to the Department of Public Enterprises guidelines on Corporate Social Responsibility and Sustainability for Central Public Sector Enterprises (CPSE) introduced in April 2013, the previously separate guidelines for CSR and Sustainable Development have been integrated into a single set of guidelines for 'CSR & Sustainability'. The revised guidelines make it mandatory for CPSEs to take up at least one major project for development of a backward district and one project for environmental sustainability.

MMTC's modus operandi chiefly comprises of engaging with NGOs and its relationship with these NGOs has surpassed the conventional boundaries of CSR; as MMTC also involves these NGOs in its supply chain for fulfilling basic procurement requirements.

#### *4.1.3.7. Board Secretariat*

---

The primary responsibility of this division is to arrange, coordinate and to supervise the activities relating to the meeting of Executive Committee, Board of Directors and other Sub-committees of the Board and to correspond with the Ministries and Parliament Secretariat along with Industry bodies like SEBI, Stock Exchanges, shareholders and other stakeholders etc.

---

#### 4.1.3.8. Administration and Establishment

---

The primary responsibility of this division is to coordinate with all departments for their consumable requirements for Stationary, Computers, Printers, Furniture Equipment, Chemicals etc. and maintenance and repair of civil construction of MMTC property across various locations. Apart from offices, this division also maintains 200 flats, Dormitories, Guest-houses, Community Centre with a training center and a medical assistance room under aegis of MMTC Estate. The responsibilities also includes renovation, maintenance, repairs of the existing infrastructure like road, flats, community center, training office, security of estate premises and allotment of flats.

#### 4.1.3.9. Corporate Communication

---

The Corporate Communications division of MMTC primarily deals with publicity of business activities of the Corporation as and when required, management of all publicity related activities of MMTC, ensuring awareness of Jewellery exhibitions being organized by Precious Metals division and Delhi Regional Office, Financial results (quarterly and annual) in Newspaper(s), Publishing of tenders, Publishing MMTC's quarterly magazine "Spectrum" and Printing of calendars, diaries, brochures and Annual reports.

#### 4.1.3.10. Law

---

The Law division of MMTC primarily works as the legal arm of the organization. It is involved in vetting of legal documents, Appointment of advocates and senior advocates, Filing/defending of litigations (in coordination with concerned divisions), following up of litigations, Opinion and advisory work for various divisions, Consultations with senior advocates and senior government officials, Submission of various MIS to management as and when required and on periodic basis, Issuing circulars on important current legal and regulatory developments and hosting the same on MMTC's intranet, Settlement of dispute through dispute settlement machinery, Holding in-house training and seminars on legal matters, Publication of law bulletin, Maintenance of law library, Processing of payment to advocates, senior advocates and arbitrators and other matters related to Law and its enforcement.

The detailed description of current business functions and processes are attached as Annexure III of volume I of the RFP document.

## 4.2. Existing Information Systems

---

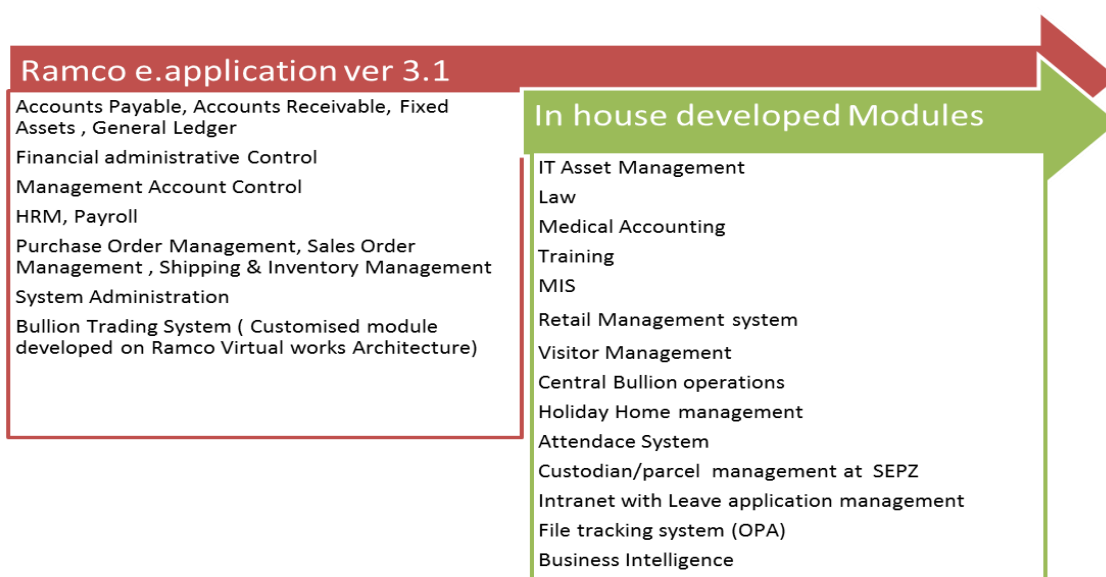
MMTC's system operates out of a centralized IT architecture. They have implemented the ERP system from M/s Ramco Systems. There are 200 concurrent licenses of Ramco ERP (Version e.application version 3.1) which is implemented using client server architecture and is accessed through Citrix; a thin client solution has been implemented for application delivery of ERP system across various MMTC's locations and its retail outlets. MMTC is having 125 user licenses of Citrix.

The Data Center hosts the complete IT infrastructure for running all IT applications of MMTC which is located at its Corporate Office at Scope Complex, New Delhi. It consists of Server farm, SAN storage, Citrix server farm with application load balancer, security components like firewalls, IPS, Anti-virus. The core router, database server and Citrix servers have redundancy. There is active-passive clustering done at Database (DB) level.

The Data Recovery Centre is located at its Chennai Regional office. The Data Recovery Center hosts Replication server, SAN storage, SAN switch and security components such as Firewall, UTM and Core router and Core switch.

MMTC has set up a Wide Area Network (WAN) connecting the various regional, sub-regional offices and its retail outlets across the country through MPLS connectivity being the primary link. The Backup Secondary link to the WAN is through SSL VPN using RSA tokens. In case of any network failure the ERP system is accessed through an internet site by using RSA token. The networking environment has been secured through installation and configuration of Security tools.

MMTC Corporate office is connected to the Data Center through a Local Area Network (LAN) and private WAN network set up at its Corporate Office in New Delhi. All regional offices and sub-regional offices across India connect to the Data Center through the WAN. Synchronous data replication is done from Data Center to Disaster Recovery Center over a 2 Mbps line. Real time data synchronization is done using Symantec Veritas and Daily full data backup (.DAT files) from DB server to disk is taken every night. The List of modules implemented as part of current system at MMTC are as follows:



**Figure 5 MMTC Current ERP Modules**

The Ramco modules are integrated while the in-house modules are standalone modules. Most of the in-house modules are developed on C#.net platform with SQL server 2005, parcel management is a foxpro based application. A visual interpretation of present deployment architecture is given below for understanding of bidder.

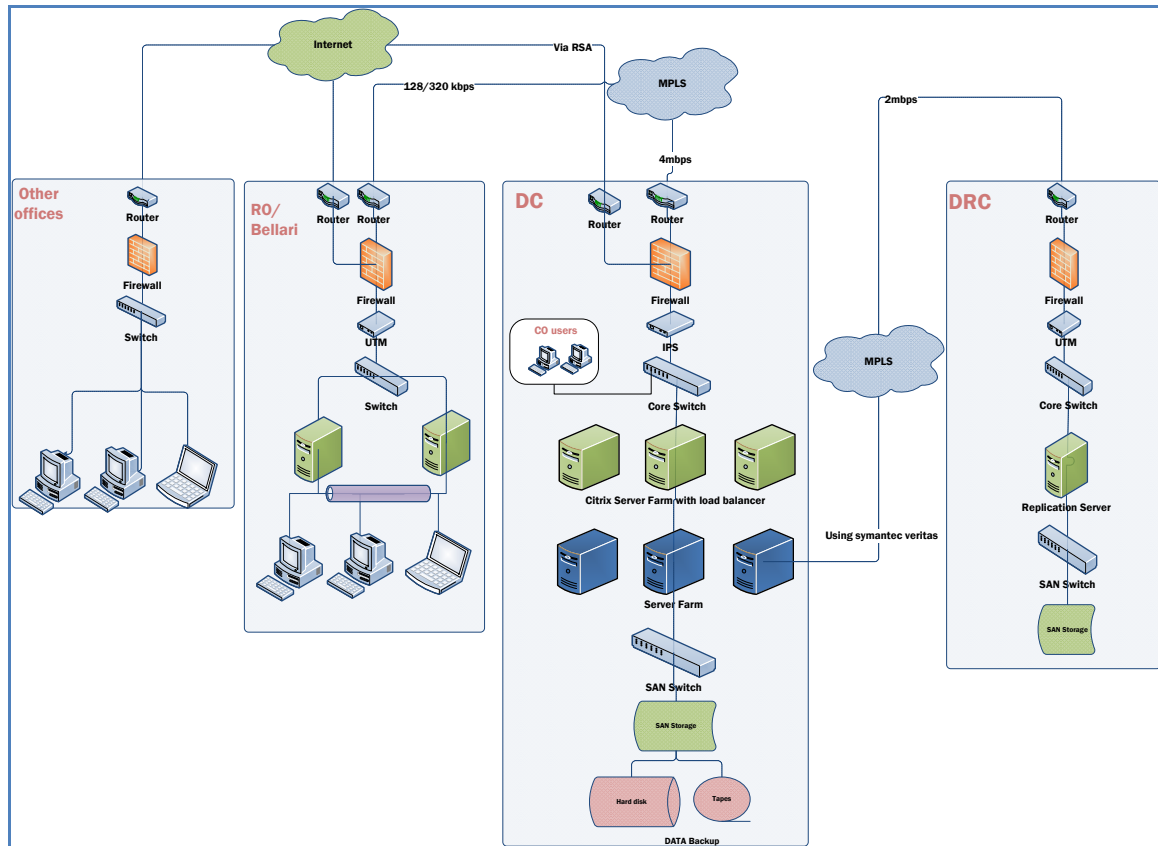


Figure 6 MMTC Current IT Landscape

## 5. Project Requirements

---

### 5.1. Statement of Work

---

This RFP envisages the following components of work to be executed by a competent SI in order to fulfill the objectives of the proposed ERP system

An Enterprise Resource Planning system (**ERP**) is envisaged to be a user friendly, comprehensive, integrated information system designed to manage the overall functioning of all MMTC business and support divisions.

1. Detailed Functional Requirement study, System Requirements Study and System Design
2. Supply, installation, implementation, configuration, customization, integration and testing of Enterprise Resource Planning system together with relevant database, licenses and other software in conformance to industry standards
3. Procurement, installation, configuration and commissioning of central servers for hosting the ERP system in the existing Data Center at MMTC Corporate Office in New Delhi
4. Procurement, installation, configuration and commissioning of central servers for hosting the proposed ERP system in the Disaster Recovery Center at MMTC Mumbai office
5. Facilitate MMTC in the estimation of Networking and Security requirements and all user computing infrastructure comprising hardware and software, and help in the procurement, installation, configuration and commissioning of the same as and when required.
6. Data Migration of Legacy Data
7. Change Management and Capacity Building including Training of users for effective use of the system
8. Operation and Maintenance of the entire ERP System including Application and IT infrastructure for a period of Five (5) years, extendable to Three (3) further terms of Two (2) years each, from the date of Final Go live.
9. Adherence to Implementation Plan and Project Governance Structure
10. Documentation of the ERP system Project

## 5.2. Detailed Functional Requirement study, System Requirements Study and System Design

---

### 5.2.1 Detailed Description of Requirements and Features

---

1. The SI shall prepare an Integrated Project Plan for the entire project that covers detailed tasks which are intended to be performed as part of the project.
2. The roles and responsibilities for the project team along with support arrangements that are expected from MMTC need to be jointly arrived at and have to be signed off between the SI and MMTC.
3. The SI needs to prepare and submit an Inception Report, which will serve as the foundation document for all activities related to the project. Additionally, the Inception report must cover the risks the SI anticipates and the plans they propose towards mitigating those risks.
4. The acceptance of the Inception Report by MMTC or its nominated agency is necessary before proceeding to the next stage of the project.

### 5.2.2 Project Preparation

---

A detailed project charter including the detailed project plan, indicating all activities with resources required their roles and responsibilities and time schedule of deliverables needs to be prepared at the start of the project and submitted to MMTC for approval.

The project charter should also contain detailed project description, approach and methodology, milestones, deliverables, project organization, roles and responsibilities, project risks and mitigation plans, dependencies etc.

The project charter should include a detailed program for installing and implementing the ERP system covered under this RFP. The program shall be in the form of a bar chart or any suitable format identifying key phases in various stages of the project.

The SI shall form a project team comprising the following key positions proposed in the proposal:

- Project Director
- Project Manager
- Technical Lead
- Functional Consultant Leads
  - Financial Management
  - Trading
  - HR & Payroll
  - Purchase and Sales Management including Retail Management

The SI shall not change any member of the Project Team during the entire implementation of the project. However, in the unlikely event of a change being required, the procedure for



replacement of personnel, shall be followed as per the agreement mutually signed by the parties.

### 5.2.3 Requirements Gathering and Analysis

---

1. A high-level analysis of processes has already been done and functional requirements have been identified. The Functional Requirements as envisaged for this project are referred in the Annexure II of Volume I of the RFP document.
2. The SI needs to go through the document, and shall consult with MMTC wherever necessary, to obtain more details on the requirements of the project and have to get a sign-off separately for the Functional Requirements. The SI shall conduct a detailed Functional Requirements gathering and prepare a FRS document.
3. The SI shall conduct comprehensive discussion with MMTC (or its representatives) and subsequent analysis to ensure that each of the requirements captured during the FRS are covered in the requirements analysis and are later captured in the ERP system.
4. The SI must map the Functional Requirements to the proposed ERP system and analyze the existing gaps between the Functional Requirements and the functionalities provided by the ERP system. The SI should identify the customization requirements for the implementation.
5. Activities conducted as part of this task will result in the project deliverable “ERP - Functional Requirements & Software Requirement Specifications” (SRS) document, which shall detail the requirements of the complete solution up to the last possible detail.
6. The SI shall ensure that the ERP system would require the use of unique user IDs and passwords for authentication purposes and digital signatures/ Biometric as applicable in the future.

### 5.2.4 System Design

---

1. The SI shall prepare a comprehensive Systems Architecture and design documents for the ERP System after conducting a comprehensive analysis of the requirement for ERP System in MMTC. This design should include Solution Architecture, Hardware Deployment Architecture, Network Design, Security Architecture etc. for the ERP system.
2. The Architecture document should give the complete architecture of the proposed ERP system. The documents including, but not limited to the following, shall be submitted for a sign-off.
  - Application Functional architecture
  - Format of all input screens including data entry requirements
  - Format of all reports that would be generated by the ERP system

- Access control mechanisms, data security and audit trails to ensure that databases are not tampered with or modified by unauthorized users.
3. Build a complete audit trail of all transactions (for e.g. add, update and delete) using transaction log reports, so that errors in data, intentional or otherwise, can be traced and reversed. The most appropriate level of security commensurate with the value to that function for which it is deployed must be chosen. Access Controls must be provided to ensure that the databases are not tampered with or modified by the system operators. Implement data security to allow for changes in technology and business needs. Based on the requirements analysis conducted above, the SI must develop a comprehensive ERP System
  4. Design and Implementation of the System Architecture: The SI shall be entirely responsible for the architecture of the system implemented to satisfy all features, functions, performance and security as described in this document including sizing of the required hardware. System architecture description provided in this document is for reference only. The SI should ensure all possible and required improvements.
  5. The ERP system design must be such as to require the minimal installation, if at all, at the user's end, besides the Internet Browser. The ERP system should be able to support all latest common browsers (like Internet explorer, Mozilla, Chrome etc.).
  6. The SI shall consider users' inputs when they are finalizing all design components including user interfaces, mode of data entry, storage and retrieval, outputs reports, queries and the application design as a whole.
  7. The SI shall provide Plans for User Acceptance Tests (UAT) and System Integration Tests (SIT) including Performance Tests (PT) to MMTC and/or its designated Third Party Audit Agency (TPAA) and make the necessary changes to ERP configuration to optimize performance.
  8. The SI shall be responsible for making sure that all the above considerations are adequately met. The SI shall deliver an architecture document covering the above aspects.
  9. The SI shall make necessary provisions for management reports, dashboards, business intelligence tools, SMS gateway and Data migration in line with the expectations of users provided in the functional requirements.

### 5.2.5 Business Design

---

The SI will perform a business study and prepare business design documents with required process re-engineering, process enhancements and gap-fitment analysis to map all business requirement of MMTC in the ERP system. The SI is expected to conduct workshops, give detailed presentations on the Business Design, which will include the gap analysis and specific recommendations for adoption of new improved business processes by MMTC.

MMTC shall constitute a project governance structure with adequate representation from all the stakeholders to review the recommendations of the SI and accord necessary approval for the Business Design report and Business Process Re-engineering measures to be adopted.

Business Design objective, approach and methodology should ensure the following four steps:

**Simplification and Standardization of Processes:** The processes of all divisions need to be simplified into logical steps. All processes need to be depicted into simple flow diagrams with clear linkages. This will help in reviewing some of the old manual practices in view of the integrated system scenario of the future. The SI also needs to explore and recommend the standardization of processes across all lines of businesses/divisions.

**Elimination of Redundant and Non Value Adding Processes:** After simplifying the processes, all processes are to be reviewed to eliminate the redundant steps and practices. Non availability of information across the departments results in repetitive and redundant activities in a manual work environment.

**Value Addition:** After eliminating the redundant processes, the re-engineering of processes need to be done keeping in view the standard best available processes/ practices available in the proposed ERP system software. The primary objective of this step is to enhance functional efficiency and process performance. This is the most important phase which will have a strong bearing on the overall performance of the final solution.

**Configuration:** After finalizing the To-Be process map, configuration through standard ERP system to be done. Configuring the To-Be processes in the system should be able to address all the defined requirements.

The SI shall submit a Business Design document covering complete requirement to MMTC and take a sign-off.

### 5.3 Supply, installation, implementation, configuration, customization, integration and testing of Enterprise Resource Planning system together with relevant database, licenses and other software in conformance to Industry standards

---

The SI shall deploy a dedicated team experienced in installation, configuration, customization, integration and testing, implementation, deployment of the proposed ERP system. Preferably, minimal changes should be made to the ERP modules. This is important

to ensure that future upgrades, enhancements and bug fixes are not impacted. Every custom development must be documented in detail and the code / script should be properly annotated with comments.

1. Configuring the specific ERP modules, third party bolt-on applications, development of interfaces wherever and whenever necessary.
2. The SI shall ensure that the proposed ERP system provides adequate interfacing mechanisms (both at the application and data level) with a view to integrate future applications of MMTC. Such interfaces shall follow industry standards such as Application Programming Interface (API's) and web services.
3. The SI shall supply and install the application, database and related software, integration tools, along with the customized source code and requisite perpetual licenses for ERP. The SI shall also describe and document the process to be followed for installing and operating the same.
4. The SI shall design the hardware configuration in line with contemporary principles and ensure that it comprises various servers including database, application, web servers etc.
5. The SI shall consider stakeholder inputs when they are finalizing all processes including user interfaces, mode of data entry, storage and retrieval, output reports, queries and the application design as a whole.
6. The SI shall provide Plans for User Acceptance Tests (UAT) and System Integration Tests (SIT) including Performance Tests (PT) to MMTC and/or its designated Third Party Agency and make the necessary changes to the ERP configuration to optimize performance.
7. The SI must ensure that granularity is built in the ERP application modules, sub modules and individual functionalities so that these functionalities can be enabled or disabled through the application administrator as per requirement.
8. The system must possess easy-to-use user interfaces, able to perform tasks with minimum of clicks, maximum select options and provide suitable short-cuts wherever possible and guided through screens.
9. The SI shall create and manage all necessary master files for the proposed ERP

#### 5.3.1 Compliance to Standards

1. The SI shall ensure bilingual (English & Hindi) support and other relevant standard formats for display, Printing and transmitting of data.
2. The SI must ensure that the ERP technology components adhere to flexibility, interoperability, usability, availability, manageability, security and integration standards
3. The SI shall ensure adherence to all relevant standards as defined and notified by Government of India (GoI) from time to time

---

### 5.3.2 Reference Architecture

---

The SI shall ensure that the solution and technology architecture of the ERP application is designed to meet the RFP requirements as described in **Section 7** of Volume I of the RFP document.

### 5.3.3 Deployment Architecture

---

The SI shall ensure deployment of servers and commissioning of core ERP application at the Data center and Disaster recovery center. The deployment of ERP application shall follow and comply with contemporary principles of Information Security Management System (ISMS) i.e. ISO 27001. The SI shall ensure the deployment of management and monitoring tools like Project Management, Application Performance Monitoring, version control (software as well as document), bugs tracking tools etc.

### 5.3.4 Testing and Hosting

---

1. The SI shall conduct all tests as a part of standard Software Testing Life Cycle (STLC)
2. The SI shall facilitate MMTC or its nominated agencies to conduct User Acceptance Testing, Application Security testing (vulnerability testing and penetration testing) and Infrastructure Security
3. The SI shall host the ERP system at the facility finalized by MMTC

### 5.4 Procurement, installation, configuration and commissioning of central servers for hosting the proposed ERP system in the Data Center at MMTC corporate office, New Delhi

---

1. The SI shall be responsible for Installation, configuration and commissioning of central servers for hosting ERP system at Data Centre (DC) in the existing facility at MMTC premises in their corporate office in New Delhi.
2. The SI shall ensure that adequate skilled technical and qualified staff is available to operate and manage the DC at desired levels.
3. The recommended servers should be able to accommodate possible scaling up requirements in the future. All hardware including, but not limited to the servers procured, shall be branded and reputed.
4. It must be noted that all system hardware and software shall be owned by MMTC and handover/ transfer of these assets to MMTC shall take place at the time of delivery after which they will become the property of MMTC.
5. The SI shall submit validation/audit statement from OEM as part of their bid for the products that have been proposed in the ERP system certifying that solution proposed by the SI is relevant and adequate with respect to their product.

### 5.5 Procurement, installation, configuration and commissioning of central servers for hosting the proposed ERP system in the Disaster Recovery Center(DRC) at Mumbai Regional Office

---

1. The SI shall be responsible for Installation, configuration and commissioning of central servers for hosting ERP system at Disaster Recovery Centre (DRC) at MMTC premises.
2. The SI shall ensure that adequate skilled technical and qualified staff is available to operate and manage the DRC at desired levels.
3. The recommended servers should be able to accommodate possible scaling up requirements in the future. All hardware including, but not limited to the servers procured, shall be branded and reputed.
4. It must be noted that all system hardware and software shall be owned by MMTC and handover/ transfer of these assets to MMTC shall take place at the time of delivery.
5. The SI shall submit validation/audit statement from OEM as part of their bid for the products that have been proposed in the ERP system certifying that solution proposed by the SI is relevant and adequate with respect to their product.

### 5.6 Facilitate MMTC in the estimation for Networking & Security requirements and all user computing infrastructure comprising hardware and software, and help in the procurement, installation, configuration and commissioning of the same as and when required.

---

1. The SI shall draw out and specify detailed specifications for the network that needs to be used for the ERP system to perform satisfactorily
2. The Networking requirement is for the list of offices as specified in Annexure I of volume I of the RFP document.
3. The SI shall ensure that the recommended network shall be able to accommodate possible scaling up requirements in future.
4. MMTC will have the option of working with current service provider or any other service provider.
5. The SI shall provide estimation of the requirements for the client side computing infrastructure comprising of hardware and software.
6. The SI shall help in installation, configuration and commissioning of the client side infrastructure

### 5.7 Data Migration of Legacy Data

---

Data migration including entry and validation of legacy data, and porting is the responsibility of the SI. The SI needs to migrate complete legacy records available in electronic format. Data shall be migrated from the current application and media to the new application prior to the 'go-live' of the respective location.

The SI needs to do the following on data migration from the existing legacy systems and/or data stored otherwise

1. Design the data migration & acceptance methodology and plan
2. Risk Identification and Mitigation Plan for Data Migration
3. Mapping of the data
4. Identifying the data gaps
5. Perform data cleansing for incorrect/ incomplete data
6. Providing templates for data collection
7. Extraction and Loading of the data
8. Listing of errors during data migration
9. Corrections of the migrated data during Data Quality Assessment and Review
10. Final porting of the data into the ERP system
11. Meta tagging of key words
12. Testing and obtain sign off on migrated data

The tool / utility for performing data migration must be designed by the SI after adequate study of the data to be migrated.

**Data Assessment:** The study of the source/legacy systems must provide comprehensive insights into the content, structure, quality and integrity of the source/legacy systems.

**Risk Identification and Mitigation Plan for Data Migration:** The SI shall identify all risks associated with the data migration and enumerate mitigation measures and prepare a Risk Identification and Mitigation plan for Data Migration. The plan must address the contingency measures to be adopted during the event of a data migration failure. It must also clearly specify measures to be taken to prevent data loss. It may be preferable to consider migration of data to a backup system at the same time as the new system to address data loss due to system failures.

**Data Mapping and cleansing:** Since there would be significant difference between existing database table structures and database table structures of new application, there must be mapping done between existing tables and proposed tables and data be made compatible for migration into new tables. A comprehensive data mapping exercise must be undertaken by the SI before embarking on data migration. A good data map will detail an in-depth cross-referencing of all mutual fields across the source system and the target system. It must include the following (but not limited to):

1. Names of applicable to and from fields
2. Lengths and data types of these fields
3. Mapping of relationships between entities
4. Check on the constraints, unique fields and integrity checks

5. Any logic involved in mapping such as string truncations or validations against any business rules.

MMTC will provide the complete information about the existing database. It is the responsibility of the SI to develop the tools, extract data from the database, check the data integrity and migrate the data. However, the complete data validation is the responsibility of MMTC. The SI shall be responsible for migration of operational data as required, including financial transaction data such as ongoing contracts, employee transaction data etc.

In the event of any gaps in data migration, the SI shall discuss with MMTC, document the findings and get it signed-off from MMTC

1. SI shall run mock data migration tests to validate the conversion programs that have been written.
2. SI shall validate the data before uploading the same to the production environment.
3. SI shall support in conducting the acceptance testing and verifying the completeness and accuracy of the data migrated from the legacy systems to the proposed solution.

#### 5.8 Change Management and Capacity Building including Training of users for effective use of the system

---

1. The SI shall impart training to MMTC employees and other key stakeholders on the usage and maintenance of the ERP system.
2. The SI shall provide a change management plan to MMTC which addresses the various aspects of capacity building and training. (Please refer to section 15 of Volume I of the RFP document)
3. The SI shall propose different training modules for different user profiles at appropriate timelines.
4. The SI shall provide such additional training as they deem necessary in order to ensure that the training imparted is comprehensive and complete.
5. The SI must also prepare Training Modules/content to enable the users for self-learning.
6. MMTC along with the SI shall identify key resources to impart skill based training to allow the "Train-the-Trainer" program.
7. The training material prepared by SI will be owned by MMTC and cannot be used without prior approval of MMTC

#### 5.9 Operation and Maintenance of the entire ERP System, including Application and IT infrastructure for a period of Five (5) years, extendable to Three (3) further terms of Two (2) years each from the date of Final Go Live

---

1. On successful completion of the implementation or the Final Go Live, the SI must extend Post Implementation Support (including warranty) till the end of the



- contractual period which is five (5) years, extendable to 3 (three) further terms of 2 (two) years each from the date of Final Go Live.
2. The SI needs to provide the operational and maintenance support for the systems that are implemented and being used before Go Live. The other details of operational support are provided in Section 13 of volume I the RFP document.
  3. The SI must also deploy a minimum of two resources at the Corporate Office and one each in the Four Zones such as North, East, South and West for a period of One year, to provide handholding support to the users at these locations.
  4. The SI must provide a centralized Helpdesk and Incident Management Support till the end of contractual period. MMTC will provide space, desktops, telephone line and other minimum amenities.
  5. The SI must provide centralized Technical Support for the O&M period from the date of Final go live. The Centralized Technical support team will be Onsite in the Corporate office in New Delhi.
  6. During the operations and maintenance phase, the SI should:
    - a) Ensure that all necessary measures are taken for the smooth operation of the ERP system
    - b) Ensure that persons from MMTC support team are duly trained and prepared in a progressive manner so as to operate the system on their own, with a view to eventually takeover operations at the end of contractual term
    - c) Ensure that all necessary know-how is transferred to MMTC support team in an effective manner to facilitate a smooth transition. Performance metrics for the transition will need to be agreed between the SI and MMTC
    - d) Ensure adherence to baseline performance SLA matrix as defined in volume III of this RFP

#### 5.10 Adherence to Implementation Plan and Project Governance Structure

---

1. The SI must ensure phase wise implementation of ERP system at different project locations as defined in the RFP
2. The SI shall adhere to roles and responsibilities as defined in the RFP but not limited to with respect to design, development/customization, implementation as well as operations and maintenance of ERP system across all project locations in MMTC.
3. The SI must conform to the defined institutional mechanism for project review and monitoring including risk management during the entire contractual period

#### 5.11 Documentation of ERP Project

---

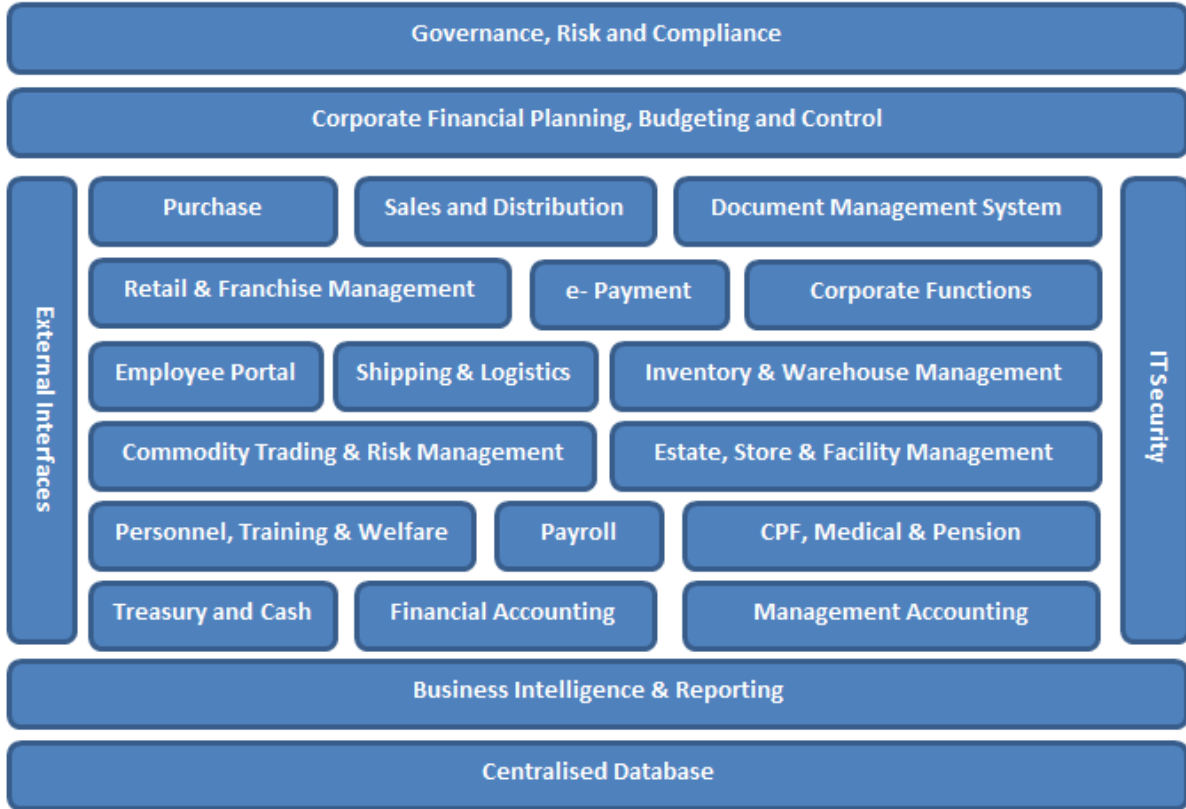
The SI must ensure that complete documentation of the ERP system is provided with comprehensive user manuals, and adhere to standard methodologies in the project life

cycle as per ISO standard and/or CMM models. The following documents are the minimum requirements:

1. Communication Plan listing all stakeholders in the project, defining their roles and responsibilities
2. All Architecture documents, Design documents and, testing and deployment manuals etc.
3. Quality Assurance Plan stating the planned actions to ensure satisfactory delivery conforming to functional and technical requirements of ERP system.
4. Interface Control Document, documenting the interface characteristics of one or more systems and any previously documented information together with any agreements between interface owners.
5. Test Plan containing information on the software test environment to be used for independent testing, the test cases to be performed, and the overall testing schedule. This includes, schedule, resources, tools, procedures, environment definition, test cases, and software test results. The test plan document should have the information about the methodology, tools etc. The bidder has to provide the tools that is proposed to be used in the testing.
6. Operations Manual providing instructions for installing the application, troubleshooting, interpreting message logs, and FAQs (Frequently Asked Questions).
7. User Manual (online or downloadable content) providing detailed instructions in the form of a narrative on how to use the application. In addition, it shall describe how to access, submit inputs to, and interpret outputs from the application.
8. A data dictionary listing out all the data elements shall be prepared.
9. The SI shall maintain all documentation related to the ERP system including software artifacts and database with adequate traceability matrix and version control.

## 6. Functional Landscape

The components of the proposed ERP system are required to cover all the functional areas of core business processes of MMTC. An indicative solution model but not limited to the following components is depicted in the figure below:



**Figure 7 Functional Landscape**

MMTC has carried out a functional requirements analysis and detailed functional requirements specifications are attached in Annexure II of Volume I of the RFP document for reference. The details (not exhaustive) of the functionality expected from each solution component are given below:

### 1. Trading

- a) Processing of demand/supply,
- b) Maintenance and processing of contracts,
- c) Processing of sales orders & delivery order(DO),
- d) Processing of purchase & Purchase orders,
- e) Control of orders and supply from logistics,
- f) Processing of invoices,
- g) Processing of complaints and refunds to customers,
- h) Credit control and customer blocking,
- i) Availability of material,

- j) Credits/debits,
  - k) Management of price lists,
  - l) Analyses of sales (customers, materials, trade groups, etc.).
2. Retail Management:
- a) Invoicing
  - b) Discount Schemes
  - c) Inventory Stock Transfer (Issue and Receipt)
    - i. Sanchi stock Issue
    - ii. Sanchi stock Receive
    - iii. Jewellery stock Issue
    - iv. Jewellery stock Receive
  - d) Inventory Reporting including age analysis, slow moving items, reports etc.
  - e) Inventory Stock transfer Reporting
  - f) Sales Reporting
3. Management and Financials
- a) General Ledger
  - b) Accounts Payable
  - c) Accounts Receivables
  - d) Management Accounting and Cost
  - e) Asset Management
  - f) Bills & Letter of Credit
  - g) Credit Line Management
  - h) Treasury Management
4. Sales and Distribution
- a) Purchase and Sales Order Management
  - b) Inventory Management System
  - c) Shipping
5. Human Resource & Payroll
- a) Recruitment
  - b) Performance management
  - c) Employee self-service
  - d) Payroll processing
  - e) Trainings
  - f) Leave management & Time management (should take care of the employee attendance requirement from the swipe machine for calculation of payroll)
  - g) Employee promotions, transfers and deputation.

- h) Various employee benefit trust management e.g. PF, Gratuity, Pension, Medical etc.
- i) CSR (Corporate Social Responsibility)
- j) Retired Employee Management

6. MIS & Corporate Planning

- a) Management Reporting
- b) Corporate Planning

The SI is expected to propose the future landscape/modules based on the functional scope and functional requirement (Annexure II of volume I of the RFP) along with the RFP response.

### 7. Technical Architecture & Requirements

The ERP system to be deployed by the SI shall implement all the necessary functional, technical, operational and other supporting requirements. The diagram below is the high level technical Architecture of the proposed ERP system.

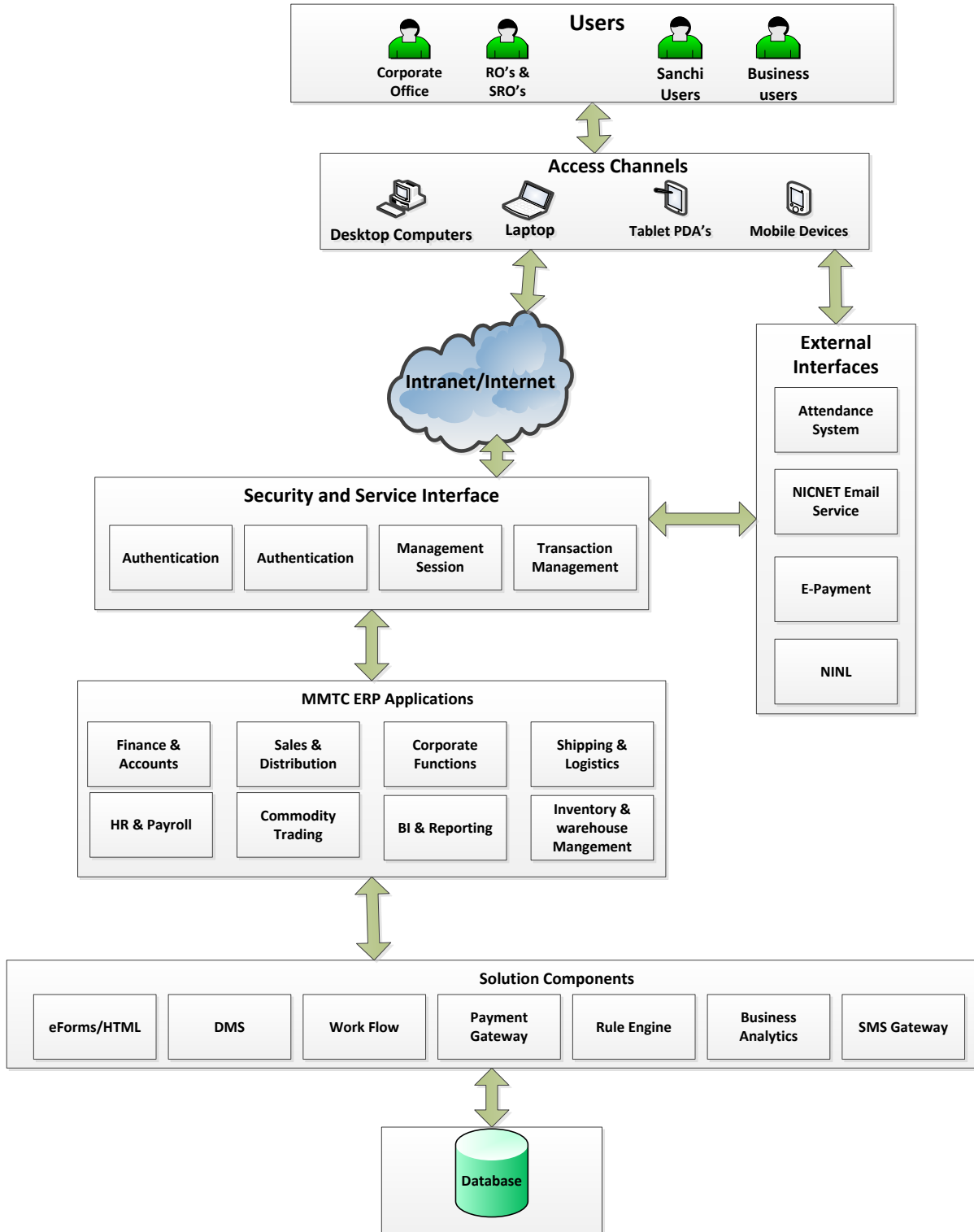


Figure 8 High Level Solution Architecture

## 7.1. Application-related Technical features

---

1. Application solution must be web based, built on enterprise application platforms with sufficient flexibility for customization based on MMTC needs.
2. Solution must use standard relational database management system
3. Language Support: All functionality must provide support bi lingual. All screens and templates should be in English. Where required, screen shall support Devnagri script. In addition application shall support Unicode formats for text editing, file name, data storage.
4. Dates: All functionality MUST properly display, calculate, and transmit date data, in (DDMMYYYY) format.
5. Peripheral Support: The application solution should support peripherals Integration with devices like mobile devices, Tablets etc.

## 7.2. Application and other standards

---

This section details the various Information Technology (IT) related standards that are to be considered while implementing the ERP system. The below mentioned components need to be taken care of while implementing the technology components for ERP:

### **Platform Flexibility**

1. Web-centric, multi-tier architecture shall be used
2. Open Standards and Interoperability shall be considered
3. XML based standard shall be used wherever applicable
4. Compliance to SOA and Web-services

### **Interoperability**

1. Usage of standard APIs
2. Service-oriented architecture (SOA) based
3. Support for industry standard databases with ODBC, JDBC and Unicode compliance

### **Usability**

1. Applications should comply with Guidelines for Indian Government Websites / GIGW

## 7.3. Compliance with Industry Standards

---

The ERP system shall be based on and compliant with Industry standards (their latest versions as on date) wherever applicable. This will apply to all the aspects of the system including but not limited to design, development, security, installation, and testing. There are many standards that are indicated throughout this volume as well as summarized below. However the list below is just for reference and is not to be treated as exhaustive.

Information access/ transfer protocols	SOAP, HTTP/HTTPS
Interoperability	Web Services, Open standards
Scanned documents	TIFF (Resolution of 300 dpi) for archiving JPEG and/or PDF for storage and dissemination
Document encryption	PKCS specifications
Information Security	System to be ISO27001 compliant
Operational integrity & security management	System to be ISO17799 compliant
IT Infrastructure management	ITIL / EITM specifications
Service Management	ISO 20000 specifications
Project Documentation	IEEE/ISO specifications for documentation
Internet Protocol	IPv6 ready equipment's

**Table 3 Industry Standards**

The system shall adhere to all the standards published by the Department of Electronics Information Technology, Government of India. (<http://deity.gov.in/>)

#### 7.4. Non Functional requirement for the ERP Implementation

The Non Functional requirement for the ERP Implementation which the SI will be responsible for are

1. The solution architecture should be platform and vendor independent.
2. The solution should provide for multi-tiered architectures.
3. System architecture should allow infrastructure simplicity and standardization.
4. The solution software including operating system should be certified for different types of hardware.
5. The infrastructure should be capable of supporting disaster recovery.
6. The solution should have capability to present all business process and data via familiar relevant office applications and should offer integration with all relevant Forms.
7. The system should support latest OS versions and provide compatibility to future versions

All MMTC components must be maintained with an ease such, that corrective and preventive maintenance can be performed on the system without affecting the entire working of the system.

The system should be designed to remove all single points of failure. The system should provide the ability to recover from failures and should also provide clustering features, thus protecting against many multiple component failures



The system should have the ability to scale up as and when the new business applications and services are added without compromising the performance of the overall solution. The architecture should be proven to be highly scalable and capable of delivering high performance as and when the transaction volumes increase.

The system should provide application architectures that are highly granular and loosely coupled. The solution architecture design should promote flexible business process management for future scalability. The solution should be interoperable in nature and design and development should be based on Service Oriented Architecture (SOA).

The system is required to cover critical business function and process modules and provide modularity that should support addition / removal of one or more modules as and when required. However these modules should be seamlessly integrated in the core application system. The solution architecture should allow minimum modifications so as to preserve the upgrade path.

1. The system should support interfacing with PDA, Smart Card readers, RF devices, data acquisition system, webcam, barcode reader, biometric system etc.
2. The system should support standard interfaces such as adapters, APIs to interface with standard application and legacy applications and support user exits.
3. The system should support real-time data updates and interfaces with software from other vendors.
4. Operating systems should have longer product life cycle (10 years or more) to avoid non-availability of various device driver (current and future) support as well as telephonic and web based support infrastructure in place directly from OEM. The OS should be the latest version available in the market.
5. The application should have automatic way of migrating the data of existing database in case of data structure change during transfer to new versions.
6. The system should support export and import of data possible from different legacy systems/other systems/databases in different file formats and on specified time intervals.
7. The ERP application should support SSL and digital certificates.
8. The system should be remote access integration compatible.
9. The system should support the use of fault-tolerant multiprocessor architecture and cluster processing.
10. The system should support auto-switching failover to other available server in case of server failure.
11. The system should support distributed processing.
12. The system should support load balancing.
13. The Enterprise grade Server operating system should support the essential network services like Directory Services, DNS, DHCP, Radius, Web Server, Application server,

Cluster services (High Availability and Fail over Support), Global File system support and virtualization.

14. The Infrastructure technology stack (database, application server and other components) used by the application should be commonly used for developing custom applications that are not part of or an extension of the proposed package.

### 7.5. Security Requirements and features

---

The SI will have to establish all the necessary procedures / infrastructure/ technology / personnel to ensure that the ERP System Security is not compromised.

#### **Broad Security requirements are:**

Security features should be compliant with the e-Governance Security Guidelines (e Gov Security Standards Framework ([www.egovstandards.gov.in](http://www.egovstandards.gov.in))).

1. All systems should have integrated security features that are configurable by the system administrator to control access to the application, functional modules, transactions, and data.
2. Public key verification methods should be followed for verifying that the contents of a document have not been tampered with, and allowing the receiver to confirm the identity of the sender.
3. The applications should require the use of unique user IDs and passwords for authentication purposes and digital signatures, Bio Metric and other devices as applicable.
4. The application should allow for the following:
  - a) The enforcement of password standards
  - b) The establishment of a specified period for password expiration, and
  - c) The prohibition of recent password reuse
5. System administrator should be able to define functional access rights and data access rights by assigned user ID, functional role, and owner organization.
6. The systems should permit the system administrator to assign multiple levels of approval to a single user.
7. System administrator should be able to restrict access to sensitive data elements by named user, groups of users, or functional role.
8. System should be auditable as per requirements from time to time.
9. System should have audit logging capability to record access activity, including the following:
  - a) All log-in/log-out attempts by user and workstation;
  - b) User-submitted transactions;
  - c) Initiated processes;
  - d) System override events; and direct additions, changes, or deletions to application-maintained data

10. System should provide the ability to query the audit log by type of access, date and time stamp range, user ID, IP address and terminal ID.
11. All the information assets (information and information systems) should be classified and security should be defined according to criticality of the information asset. All the data / information contained within systems or in hard copies related to this project, are owned by MMTC. No information should be made public either directly or indirectly nor allowed to be accessed by unauthorized persons.
12. System audit should be enabled for all the information assets to establish detective controls. System should have evidences, like audit trails, logs, registers, proof of background checks, approvals from MMTC or its designated agency, support for various decisions, support for accounts etc. for the purpose of third party security audit.
13. System should have security incident management procedures. This incident management procedure has to use Technical Support facilities and should be reported in the incident management System.
14. Should have system development and change control procedures including effective segregation of duties and environment.
15. Proper protection against malicious software should be ensured. This would include implementation of an effective anti-virus solution, scanning viruses at regular intervals or on certain triggers and updating the solution as and when new patch is received from the anti-virus solution provider.
16. Should have proper logical access security for all the information assets. Entire network including servers, communication links, database etc., should be logically segregated from rest of the networks.
17. Should ensure suitable technical and procedural controls to protect the network. Wherever the ERP project network comes in contact with an untrusted network, additional security measures should be taken like firewall, IDS, DMZ, proxy server, encryption etc.
18. Should have a business continuity plan and a disaster recovery plan that should be implemented before commencement of the operations. Robust backup procedures should be established for the same.

#### 7.6. Audit Requirements

---

MMTC may undertake an exercise of Audit and Certification of ERP system through a third party, after the completion of system implementation. The following methodology will be adopted by the SI:

1. The SI shall host only the pre-audited and certified, defect-free application/upgrades /patches at its Data Center/ Disaster Recovery Centre.
2. MMTC shall nominate a suitable, neutral and technically competent third party agency or agencies for conducting audit and certification, upon intimation by SI that the system implementation is complete.

3. The system shall be audited through a CERT-in empanelled audit agency.
4. The agencies nominated by MMTC shall establish appropriate processes for notifying the SI of any deviations from the norms, standards or guidelines at the earliest instance, after noticing the same, to enable the SI to take corrective action.
5. Such an involvement and guidance by the agencies shall not, however, absolve the SI of the fundamental responsibility of designing, developing, installing, testing and commissioning the various components of the ERP system to deliver the services in conformity with the RFP, SLA and the Master Service agreement.
6. All changes suggested by the audit agency shall be implemented by the SI upon acceptance and approval by MMTC.
7. The SI shall extend all support to MMTC nominated Third Party Audit Agency (TPAA) for all the activities related to audit and certification.
8. The SI shall also provide access to MMTC and TPAA to audit its facility for the purpose of smooth conduct of audit and certification of ERP system.
9. The SI shall share with TPAA test plan, test cases and equipment including requisite test environment and test data at its facility for the smooth conduct of testing (including but not limited to functionality testing, security, performance, infrastructure audit etc.) audit and certification.
10. After the user acceptance test of the ERP system and its audit certification by TPAA. MMTC shall have the complete discretion to ask the SI to implement the system.
11. It is envisaged that there will be only one audit for the entire system implemented however MMTC at its discretion may decide to conduct more of this exercise

### 7.7. OEM Services

---

The SI is required to procure the services of experts from ERP OEM and make them available to MMTC. These services are basically review, expert advice and quality assurance services. The ERP OEM shall support the implementation process to ensure success of the project by actively participating right from the business design stage itself by staffing the project with experts. The ERP OEM shall provide these services to MMTC during the implementation project.

**Quality Assurance of the solution and methodology:** The respective OEM is to provide Expert Review Services, which should provide an independent and objective review of the solution and the methodology being deployed by the SI, identify any risks to the project goals and recommend appropriate corrective action. The aim of the review is to ensure the appropriateness of the Solution as configured, developed and deployed.

**Solution Capability Deployment:** MMTC would choose the ERP system based on what it is capable of offering to meet its business requirements. The experts from the OEM team are expected to support MMTC during the project to ensure that capabilities of the ERP system are deployed effectively.

The reviews are expected to take place at the following stages of the ERP implementation.

1. Project Preparation
2. Business Design
3. Realization
4. Final Preparation for Go-Live
5. Stabilization period
6. Final Go Live

The type of review will be dictated by the context of review and the subject of review. The different types of reviews will be

1. Project Review – the methodology and the activities
2. Solution review – the solution being configured, deployed, the processes adopted/designed
3. Technical review – the technical aspects of the solution configuration and the design
4. Document review – the plan and strategy documents, the design documents, test specifications
5. Development review – the development aspects of the solution for their consistency and practices
6. SI shall incorporate all the recommendations provided by the OEM experts as a part of OEM audit

**The mechanisms, deliverables and follow up actions:**

The following will be the deliverables of such engagements and the mechanisms for follow up actions.

1. **The mechanisms.** All the review by the ERP OEM will occur in collaboration with MMTC and the SI team. The SI shall be required to participate in the Review program conducted by MMTC and the ERP OEM. The SI shall depute their competent persons to participate in the review programs. The Review program will look for best implementation practices while following a prescribed methodology. The extent and frequency of the review shall be determined by the ERP OEM in consultation with MMTC but shall be frequent enough to validate each of the major project milestones. While some of the review will be required to be done at the project site, some of the reviews of codes or documents can be carried out at the location convenient to the ERP OEM. The ERP OEM team will plan the activities in consultation with the SI and MMTC and the ERP OEM will report directly to MMTC on all the matters related to their activities.
2. **The deliverables.** The deliverables of the activities of the ERP OEM will, at the minimum include recommendation reports, suggestions on specific action items, minutes of the meetings and approval certificates.

3. **The follow up actions.** The SI is required to incorporate the recommendations arising out of the expert services provided by the ERP OEM. The ERP OEM also will be responsible for helping MMTC to get its suggestions/recommendations implemented. The ERP OEM should validate the incorporation of the review findings on behalf of MMTC. The efforts required for incorporation of the recommendations/suggestions/comments etc. arising out of the activities of the ERP OEM expert services, will be part of the normal implementation effort for the project and treated as rework for inadequate quality. MMTC will not accept any change requests for these efforts.

### **User feedback and MMTC**

1. The SI is expected to build adequate mechanisms to get the feedback from different users of the ERP system during different stages of the project. The users/stake holders for providing their feedback will be identified by MMTC.
2. The SI is expected to deploy in this project the expertise and experience of similar projects carried out by them earlier. Although it is not expected that these experts will be full time on site for the project, it is expected that all the key deliverables will go through a review with these experts. Similarly the SI is expected to deploy all the quality assurance mechanisms as per international quality standards for this project.
3. The SI should clearly indicate up front what are the deliverables which will go through internal review, what type of expertise will be deployed for these reviews and what are the deliverables which will follow the quality assurance plans.
4. If any of the deliverables are not acceptable to MMTC or its appointed experts, it will have the right to seek deployment of experts from the SI to review the deliverables.

### **Mechanism to adopt feedback**

There are three types of feedback for the deliverables – from the ERP OEM, from the users/stake holders and from the internal experts of the SI. The following is expected from the SI on the feedbacks.

1. All the feedback will be discussed with MMTC and based on guidance from MMTC, will be incorporated into the project
2. Since the feedback for any rework is by nature correcting the inadequacy of quality of the work produced in the first place, MMTC will not accept any change notice requests for these modifications
3. SI has to build adequate mechanisms to control the risks of time over runs possibly due to effort required to rework bad quality deliverables
4. SI has to indicate in the beginning and during the start of each phase how it plans to take feedback and the mechanisms to incorporate the feedback into the project plan and deliverables

The SI will report to MMTC on how the feedback have been incorporated into the project deliverables and take a sign off from the designated authority of MMTC.

### 7.8. Interface Requirements

MMTC is currently using IT applications from other system and wishes to continue them. Hence, the bidder shall develop interface with the existing application. The following are the details of interface requirements. This activity is envisaged to be done at the design stage.

External Interfaces	Purpose	Type of Interaction with ERP Application
NINL	To get information on Sales & Purchase order processed through NINL	SI shall provide an interface with the solution implemented at NINL to collect the information required by MMTC.
Attendance System	To record employee attendance	SI shall provide an interface with attendance system to capture the information through offline at 5 minutes interval.
NICNET	To provide seamless e mail services	SI shall provide an interface with the existing email services provided by NICNET
E Payment	To facilitate electronic payment to employees, vendors / suppliers, customers/buyers etc.	SI shall make provisions for appropriate banking interfaces for payment with authorized banking partners of MMTC

**Table 4 External interfaces with ERP Application**

## 8. Infrastructure Requirements

---

### 8.1. Data Centre and Disaster Recovery Center requirements

---

The following section presents the specifications for the data center hosting the ERP system application. These specifications are required to be fulfilled as a minimum and the bidders are expected to make their own assessment with respect to exact requirements and formulate their proposals accordingly.

A disaster recovery infrastructure shall be established commensurate with the need, to ensure minimum data loss in the event of failure of primary data centre. It shall be equipped to the extent required. The data centre shall be established in MMTC Corporate office in New Delhi and the disaster recovery centre shall be established in MMTC Mumbai office.

Active-Passive mode of Disaster recovery solution is suggested for the ERP system. The DR solution for ERP has two sites, one active (DC) and one passive (DR). Each site is a self-contained system. Replication of ERP important Servers data at the passive site can be done at latency of maximum 20 minutes. Incremental backups should be taken daily and sent across to the DR site. This means that at any point of time, maximum data loss MMTC can face is of last 4 hours data (RPO). It is recommended that asynchronous replication of data between DC and DR should be performed with an interval of 4 hours. Apart from backing up Data at the DR site, backups should be taken on external media (Tapes). The SI shall provide the tapes required for taking back up and will be responsible for the logistics of the tape to the off site location.

During normal operations, the active site will serve the requests. The passive site will not be performing any work but will remain on standby. In the event of failover of active site or switchover, the standby site will take over the active role, and all requests will be routed through that site. In case, there is a data loss at the DC, the SI shall restore the data at the Data Center from data backup devices. The DR set up is envisaged to be 50 % of the DC

MMTC shall decide the location for the offsite backup. The SI shall provide specifications for the fire proof storage facility for storing of media. The offline archival shall be available to MMTC in perpetuity.

The DC and DRC solution shall comprise of all core infrastructure components including but not limited to shared resources that are:

1. Racks
2. SAN Storage and Virtual Tape Library
3. Monitoring System
4. Access Control System, Physical Security and surveillance
5. Power Supply, UPS, Backup and Generator



6. Precision AC
7. Fire Prevention System
8. Router for terminating traffic coming from the internet
9. Core switch and other layer 2 switch for the LAN
10. Core information security equipment like firewall, IPS and IDS
11. Antivirus
12. Remote support services in case of any physical intervention required
13. Network Termination Facility for the Network Service Providers

Procurement, installation and commissioning of Non IT components for DC and DRC will be done by MMTC based on the recommendations by the SI.

The SI will provide availability and performance reports for the IT infrastructure installed in the DC and DRC along with other shared resources. The SI shall ensure that necessary reports are generated and SLA requirements are met. The monitoring and management should not result in procurement of a high end solution with large number of servers.

## 8.2. Network connectivity

MMTC is using services of a reputed network provider, for providing network services to all office locations. The detail of this arrangement at present is given below:

S No	Location	Bandwidth
1	Corporate Office , New Delhi	4 Mbps
2	Regional Offices	128 kbps
3	Delhi Regional Office, New Delhi	320 kbps
4	DR Site at Chennai	2 Mbps

**Table 5 Current Network Arrangement**

Although providing network connectivity is not part of this RFP however the SI is required to come up with required bandwidth levels for all locations in congruence with proposed solution, in case the augmentation of bandwidth capabilities is required to achieve desired performance levels.

## 8.3. Deployment Architecture

### ERP System Project locations and User Base

The list of various categories of offices along with number of such offices is available as part of introduction in section 2.4 of Volume I of the RFP Document. However the foreign offices are not part of scope of this RFP document. (Also refer Annexure I of the Volume I of the

RFP Document). However the SI is expected to do a detailed assessment at the time of requirement study. Some of these user groups are only payroll users, and do not participate in other transactions. (For i.e. Grade 3 & 4 employees).

MMTC desires to implement ERP system that will cater to the following users:

User Type	Number of Users*
Employee Base	1460
Functional User	300
Self Service Users	1460
Retails Users ( Owned by MMTC)	29*

**Table 6 Project users (\*Subject to change)**

*Note: Retail users will have limited access to the system. Retail users are from different retail outlets on Pan India basis*

### Scalability

The SI shall plan and provide for horizontal scalability in such a manner that a new server can be added (or removed) dynamically, as and when required in future, without disturbing the normal functioning of the system. The vertical scalability in servers in terms of additional processors and RAM will have to be provisioned for handling future growth in transactions.

The SI shall provide exact requirements for SAN storage keeping in view the legacy data that needs to be digitized and stored.

The following indicative figures are given to help the SI in sizing. (Refer indicative BOM in annexure IV of volume I of the RFP Document)

1. The core functional users for all the functional modules in the system are estimated to be 300 nos. The estimated concurrent logged in users would be 40% of the total users i.e. approximately 120 users
2. The estimated users for ESS (for leaves, salary slip, service book etc.) are 1460. The estimated concurrent logged in users for ESS would be 20% of the total user's i.e.300 users.
3. The details of retail outlet are mentioned in the annexure I of volume I of the RFP Document. The SI needs to provision keeping in mind scalability up to 100 outlets.

**Availability**

The SI needs to indicate the critical components in the system and indicate the plans for fail-over mechanisms. The components shall be in redundant mode (N+1) configuration. The SI shall ensure that no single point of failure (SPOF) exists and enough redundancy is built in to the DC.

**Interoperability**

The entire system/subsystem should be interoperable, in order to support information flow and integration. Operating systems and storage technologies from several suppliers must interact well with each other.

**Security**

The system must provide an end-to-end security blanket to protect the ERP applications, services, data and the infrastructure from malicious attacks or theft from external (through internet) hackers. Using Firewalls and Intrusion detection systems such attacks and theft should be controlled and well supported (and implemented) with the security policy. The security implementation shall cover all three layers namely physical, network and transport layer.

The SI shall deploy the application only after it is security audited and certified. Any module added or changed shall have to be audited further.

1. Tool-based Static Analysis (Source Code scanning) of code for critical applications
2. Black-box scanning of applications for vulnerabilities and their subsequent patching
3. Testing for vulnerabilities through manual audits based on the Open Web Application Security Project (OWASP) Top 10, subsequently code is hardened to remove the vulnerabilities found. This process performed iteratively shall certify the application to be safe for hosting

**Server Security**

1. Vulnerability Assessment of the Server shall be carried out
2. Servers shall be hardened regularly
3. Additional Layer of Security shall be provided to applications by deploying these behind the Firewall

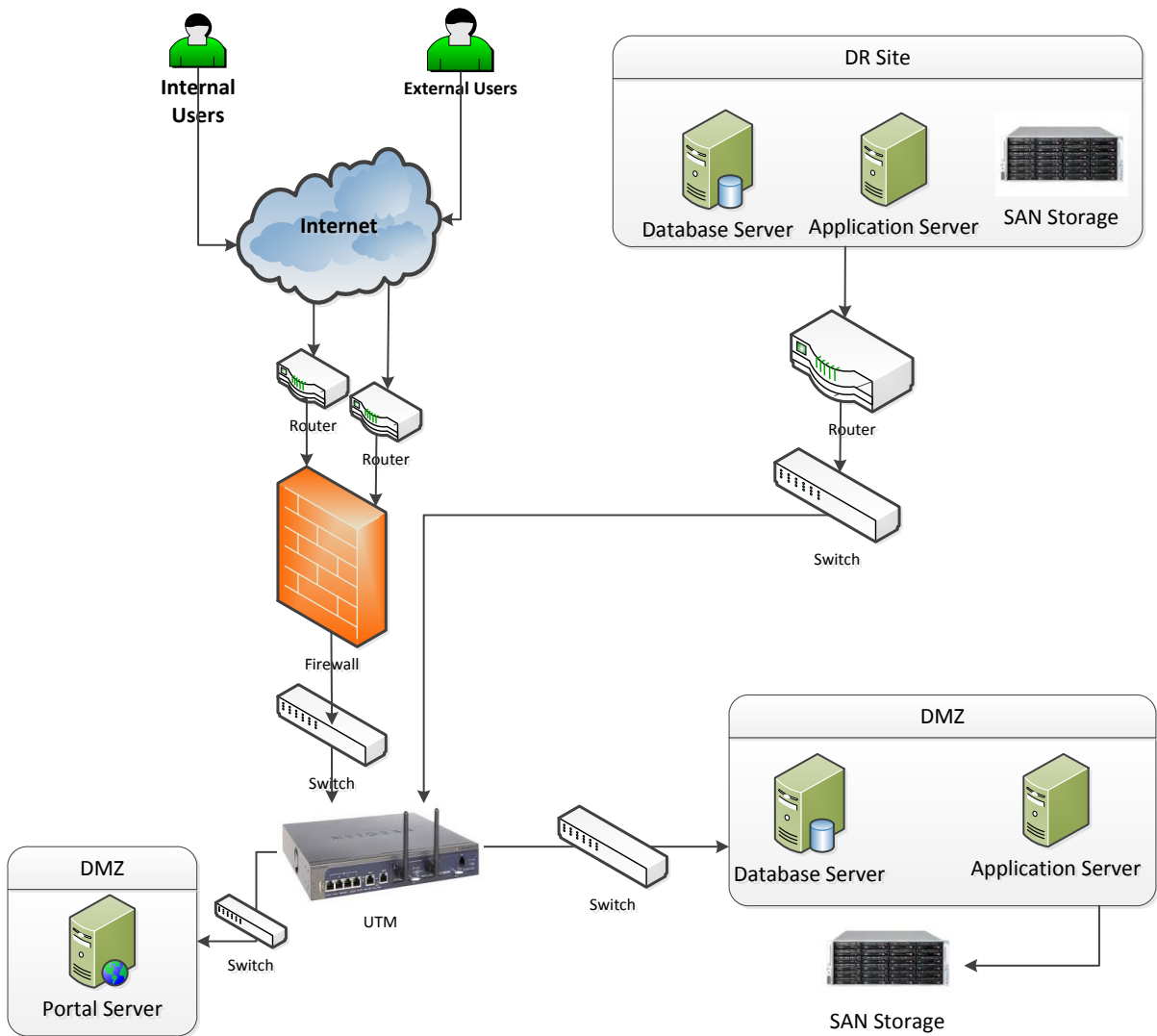
**Virtualization**

The SI must propose virtualization techniques for deployment of the ERP modules for optimum use of resources and design the solution appropriately keeping in view the performance requirements.

1. The virtualization software should be supplied along with management software that should support creation, deletion and movement of VM's across different servers.

- The SI is expected to propose the deployment architecture that is best suited for the ERP system.

The diagram below is the proposed connectivity for DC & DRC at the MMTC office premises.



**Figure 9 Logical Connectivity Diagram of DC and DRC and MMTC Offices**

## 9. The implementation Methodology

---

The methodology to be deployed by the SI to implement the ERP system will have different work elements and activities. All these activities and the work elements should coherently focus on achieving the following key results

1. Quality of the solution deployed
2. Customer satisfaction while deploying and during usage
3. Successful implementation in terms of completeness and timely accomplishment of the outcome

While there are different techniques and tools available as part of the methodology, the following are expected to be part of the implementation methodology to be adopted by the SI

1. Workshops with different stakeholders for capturing business requirements, creating awareness of best practices, communicating the changes, building consensus on process design, for signing off the deliverables etc. These need to be organized at different intervals and in different places throughout the duration of the project as demanded by the context.
2. Stakeholder consultation other than workshops, with those stakeholders who will be identified by MMTC, for the purpose of critical inputs, review, suggestions, process description etc.
3. Review sessions with different stakeholders for signing off the deliverables, walking through the deliverables for facilitating quick understanding
4. Reviews with experts from the ERP system OEM
5. Internal review mechanisms of SI for ensuring the quality of the solution and the deliverables
6. Adoption of the review comments - effective mechanisms to adopt the changes suggested
7. Documentation of proceeding – recording the developments, discussions, deliverables, using standard methodology and native tools available with the ERP system
8. Work standards/practices for documentation, configuration, testing, data migration etc.
9. Training different stake holders on a continuous basis

### Implementation and Support Services

- Implementation Services till Go-Live
  1. Delivery and Commissioning of necessary Infrastructure
  2. Realization Configuration
  3. Customization
  4. Testing
  5. User Acceptance Testing

6. Data Migration
7. Training and Change Management
8. OEM Audit Services
9. Documentation
10. Cutover and Go-Live

- Post Go Live Stabilization Support
- Operations and Maintenance Support

### 9.1. Installation and Commissioning of necessary infrastructure

---

The SI will be responsible for providing a full range of services in implementation of the offered ERP product including integration and supporting the operation of the proposed solution during implementation. Installation and Commissioning of necessary infrastructure

The SI will do hardware sizing for ERP system to meet the performance requirement as specified in the RFP scope of work. The following infrastructure is to be provided by SI

1. Server side Hardware - Development, quality, training, production servers for all the software applications provided by the SI.
2. Storage solutions and networking components at DC & DRC
3. Required software and system applications for DC & DRC

The SI shall install and commission the complete landscape of hardware both at DC and DRC for MMTC.

### 9.2. Configuration / customization

---

The SI shall be responsible for installation of ERP software, database, tools, and any other hardware component required for making the ERP system successfully operational as per the requirements of MMTC. The system is to be a single-instance; centralized installation servicing the entire organization. The ERP system will be installed at the location identified by MMTC.

**Configuration:** Based on the approved Business Design Document, the SI will undertake the system configuration and customization. After completion of configuration to the ERP system, SI shall carry out a trial run. If needed or/and the result is not up to the expectation of MMTC, further reconfiguration will be done by the SI in order to close any gap left in meeting the desired objective.

**Customization:** MMTC intends to implement ERP functionalities and the leading practices available in the offered solution, as far as practically possible. The SI is required to undertake customization that may be needed in line with the changed, improved or specific

business processes requirement prepared during Business Design phase of the ERP implementation. However the same must be tested, accepted and approved by MMTC.

All custom development should be carried out in a controlled and planned manner with adherence to ERP prescribed coding standards and naming conventions. The SI needs to provide configuration, customization and installation documents to MMTC. SI should follow disciplined approach for configuration and customization which should not restrict MMTC for any future upgrades to its ERP system to this effect, the SI should provide a certificate from OEM which certifies that the SI has followed disciplined approach for configuration and customization of ERP system and it will not stop MMTC from future upgrades.

### **Custom Developments**

The SI should explore all options available in Standard ERP to meet the requirements, demonstrate standard options to MMTC. If MMTC concludes that no option meets the requirement and the requirement is critical for business, SI shall submit the case for custom development to MMTC or the agency appointed by MMTC. The following details should be submitted:

1. User Requirement Specifications
2. Functional Specifications Document
3. Complexity Classification under Simple/ Medium/ High, with justification
4. Any impact to Standard functionality/ features and future upgrade
5. Effort and Time-line Estimation
6. Impact to project time-lines/ deliverables

MMTC reserves the right to seek customisation to meet its unique requirements and validate the design or findings suggested as custom development by the SI. In case it is difficult to arrive at the reasonableness of these requirements on customization during the implementation, the same shall be resolved through discussions. In case the issue is not settled, the same shall be referred in the first place to the Steering Committee. The committee may at its discretion co-opt any subject expert internal/external of MMTC who in its opinion may help in resolving the dispute. The decision of the Steering Committee and or the subject expert internal/external of MMTC appointed by the Steering Committee is final. MMTC reserves the right to get the functional specifications and effort reviewed by an external consultant.

It is estimated that the below mentioned number of objects needs to be custom developed during the implementation of ERP system. Hence, the bidder shall include the cost of custom development for the below mentioned items in its quote. Any custom developments over and above the below mentioned shall be paid to the bidder on the basis of blended man month rate quoted by SI in the commercial proposal.

### 9.2.1 Custom Developed Reports (Includes reports/ Custom Dashboards)

1. Estimated number of Custom Reports: 150
2. Estimated Break-up: 45 Simple, 75 Medium, 30 Complex

### 9.2.2 Custom Developed Forms and Print Layouts

1. Estimated number of Custom Forms: 100
2. Estimated Break-up: 30 Simple, 50 Medium, 20 Complex

### 9.2.3 Custom Enhancements

1. Estimated number of custom enhancements: 50
2. Estimated break-up: 10 simple, 30 Medium, 10 Complex

### 9.2.4 Custom Workflows

1. Estimated number of Custom Workflows: 100
2. Estimated break-up: 20 simple, 60 Medium, 20 Complex

### 9.2.5 Custom Interfaces

1. Interface to the external system as mentioned in the previous sections.

### 9.2.6 Custom Data Conversion Programs

All the data conversion and migration programs required as per the details given in the previous sections.

MMTC reserves the right to assign selected custom development requirements to trained technical team of MMTC. In such cases, SI shall remain responsible for overseeing the developments and also be responsible specifically for

1. Creation of Functional Specifications Document
2. Review of Technical Specifications
3. Code Review
4. Integration Testing

### 9.2.7 Complexity Guidelines

The following is the criteria to classify each type of Custom Development Object on complexity

#### Reports

Simple	Medium	Complex
Involves selecting data from multiple tables and re arranging them	Involves sub screens, multiple queries and data drill down operations	Involves use of procedures for querying and fetching data from various modules



## Forms

Simple	Medium	Complex
<ul style="list-style-type: none"> <li>• Involves changing standard Forms by changing the layout.</li> <li>• No Changes to the driver program.</li> <li>• Printing to be done on a plane paper.</li> <li>• Max of 4 windows involved in the form.</li> <li>• Max of 5 fields on each of windows</li> <li>• No boxes involved.</li> </ul>	<ul style="list-style-type: none"> <li>• Simple Changes to the driver program.</li> <li>• Printing to be done on a plane paper.</li> <li>• Max of 6 windows involved in the form</li> <li>• Not more than 3 pages involved in the form.</li> <li>• Not more than 2 simple boxes involved in the whole form.</li> <li>• Involves Label Printing.</li> <li>• Involves sending the output on E-mail or into PDF</li> </ul>	<ul style="list-style-type: none"> <li>• Involves Adobe / Jet form.</li> <li>• Involves using any other third party tool.</li> <li>• Printing to be done on a pre-printed Paper.</li> <li>• Number of Pages involved more than 3.</li> <li>• Complex changes to the form.</li> <li>• The driver program is being written from scratch.</li> <li>• Sending E-mail as HTML.</li> </ul>

## Interface

Simple	Medium	Complex
<ul style="list-style-type: none"> <li>• Single Transaction Involved.</li> <li>• No File validation.</li> <li>• No. of fields to be uploaded not more than 10.</li> <li>• No error log to be generated.</li> <li>• Maximum one input file.</li> <li>• No Header – Line item kind of relationship.</li> </ul>	<ul style="list-style-type: none"> <li>• Max. of 2 transaction codes involved.</li> <li>• Values in the file need to be validated.</li> <li>• No of fields to be uploaded is less than 15.</li> <li>• Error log to be displayed on the screen.</li> <li>• Maximum of 2 input files.</li> <li>• Table controls involved.</li> </ul>	<ul style="list-style-type: none"> <li>• More than 2 transactions Involved.</li> <li>• Complex validation on the input files.</li> <li>• Authorization checks to be performed before calling the transaction.</li> <li>• No. of fields to be uploaded is more than 15.</li> <li>• Error log to be downloaded.</li> </ul>

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>• No table control involved.</li> </ul> | <ul style="list-style-type: none"> <li>• More than 2 input files.</li> <li>• Header – Line item kind of relationship exist in the data.</li> <li>• More than one table controls involved</li> </ul> |
|--|---|

### Enhancements

Simple	Medium	Complex
<ul style="list-style-type: none"> <li>• Involves simple processing logic.</li> <li>• Like a typical Function Exit with all the parameters provided.</li> <li>• No need to search for the user exit.</li> <li>• Does not involve screen exit.</li> </ul>	<ul style="list-style-type: none"> <li>• Involves Screen Exits with not more than 2 fields.</li> <li>• All the parameters involved are clearly provided in the specs.</li> <li>• Involves complexity in the processing logic.</li> <li>• The changes in the existing ERP program</li> <li>• Modification of standard program clearly specifying the changes.</li> </ul>	<ul style="list-style-type: none"> <li>• Involves Screen Exits with more than 2 fields.</li> <li>• Complete understanding of the whole program is required before applying the Enhancement.</li> </ul>

### Objects not considered as Custom Development

The below list of items developed or changes to standard items shall be considered as “Configuration” and not as “Customisation”. The SI shall not expect or propose any additional charges for developing the following objects.

1. Use of ERP provided Customer/ User Exits to achieve specific process requirements/ expectations
2. Configuration of Field selection and Screen Layouts
3. Definition and assignment of User Defined statuses for various objects
4. Definition of Authorization Controls and Assignment
5. Configuration of standard Workflows
6. Seamless integration across all ERP Products, ERP add-on products/ components

7. Reports developed in functional area using Report Writer/ Report painter/Report Developer (Report writing tool)
8. Standard Reports and Variants Change to standard reports/ information systems to define and enable User Specific Variants
9. Change to ERP standard forms to incorporate standard texts and logos.
10. Conversion Programs developed for migrating Master Data and Open Data for Go-Live from existing applications.
11. Interface of ERP systems with the external applications mentioned in this RFP.
12. All Government of India rules and regulations or changes will not be treated as custom development

### 9.3. Testing

---

As part of testing, the SI shall cover all activities during the implementation process (configuration of business processes, development such as conversions, interfaces, reports) which prove that system settings are correct as per business requirement of MMTC. In doing so, the SI shall include test plans, tests cases, and testing report.

The SI shall create the test strategy document that defines the requirements and goals of ERP configuration, determines the tools and methods used to check that the system responds correctly, determines how and when the test will be performed and recommends how the approval process should occur.

The test strategy document shall guide the project team through the implementation to ensure that planning and conducting testing activities in the various phases of ERP implementation as mentioned below.

#### 9.3.1 Base Line Testing

---

The purpose of Baseline Scope testing activities is to plan and conduct testing to validate the Baseline configuration. Baseline Scope testing shall ensure that Baseline configuration is valid, and supports the business processes defined in the Blueprint.

Baseline Scope Testing shall include: (a) Unit Testing: Testing of transactions and functions within modules and (b) Scenario Testing: Testing of business processes and scenarios

Baseline Scope testing shall be carried out in three steps:

##### **Define Baseline test cases:**

1. SI shall develop the baseline test plan with scenarios and test data to be used for testing based on the test templates.
2. For simple transactions, testing (unit testing) shall be done straightforward during configuration and the results shall be recorded.
3. For transactions that are very complex involving multiple screens, functions and variations to run, the transactions shall be documented and tested with a Business

Process Procedure, maintaining the test section with test conditions and variations of the standard transaction, or with case procedures, maintaining the test section.

4. SI shall use the Test Scenario template entering every single step (transaction) with input and output data to document process flows.

#### **Create Baseline test plan**

5. SI shall organize and follow up the unit and scenario testing at the Function/Module level during Baseline scope testing.
6. SI shall assign timeframes and resources for testing.

#### **Test Baseline**

7. SI shall use the Baseline test plan and the test cases to test Baseline configuration.
8. SI shall update the Baseline worksheet with status and completion date information.

### **9.3.2 Development Testing**

---

The SI shall after development and customization/configuration of the ERP system, conduct tests to demonstrate that the system meets all the requirements (functional and Non Functional) specifications as brought out in this RFP and would be in accordance with the procedures detailed in the approved process document.

On the basis of these tests, a report would be submitted by the SI for review and approval by MMTC. The test results and response times should be demonstrated by the SI during the testing phases (System, integration & Stress and Load testing) at each MMTC location in an environment/infrastructure as mutually agreed upon by MMTC and the SI.

The development testing shall cover testing of:

1. Unit testing of customer-specific development
2. Conversions
3. Enhancements (User-exits and other code enhancements)
4. Reports

Development should be tested by the process owner to make sure that the test results (output data) are correct, and reflect the business processes defined in the Blueprint.

After development unit testing is completed, all customer-specific programs and forms shall be included in the Final Integration Test

### **9.3.3 Integration and System Testing**

---

The purpose of the Integration Test shall be to plan and execute the integrated components, including simulation of live operations, and analyze the results, important for the functional verification of the production system.

Integration testing shall be accomplished through the execution of predefined business flows, or scenarios, that emulate how the system will run the processes of MMTC. These business flows, using migrated data from the pre-existing systems, shall be performed in a multifaceted computing environment comprising of ERP products, third-party software if any, system interfaces and various hardware and software components. The integration tests shall build the necessary level of confidence that the solution is complete and will perform the processes of MMTC.

Integration testing shall focus on cross-functional integration points, as well as end-to-end business processes. The Final Integration test plan shall start with the testing of the cross-functional integration points (touch points) and end with the end-to-end testing of critical business processes identified within the Business Blueprint.

Integration testing shall be done in two iterations.

1. The first iteration (Integration Test) shall concentrate on testing all important business processes inside the ERP system, starting with touch point scenarios and ending with end-to-end-scenarios. It will be done by SI's functional consultants. Customer specific development like user-exits and transactions and authorizations and user roles would also be tested in the Integration Test.
2. System Testing, as a second iteration, shall focus on the most important cross-enterprise scenarios with touch points to external components, including testing of conversions, interfaces, reports, and the necessary authorizations. It will be conducted by MMTC users with the guidance of project operations committee.
3. Integration and System tests need to be an evolutionary process that is driven from the previous testing efforts. The test cases and scenarios that were used for Baseline need to be reviewed by MMTC and enhanced for the integrated and System test. These selected cases will be combined to represent a business process flow such as a revenue cycle or a material acquisition cycle. Problems encountered during these efforts also need to be tested under an integrated environment.

#### 9.3.4 Load and Stress Testing

Load, scalability and stress testing would be conducted prior to commissioning & Go Live, once the System Integration testing of the configured and customized solution has been conducted successfully. The SI in consultation with MMTC needs to plan testing performance criteria. The SI should use suitable simulation tools in accordance with the agreed test procedures keeping in view MMTC's projected future load of transactional users as proposed by SI and agreed by MMTC. After successful testing and its clearance with MMTC, the solution would then be considered as ready for commissioning.

#### 9.4. System Acceptance

---

The SI will develop acceptance test procedures and the same will need to be approved by relevant stake holders of MMTC. The purpose of this acceptance is to ensure conformance to the required process operations response time, the integrity of the application after installation, and to eliminate any operational bugs.

This will include:

1. Fine tuning of the application, ensuring all required related component software are installed and any debugging required.
2. The acceptance tests will be carried out before Go-Live at site.

At the satisfactory conclusion of these Acceptance tests to the satisfaction of MMTC, the implementation of the application shall be considered to be complete however if any bugs/errors is reported by MMTC, the SI shall be responsible for taking the corrective action immediately.

#### 9.5. Cutover and Go-Live

---

The scope of Cut over would be for each of the core and support processes. The Cutover Strategy needs to detail the sequence of activities required to achieve this and propose drawing up of a schedule for the tasks, dates, data conversion and the upload of the necessary balances and open items into the system before Go Live.

The key requirements for cut over are as follows:

1. The Cut over plan should detail the strategy by which the data will be uploaded for the different sites and the nature and volume of backlog transactions. Specified forms/formats/templates to put the data in.
2. It should detail the Data elements and open item strategy logic used for planning cut over before go-live.
3. It should describe the various pre requisites and assumptions used for each of the data elements before uploading in the live system.
4. It should detail the various business decisions to be taken collaboratively by MMTC and SI for finalizing the cut over strategy.

MMTC will consider Go-Live date of the ERP system once "Certificate of System Acceptance" is provided to SI. MMTC shall provide the certificate on following acceptance criteria:

1. The SI is required to undertake the following to review readiness for "Go Live":
  - a) Facilitate in setting up central help desk for any queries
  - b) Review the usage and performance of the system till it stabilizes
  - c) Ensuring resolution / Documentation of all issues raised during implementation
  - d) Final configuration/ integration, volume and stress testing

- e) Switch over to production environment.
2. Declaration of “Go Live” – the system will be declared “Go Live” when the following tasks/activities are accomplished satisfactorily
  - a) Acceptance testing
  - b) Installation and commissioning of Hardware
  - c) Data migration
  - d) Training
  - e) User creation / role identification

The Final Go Live will be after completion of stabilization period for that specific phase.

3. User Adoption Support: The SI shall provide User adoption support, by deputing technical and functional consultants at the client site after implementation of ERP system at that site. During the Implementation period prior to “Go Live”, the SI shall support MMTC users in using the system.
4. Final Go live: The system will be declared Final go live when the following tasks are accomplished
  - a) Stabilization period after Phase II go live
  - b) Generation of annual financial statements/Balance Sheet from the new ERP system for MMTC

#### 9.6. Post Go-Live Stabilization Support

---

The SI shall provide post Go-Live support, as part of this scope; by continuing the deployment of the same technical and functional consultants at site for full three months after implementation and Go-Live. During the stabilization period the SI would help MMTC users to correct any errors/bugs incurred while executing transactions, generating reports, handholding for one financial quarter closure. The SI will update the user manuals and configuration manuals accordingly.

## 10. Implementation Approach and Project Timelines

The overall implementation of the ERP system is envisaged to be completed in 12 months (One Year). The entire implementation would consist of ERP system software and customization to meet the requirements of MMTC. Implementation is expected to be completed within 12 months from the date of signing of agreement with the SI.

### Implementation Approach

The implementation of the Modules would be phased in progressively, covering successively different geographies and user groups. A summary of the Approach for Implementation is provided below for better understanding of the Bidder

Sr. No	Phases	Locations	Timelines
1	Phase-I	Corporate Office , New Delhi & Delhi Regional office	T + 40weeks
2	Phase-II	Rest of the Locations	T + 52 weeks

**Table 7 Timelines for Project Implementation**

### Project Management Plan

The SI is expected to follow the schedule as mentioned. Each of the milestones should be accompanied with a presentation on the deliverables by the SI, related to that milestone. The submission of deliverable will be deemed complete after the submission of the hard / soft copy of the deliverable and the presentation by the SI.

The “Expected Date of Completion” as mentioned in the table above is the date by which the deliverable shall be submitted to MMTC. The SI shall ensure that the deliverable is accepted by MMTC as per schedule mentioned in the table above post review.

The SI shall follow prudent project management practices commensurate with the best international standards during the course of the project implementation. While the actual process of application customization will remain an internal activity of the SI, it is important that MMTC or their nominated agencies shall have adequate visibility into such processes.



The following are some of the major guidelines to be kept in mind for Project Management.

1. **Scope Management:** The requirements in general and the customization requirement in particular, shall be collected and documented clearly. The scope and requirements shall be controlled against a baseline and any changes shall be communicated to MMTC and documented.
2. **Time Management:** The SI shall prepare a detailed project schedule conforming to the stake-holder expectations and exercise stringent control of the schedule. A periodic report on the progress and deviations should be shared with MMTC. Any schedule conflicts with respect to project and/or deliverable timelines will have to be resolved by SI in consultation with MMTC and/or its nominated agencies and approved by MMTC. Thereafter the approved timelines will have to be adhered to by the SI, unless specified otherwise.
3. **Quality Assurance and Quality Control:** A detailed Quality Assurance Plan shall be prepared and shared with MMTC. The same shall be monitored and SI shall share a periodic report on the quality activities. These shall include:
  - a) Architecture and Design Review Reports
  - b) Test Plans Review Reports
  - c) Test Execution Review Reports
4. **Project Risk management:** The SI shall document the risks during implementation and share the same with MMTC. This shall be periodically reviewed and shared with MMTC. A report on the periodic risk analysis, risk responses planned, mitigation strategies executed shall be shared with MMTC.

The SI shall store all the Project Management and Delivery artifacts into a secure configuration database and give access to MMTC for view purposes. During the O&M period, any change requests and enhancements to the software shall be similarly documented so as to create a comprehensive repository of all artifacts relevant to MMTC stakeholders. This will serve as a valuable knowledge input during Exit Management and also for any statutory audit.

## 11. Project Deliverables Schedule

The SI must submit a detailed schedule for the below mentioned milestones and deliverables (but not limited to) that would be delivered during the course of the project plan. The table gives a set of high-level activities and corresponding deliverables expected, which MMTC envisions to be required as part of this project. The SI should use this list only as guidelines in terms of expected deliverables. The SI is required to furnish detailed information regarding each deliverables of every step of activities proposed during and after the implementation of the project.

The proposed timeline of submission of the deliverable are mentioned in 'T+ W' format wherein 'T' shall specify the date of signing of agreement and 'W' shall specify the number of weeks after the signing off the contract agreement when the deliverable would be submitted. The SI shall be bound with the proposed and finalized (after discussion with MMTC) project plan and timelines of submission of deliverables.

Following are the list of Key milestone and deliverables (but not limited to) for the implementation phases as part of ERP implementation at MMTC.

Sl. No	Activity/Task	Deliverables/ Milestone	Timelines (In Weeks)
1	Project Award & agreement signing between MMTC and successful System Integrator		Project Start Date = T
2	Project Planning	a) Project plan covering Design Document & Realization Phase b) Design Documents Plan c) Project Charter d) Data Migration plan e) Resource loading Schedule	T + 4 Weeks

Sl. No	Activity/Task	Deliverables/ Milestone	Timelines (In Weeks)
3	Design Phase	a) Finalised To-Be process report (Study of existing processes and suggestion on To-Be processes based on best practices) b) Finalised customisation requirements c) Module Configuration Documents d) Finalised System requirement specifications d) Final Training plan	T + 18 Weeks
4	System Development	All Components	T+ 30 Weeks
5	System Testing	Unit & Integration Testing of all Application Components	T + 34 Weeks
6	Data Migration	Data Migration acceptance certificate	T + 32 Weeks
7	User training at Corporate Office & Regional Office at Delhi	Application manuals and Training manuals and other training artefacts	T + 32 Weeks
8	User training at other office Locations	Training manuals and other training artefacts	T + 40 Weeks
9	Infra System Design	Approved System design document (High and Low Level Design including Data centre and Network architecture)	T + 17 Weeks
10	Complete DC & DR Implementation	Acceptance of DC & DR hardware and software Implementation report	T + 33 Weeks
11	UAT Sign-off for ERP Application and DC & DR	UAT sign off from MMTC	T + 38 Weeks
12	System Audit	System Audit report	T + 39 Weeks
13	Final Acceptance Test & Go-live phase 1 Deployment	Acceptance test report for Go-Live Phase 1	T + 40 Weeks
14	Final Acceptance Test & Go-live phase 2 Deployment	Acceptance test report for Final Go-Live Phase 2	T + 52 Weeks

<b>Sl. No</b>	<b>Activity/Task</b>	<b>Deliverables/ Milestone</b>	<b>Timelines (In Weeks)</b>
<b>15</b>	Stabilization Period	Monthly action taken report on bugs and other improvement report	3 months after each Go Live
<b>16</b>	Post Go-live Support	SLA adherence report on a monthly basis	5 years after acceptance of Final Go Live

**Table 8 Project Milestones and Deliverable Schedule**

## 12. Deliverables Acceptance Criteria

---

The acceptance criteria for each phase are the submission and acceptance of all deliverables should be specified for all the project phase proposed by the SI. A list of standard deliverables (at the minimum) for each phase is listed above. The formal acceptance by MMTC of the phase deliverables constitutes completion of the phase and approval to launch the next phase.

Acceptance criteria for each deliverable will be established in accordance with the process described in the following paragraph prior to the beginning of each phase.

Project deliverables at each stage would be reviewed for acceptance by MMTC as per mutually agreed timelines.

The SI should provide templates of proposed deliverables. At the onset of each phase, SI will meet with MMTC Project Manager to review the applicable templates, tailored to accommodate the needs of the project, and agree on the scope, format, and content of each of the major deliverables for that phase. The agreements made during this meeting will be captured in a Deliverable Review Document (DRD) for each deliverable. A deliverable evaluation scorecard will be used to measure the deliverable (completeness, consistency, quality, and presentation) against the acceptance criteria defined in the DRD.

As project deliverables are submitted, MMTC will review them against the agreed upon DRD and either accept them or provide comments within Ten days after receipt. When comments are provided, the SI will address the comments and revise the deliverable and resubmit it within five days.

The MMTC team will give a go ahead to move from one phase to the other phase only after the deliverables of a particular phase are accepted by the concerned authority. So the protocol for submission, review, revision and acceptance will be established at the beginning of the project or for some deliverables at the beginning of that particular phase. The SI is required to propose the details of this protocol as a part of the proposal.

### 13. Operations & Maintenance

---

The SI shall provide Operation and maintenance (O&M) services to MMTC for a period of Five (5) years from the date of Final go of the ERP System and also during the interim period between phase I go-live and phase II go-live. MMTC may extend the contract to a period of Three (3) years, further terms of Two (2) years based on the performance of the SI.

The SI shall adopt an integrated service model for providing O&M services. The SP shall be responsible for end to end provision of O&M services including planning, delivery and execution of services during the contract period of 5 years. The SI shall deploy the required resources and is responsible for the Operation and Maintenance services that include, but not limited to, IT Application (software, hardware), IT infrastructure such as, Servers, Equipment and other infrastructure that are in the scope of this RFP.

MMTC may consider Technology refresh at the time of completion of O&M period (5 years).

#### Support Requirements

The support will address all user level queries, fixing bugs, enhancements, changes to configurations, customizations, patch updates, upgrades, database administration, security etc. The Operation & Maintenance of the Overall System Solution (including but not limited to Hardware, System Software, Application Software and other Infrastructure) shall be for the O&M period from the date of Final Go live.

The SI shall provide operations and maintenance support to maintain and support IT infrastructure for all the deliverables provided to MMTC.

The services covered under post implementation support include:-

1. Comprehensive Annual Technical Support Services (ATS) on all the licensed software (ERP product, associated software components, database, operating systems, etc.) has to be provided by the SI for the O&M period from the date of Final Go live.
2. Applications Functional Support (AFS) for the O&M period for the delivered ERP systems which will cover all the solution components.

#### Performance Requirements

The number of users and approximate concurrency figures are given at Section 8.3 of Volume I of the RFP document. Actual requirement of users / module will be ascertained by the SI during implementation.

1. The average application response time(s), application availability and other performance parameters are given in the SLAs of Volume-III of this RFP
2. The application software should be designed to cater to this load without any degradation of performance as explained above

3. The database schema and design should be capable of handling current and future loads
4. System should be upwardly scalable in the event of increased usage of the system or new business requirements
5. The SI shall provide comprehensive report every month on the performance of the server side infrastructure
6. MMTC may with prior notice audit such measurements to their satisfaction

### 13.1. Operations and Maintenance Support

---

#### 13.1.1 Operation and Maintenance from the date of Go Live

---

Operation and Maintenance of the entire ERP System including, but not limited to, IT Application, IT & Non-IT infrastructure, Servers, Network and Equipment during the interim period between phase I go-live and phase II go-live and for the O&M period from the date of Final Go live.

As part of the operations and maintenance services, the SI shall provide support for the software, hardware, and other infrastructure that are in the scope of this RFP. The O & M support includes:-

1. Application Software maintenance and support
2. Warranty support for all the hardware procured as part of this RFP (including back to back support where OEM is offering the same)
3. Annual Technical Support (ATS) for all the licensed software
4. Operations and maintenance services for the infrastructure supplied and commissioned by the SI for the system at the Data Centre and Disaster Recovery Centre and MMTC project locations.
5. Central Helpdesk at MMTC Corporate Office
6. Periodic reporting

#### 13.1.1.1 Applications Functional Support (AFS) for the delivered ERP solutions which will cover all the solution components

---

The Application Functional Support Services contemplated herein shall be provided for ERP system implemented by the SI. The SI shall render both on-site maintenance and support services to MMTC.

The scope of the services is as below:-

#### **Enhancements and defect fixes.**

The SI shall incorporate technological changes, and provide enhancements as per the requests made by MMTC. SI shall perform minor changes, bug fixes, error resolutions and minor enhancements that are incidental to proper and complete working of the application.

**Routine functional changes:**

The SI shall be responsible for user and access management, creating new report formats, and configuration of reports. SI shall provide user support in case of technical difficulties in use of the software, answering procedural questions, providing recovery and backup information, and any other requirement that may be incidental/ancillary to the complete usage of the application. The SI shall perform user ID and group management services. The SI shall maintain access controls to protect and limit access to the authorized End Users of MMTC.

The services shall include administrative support for user registration, creating and maintaining user profiles, granting user access and authorization and providing ongoing user password support.

**Tuning of the ERP solution:**

The SI shall also undertake tuning of ERP, databases, any third party software and any other components provided as part of the solution to optimize the performance.

**Deployment/Re-Deployment of ERP solution:**

The SI shall be responsible for deployment of the ERP solution and re-deployment in case of any upgrades to the underlying hardware or operating System and carry out any necessary testing.

The key service level requirements need to be ensured by the SI during the operations and maintenance period. These requirements shall be strictly imposed and either MMTC or a third party audit/certification agency shall be deployed for certifying the performance of the SI against the target performance metrics as outlined in the SLA's defined in Volume III of the RFP.

**13.1.1.2 Application Software Maintenance and Support services**

As part of the software maintenance and support services SI shall provide:

1. The IT Application Maintenance and Support services shall be provided for all components mentioned in this RFP or as part of Administrative orders / legal obligation.
2. The SI shall render on-site maintenance and support services (only at DC and DR) and off-site maintenance and support services from MMTC, Corporate Office premises in New Delhi.
3. The SI shall be required to provide operational & maintenance services for System including, but not limited to, production monitoring, troubleshooting & addressing the functionality, availability & performance issues, implementing any system



- change requests, addressing the incidents/problems raised by the users (via IT Helpdesk) for problems/bugs in the application etc.
4. The SI shall keep the application software in good working order; meeting the requirements defined by MMTC from time to time based on functional, administrative or legislative priorities, perform any changes and upgrades to applications as requested by MMTC.
  5. Tuning of application, databases, third party application and any other components provided as part of the solution to optimize the performance.
  6. The SI shall perform (at no extra cost) minor changes, bug fixes, different reports of MMTC, error resolutions and minor enhancements that are incidental to proper and complete working of the application.
  7. Release Management for the interim releases of the application.
  8. Centralized version and configuration control of the application.
  9. Routine functional changes.
  10. Any changes to the application code that may be required because of patches to licensed software being used (if any). The SI shall migrate all the current functionality to the new / enhanced version at no additional cost to MMTC.
  11. Updating and maintenance of all ERP project documents (including user manuals, trainings etc.).
  12. Change request management based on feedback from the users or the initiative of the SI. All planned changes to the application, especially major enhancements and changes in functionality post phase –II go-live, shall be coordinated within established Change control processes.
  13. The SI will define the Software Change Management and version control process and obtain approval for the same from MMTC. For all proposed changes to the application, the SI will prepare detailed documentation including proposed changes, impact on the system in terms of functional outcomes/additional features added to the system, etc.
  14. The SI shall carry out the configuration of new MMTC offices/stakeholders as required by MMTC.
  15. The SI shall address all the errors/bugs/gaps in the functionality offered by system at no additional cost during the operations & maintenance period.
  16. For performing of any functional changes to system that are deviating from the signed-off Functional Requirements/System Requirements including any subsequent changes till final go-live, a separate Change Proposal Form shall be prepared by the SI and the changes in the application shall be implemented accordingly at no additional cost to MMTC. The time period for implementation of change shall be mutually decided between SI and MMTC.
  17. It is clarified that changes in software, hardware and other infrastructure required as a result of any legislative, administrative, policy changes in MMTC processes and

workflow shall constitute change of 'Scope of Work' only if it is not covered in Change Request Schedule and updates/upgrades

18. Any changes/upgrades to the software performed during the operations & maintenance phase shall be subjected to comprehensive & integrated testing by the SI to ensure that the changes implemented in the system meets the desired and specified requirements of MMTC and does not impact any other function of the system. The SI shall provide a staging environment for testing of changes/ updates/ patches before applying them on production environment.

#### *13.1.1.3 Annual Technical Support (ATS) for the licensed software*

1. All software should be supplied with applicable OEM warranties and support (including back to back) for the entire duration of the project. During warranty period vendor has to provide updates and patches.
2. Annual Technical Support (ATS) will start from the date of acceptance of the installation. ATS should cover 24 by 7 escalation supports from OEM for all software products to be provided through Phone, Email or Onsite visit depending on the criticality and nature of the problem. The support has to be ensured by the SI.
3. The SI must carry out any requisite adjustments / changes in the configuration for implementing different versions of the application software.
4. The SI shall provide from time to time the Updates/Upgrades/New releases/New versions of the software and operating systems as required. The SI must provide free upgrades, updates & patches of the software and tools to MMTC as and when released by OEM. The SI will implement from time to time the Updates/Upgrades/New releases/New versions of the software and operating systems as required after necessary approvals from MMTC about the same at no additional cost without disturbing the implemented ERP system.
5. The SI shall provide and apply regular patches to the licensed software including software, operating system, databases and other applications.
6. The SI shall provide for software license management and control. SI shall maintain data regarding entitlement for software upgrades, enhancements, refreshes, replacements and maintenance. The SI must perform periodic audits to measure license compliance against the number of valid End User software licenses consistent with the terms and conditions of site license agreements, volume purchase agreements and other mutually agreed upon licensed software terms and conditions and report to MMTC on any exceptions to SI's terms and conditions, to the extent such exceptions are discovered.
7. The SI shall manage complete OEM technical support for all the licensed software problems and/or questions, technical guidance, defect and non-defect related issues. The SI shall provide a single-point-of-contact for software support and provide licensed software support including but not limited to problem tracking,

problem source identification, problem impact (severity) determination, bypass and recovery support, problem resolution and management reporting etc.

8. The SI shall undertake regular preventive maintenance of the licensed software. If the Operating System or additional copies of Operating System are required to be installed / reinstalled / de-installed, the same shall be done as part of ATS.

#### *13.1.1.4 Warranty support for the IT hardware*

1. The SI shall provide a comprehensive warranty and on-site free service warranty for all the hardware procured as part of this RFP.
2. The SI shall provide comprehensive manufacturer's warranty in respect of proper design, quality and workmanship of all hardware, equipment, accessories etc. covered by the RFP. The SI must warrant all hardware, equipment, accessories, spare parts, software etc. procured and implemented as per this RFP against any manufacturing defects during the warranty period.
3. The SI shall provide the performance warranty in respect of performance of the installed hardware and software to meet the performance requirements and service levels in the RFP.
4. The SI is responsible for sizing and procuring the necessary hardware and software licenses as per the performance requirements provided in the RFP.
5. During the warranty period, SI shall replace or augment or procure higher-level new equipment or additional licenses at no additional cost to MMTC in case the procured hardware or software is not adequate to meet the service levels.
6. Mean Time between Failures (MTBF): If during agreement period, any equipment has a hardware failure on four or more occasions in a period of less than three months or six times in a period of less than twelve months, it shall be replaced by equivalent or higher-level new equipment by the SI at no cost to MMTC. However, if the new equipment supplied is priced lower than the price at which the original item was supplied, the differential cost must be refunded to MMTC. For any delay in making available the replacement and repaired equipment for inspection, delivery of equipment or for commissioning of the systems or for acceptance tests / checks on per site basis, MMTC reserves the right to charge a penalty. The SI shall track and report observed Mean Time between Failure (MTBF) for Hardware.
7. During the warranty period SI shall maintain the systems and repair / replace at the installed site at no charge to MMTC all defective components that are brought to the SI's notice.
8. The SI shall as far as possible repair the equipment at site.
9. In case any hard disk drive of any server, SAN etc. is replaced during warranty / AMC, the unserviceable HDD will be property of MMTC and will not be returned to SI. In case of faulty storage media, the malfunctioning storage media will not be handed over to SI, this is applicable to all removable media.

10. Warranty shall not become void, if MMTC buys, any other supplemental hardware from a third party and installs it within these machines with intimation to the SI. However, the warranty will not apply to such supplemental hardware items installed.
11. The SI shall carry out Preventive Maintenance (PM), including cleaning of interior and exterior, of all hardware and testing for malware/malicious software, if any, and must maintain proper records at each site for such PM. Failure to carry out such PM will be a breach of warranty and the warranty period will be extended by the period of delay in PM. PM envisages all activities require to be undertaken for good upkeep of hardware.
12. The SI shall monitor warranties to check adherence to preventive and repair maintenance terms and conditions.
13. The SI shall ensure that the warranty complies with the agreed Technical Standards, Security Requirements, Operating Procedures, and Recovery Procedures.
14. The SI shall have to stock and provide adequate onsite and offsite spare parts and spare component to ensure that the uptime commitment as per SLA is met.
15. Any component that is reported to be down on a given date must be either fully repaired or replaced by temporary substitute (of equivalent configuration) within the requisite time frame to meet the Service Level Agreement (SLA).
16. The SI shall develop and maintain an inventory database to include the registered hardware warranties.

#### *13.1.1.5 Operations and maintenance services for the IT infrastructure at the DC and DRC*

---

1. The scope of the services for overall IT infrastructure management as per ITIL framework shall include 365x24x7 on site Monitoring, Maintenance and Management of the server and related infrastructure supplied and commissioned by the SI for the application at the Data Centre and Disaster Recovery Centre.
2. The SI shall provide the MIS reports for all the devices installed in the Data Centre and Disaster Recovery Centre in format and media as mutually agreed with the MMTC on a monthly basis. Whenever required by MMTC, SI must be able to provide additional reports in a pre-specified format.
3. The indicative services as part of this support are as below:
  - a) System Administration, Maintenance & Management Services
  - b) Application Monitoring Services
  - c) Backend/Alert Services
  - d) Storage Administration and Management Services
  - e) Replication, Backup and Restore Services

#### *13.1.1.6 System Administration, Maintenance & Management Services*

---

The objective of this service is to support and maintain all the Systems and Servers provided as a part of this project by SI, and shall include

1. 365x24x7 monitoring and management of the servers in DC and DRC.
2. Regular monitoring of all the applications hosted.
3. Operating System administration, including but not limited to management of users, processes, preventive maintenance and management of servers including updates, upgrades and patches to ensure that the system is properly updated.
4. Installation and Re-installation of the server and other hardware in the event of system crash/failures.
5. Regular analysis of events and logs generated in all the sub-systems including but not limited to servers, operating systems, security devices, etc. to identify vulnerabilities. Necessary Action shall be taken by the SI in accordance with the results of the log analysis. Suitable mechanism has to be maintained for security and forensic related logs or as per requirement of IT act and that of other government regulations issued from time to time.
6. Adoption of policies and procedure, compliances, guideline, standard as defined by the MMTC.
7. Provide integration and user support on all supported servers, data storage systems, etc.
8. Troubleshoot problems with web services, applications software, desktop/server relationship issues and overall aspects of a server environment.
9. Problems shall be logged in at the Help Desk and resolved as per the SLAs defined.
10. Manage and monitor server configuration, performance and activity of all servers. Performance optimization and reporting - Process and Memory Management, Monitoring CPU performance, Monitoring Memory performance, Monitoring Input / Output performance, Monitoring Ethernet Traffic, etc.
11. Prepare and keep up to date document containing configurations of all server, IT infrastructure etc.
12. Hardening servers in line with security policies (ISO 27001:2005 information security control).
13. Carry out DC and DRC failure testing and half yearly BCP real drills.
14. Configuration of server parameters, operating systems administration and tuning
15. Operating system administration, including but not limited to management of users, processes, resource contention, preventive maintenance and management of upgrades including migration to higher versions and patches to ensure that the system is properly updated.
16. Periodic health check of the systems, troubleshooting problems, analysing and implementing rectification measures.
17. Perform Database Administration activities for Database. The SI agrees that all databases of the MMTC will be administered as per standards and requirements. The service covers all the databases run on servers / SAN at DC and DRC including but not limited to:
  - a) Start-up and shutdown of databases.

- b) Daily / Weekly / Monthly backup of databases.
- c) Database recovery when required.
- d) Weekly database recovery checks.
- e) Required logs maintenance as per policies of the MMTC.
- f) Disaster recovery as per policies of the MMTC.
- g) Documentation upkeep and records maintenance.
- h) User account management.
- i) Database problem resolution.
- j) Performance tuning.
- k) Replication of Database from DC to DRC.

#### *13.1.1.7 Application Monitoring Services*

---

The services to be provided by the SI for Application Monitoring which includes following but not limited to:

1. Web services
2. Application server
3. Portal Server
4. Database server
5. Middleware
6. Other components

#### *13.1.1.8 Storage Administration and Management Services*

---

The services to be provided by the SI shall include:

1. Installation and configuration of the storage system.
2. Management of storage environment to maintain performance at desired optimum levels.
3. Management of any changes to database schema, disk space, storage, user roles etc.
4. Identify the available performance of interconnects in the storage solution.
5. Identify the zones being enforced in the storage solution.
6. Create/delete and enable/disable zones in the storage solution.
7. Identify the storage volumes in the storage solution.
8. Create/delete/modify storage volumes in the storage solution.
9. Identify the connectivity and access rights to storage volumes in the storage solution.
10. Create/delete and enable/disable connectivity and access rights to storage volumes in the storage solution.
11. To provide off-site storage of production data and MMTC ERP System on appropriate media at regular intervals as required by MMTC.

#### *13.1.1.9 Backup and Restore Services*

---

The services to be provided by SI shall include:

1. Backup of storage as per the defined policies.
2. Monitoring and enhancing the performance of scheduled backups, scheduled regular testing of backups and ensuring adherence to related retention policies as defined by MMTC.
3. Prompt execution of on-demand backups of volumes and files whenever required or in case of upgrades and configuration changes to the system.
4. Real-time monitoring, log maintenance and reporting of backup status on a regular basis.
5. Media management tasks, including, but not limited to, tagging, cross-referencing, storing, logging, testing, and vaulting in fire proof cabinets (onsite and offsite).
6. 365x24x7 support for file and volume restoration requests at the DC and DRC.

#### *13.1.1.10 User Profiles and Account Management*

---

1. Routine functional changes that include user and access management, creating new report formats and configuration of reports.
2. The SI shall provide user support in case of technical difficulties in the software, answering procedural questions, providing recovery and backup information, and any other requirement that may be incidental/ancillary to the complete usage of the application.
3. The SI shall perform user ID and group management services. The user-id naming & protocol shall be designed and implemented for all the user ids. Such naming convention and protocol shall be signed-off with MMTC.
4. The SI shall maintain access controls to protect and limit access to the authorized end users of MMTC.
5. The services shall include administrative support for user registration, creating and maintaining user profiles, granting user access and authorization, providing ongoing user password support, announcing and providing networking services for users and providing administrative support related to ERP System.
6. System administration tasks such as managing the access control system, creating and managing users etc. and maintaining logs and history of access rights of the users.

#### *13.1.1.11 Antivirus Solution Management*

---

1. The SI should ensure overall security of the system including installation and management of antivirus solution for protection of all the servers at DC & DR implemented for the project, application of updates/patches etc. The antivirus patches have to be updated and applied from time to time, after appropriate testing of the patches in the staging area.
2. Guarding the systems against virus, malware, spyware and spam infections using the latest antivirus suites which include anti-malware, anti-spyware and anti-spam solution for each server antivirus version and its upgrades. The antivirus suite and

updates will have to be provided by the SI at regular intervals as and when the new signatures are released by the OEM. The SI for the purpose of support on new upgrades & patches shall have a back to back arrangement with the OEM from whom the antivirus suite is purchased. The copy of the same shall be submitted to MMTC.

3. The SI shall supply antivirus enterprise edition. For DC & DR servers, the SI has to procure antivirus licenses mandatorily. The license certificate has to be procured in the name of MMTC and submitted to MMTC. The antivirus should have the subscription for server download of real-time updates and upgrades from the OEM site during the entire duration of the project.
4. The SI shall have back to back agreement with 24/7 premier support with antivirus OEM, which shall ensure that any critical issues with respect to virus/antivirus are addressed within the 24 hrs.
5. The copy of such agreement shall be provided by SI to MMTC. Such agreement shall be valid throughout the agreement period.
6. The SI should provide solution to virus alerts when they occur (within 24 hrs) or earlier in case of emergency. The SI has to take corrective action in case systems get affected due to virus activity.

#### *13.1.1.12 Maintenance of non-IT Infrastructure at DC and DRC*

---

The cost of maintenance of the non-IT Infrastructure at DC and DRC would be borne by MMTC.

#### *13.1.1.13 Periodic reporting*

---

The SI shall submit the following period reports (but not limited to) to MMTC:

1. Updation of Documentation on successful completion of O&M operations for each quarter
  - a) Regular updation of all policies designed by SI for MMTC
  - b) Updated system design documents, specifications
  - c) Latest source code, application deployment files, configuration files for entire system Software change logs etc.
2. Corrective Action report in response to the any audit findings/ other concerns as identified by MMTC
3. Monthly report on the central helpdesk center operations
4. SLA Monitoring Reports

#### *13.2. Handholding Support Requirements*

---

1. The SI shall provide handholding support for a period of One (1) year post Final Go-Live in addition to the training provided. This may be further extended as per MMTC requirements and it will be as per the rate quoted by SI in the commercial bid.
2. Handholding in this context shall mean the following:



- a) Clarifying any doubts regarding the operations and functionality of the application software
  - b) Assistance in screen navigation, if required
  - c) Assistance in user authentication, if required
  - d) Assistance with authorization levels, if required
  - e) Help users in verbalizing and logging their problems
3. This shall be rendered through physical presence of a handholding support person, 2 persons in corporate office in New Delhi and 1 person in each of the 4 Zonal offices of MMTC at the rate of 5 working days per week at each location for a period of one year. MMTC reserves the rights to increase/reduce the number of handholding support persons.

### 13.3. Centralized helpdesk

1. The SI shall establish and provide central helpdesk facility from MMTC corporate office in New Delhi
2. The SI is expected to setup and operate the IT Helpdesk from phase I go-live till the end of O&M period.
3. The following are the hours of operation of the Helpdesk :

Operating hours	Days of the week
9 am -6:30 pm	<ul style="list-style-type: none"> <li>• Monday-Friday (excluding national public holidays and all second Saturday)</li> <li>• Any other date and time as requested by MMTC</li> </ul>

4. The Helpdesk service will serve as a single point of contact for all Application, hardware and network related incidents and service requests. The Helpdesk shall provide troubleshooting Services including maintenance for overall system stabilization, defect resolution, system maintenance, system administration, availability & performance issues, security administration, database administration, User administration and end-user problem resolution. The operational support will have to be provided, through a suitable Helpdesk system, to ensure that the solution is functioning as intended and that all problems associated with operations are resolved satisfactorily.
5. The Helpdesk service is required in two languages – English and Hindi.
6. The SI in consultation with MMTC is required to provide necessary channels for reporting issues to the help desk. The incident reporting channels could be the following:
  - a) Specific E-Mail account

- b) One/Two landline phone numbers, seating arrangement and electricity will be provided by MMTC free of cost to SI. SI needs to provision for converting these phone numbers into multiple lines as required and also provision for any other hardware / software required for the same.
  - c) Portal – A web based functionality for service desk tool for registering the calls
7. Implement a call logging system in line with the severity levels as per the SLAs.
  8. The SI to provide Help Desk services to track and route requests for service and to assist end users in answering questions and resolving problems related to the software application, hardware & network support, Data Centre, and Disaster Recovery Centre.
  9. Creation of knowledge base on frequently asked questions to assist user in resolving basic issues themselves.
  10. Services in this area include, but are not limited to, the following:
    - a) Logging all the calls, classifying the calls and render first level support
    - b) Assigning the call for appropriate action, within the stipulated time.
    - c) Tracking the call till closure and ensure SLA adherence.
    - d) Generate reports on a daily, weekly and monthly basis. Generate exception reports.
    - e) Provide need-based ad-hoc reports.
    - f) Interact with MMTC and stakeholders
    - g) Ensure adherence to escalation processes.
  11. It is expected that the SI shall bring his service desk tool at no additional cost to MMTC. Vendor will integrate this tool with Enterprise Management system and Network management system for auto ticket generation, call logging from users and tracking till resolution. The service desk tool should track SLAs as mentioned in this RFP. The service desk tool shall be
    - a) Complies with ITIL compliant service delivery.
    - b) Service desk should track & record help desk jobs. (Monitor Helpdesk effectiveness in real-time)
    - c) Should have basic features for call management such as
      - i. Update & close jobs / Tickets.
      - ii. Place jobs / tickets on “Hold”
    - d) Ticket auditing facility should be provided by the “Service Desk tool”. (provides history of the ticket)
    - e) Assign priorities to Jobs / Tickets.
    - f) Specify & track target job completion status based on various factors as, Dates, Priority etc.
    - g) Services desk tool should have capability to categorize jobs as per the structure of a problem ex: Server related problem should assign to hardware team.

- h) Service desk should have “SLA” mapping / monitoring & tracking feature. (When a ticket is raised, target Helpdesk calculates the most relevant service level agreement according to the issue and any asset identified)
- i) Service desk should record time duration spent on each ticket.
- j) Service desk tool should define unlimited no of end-users.
- k) Service desk should have facility to restrict specific functionality to certain operators.
- l) Service desk tool has to have inbuilt “Escalation Matrix” which help for the notification purpose to operators & users about their tickets.
- m) The proposed tool should maintain Asset information.
- n) The proposed tool should have facility to link files (error, log files) to help desk tickets.
- o) The monitoring tools deployed by the SI shall be able to generate automated trouble tickets in an event of faults or threshold violations and escalate the same to predefined set of people across the organization and third party vendor. The ticket needs to be automatically closed as soon as fault is resolved.
- p) A unique Ticket Number should be created and assigned for any fault and using the same unique no., the history of call resolution and current status must be tracked.
- q) Help Desk should be directly and automatically integrated with Network management Software so that automated tickets get generated through the Help Desk whenever Network management Software receives a qualified alert. Similarly when Network Management Software detects that the fault has been restored then the ticket generated in Help Desk earlier should be automatically closed and history of the same ticket should be maintained for viewing.

12. The SI needs to provide the following number of resources as Helpdesk agents

Number of resources	Duration
2 resources	From the date of go-live of phase-I

13. One of the above mentioned resources should be well versed with the deployed network. The same resource shall be responsible for other helpdesk activities also in addition to the network related resolution tasks.
14. The SI will also submit an escalation matrix to MMTC on the procedures for resolution of different types of issues/error/bugs and implement the same.
15. The helpdesk staff deployed by the SI should have the following minimum criteria

Name	Job description	Minimum Skill set
Helpdesk Staff	<ul style="list-style-type: none"> <li>• Providing assistance to callers and assist in</li> </ul>	<ul style="list-style-type: none"> <li>• Graduate in any discipline</li> <li>• At least three (3) years of</li> </ul>

Name	Job description	Minimum Skill set
	trouble shooting	experience in Technical Support (software, hardware, network etc.) , Training & Handholding <ul style="list-style-type: none"><li>• Good knowledge of computer (MS Office, and Networking/LAN/Hardware functions</li><li>• Good communication skills (oral as well as written)</li><li>• Good understanding in the components of MMTC-ERP System deployed</li><li>• Fluent with English and Hindi</li></ul>

**Table 9 Helpdesk Resource Requirements**

## 14. Data Migration Requirements

Data Migration in the context of this RFP refers to validation and migration of data from the legacy system to the new database schema, linking and Meta tagging the documents to the relevant records in the Data Management System (DMS) and conformance to quality control requirements. Data should be migrated from the current application and media to the new application prior to 'go-live' of the application for each project location.

The key data Migration requirements include:

1. Data conversion: Since there would be significant difference between existing database table structures and database table structures of new application, mapping shall be done between existing tables and proposed tables and data be made compatible for migration and migrated into new tables.
2. Perform data cleansing for incorrect/ incomplete data
3. Perform validation of digitized / scanned records
4. Obtain sign off on migrated data

#	Consideration
<b>DM1</b>	Risk Identification and Mitigation: It is extremely important to identify all risks associated with data migration and enumerate mitigation measures. The plan should address the contingency measures to be adopted during the event of a data migration failure. It should also clearly specify measures to be taken to prevent data loss. It may be preferable to consider migration of data to a backup system at the same time as the new system to address data loss due to system failures
<b>DM2</b>	Data Mapping: A comprehensive data mapping exercise must be undertaken before embarking on data migration. A good data map will detail an in-depth cross-referencing of all mutual fields across the source system and the target system. Ideally it should include: <ul style="list-style-type: none"> <li>• Names of applicable to and from fields</li> <li>• Lengths and data types of these fields</li> <li>• Mapping of relationships between entities</li> <li>• Check on the constraints, unique fields and integrity checks</li> <li>• Any logic involved in mapping such as string truncations or validations against any business rules.</li> </ul>
<b>DM3</b>	Skill Set: In order to effectively perform data assessment and cleaning, it is important that the data migration team is sufficiently familiar with existing data structures of the source registers/databases.

**Table 10 Data Migration Considerations**

The rough estimate of the quantum of work (size of records) is estimated to be approximately 400 GB and the current database in use is SQL 2000.

The SI should submit data migration plan in their bid, detailing all the activities to be performed during the data migration. Indicative broad activities to be performed by the SI are as follows

1. An assessment needs to be done to identify the database requirements for the application envisaged for this project. The data requirements in terms of master data and transaction data need to be identified, which is required for the envisaged solution.
2. Data Migration process for storing the existing data and to copy/move the data present in the form of forms, files and existing old systems (few) into the new ERP Solution being deployed. The Data of all the last 3 Fiscal years and data of all HR and Payroll have to be migrated in the new system. In the process, rest of the data consisting the data from ERP and Non ERP systems stored in out-of-date or obsolete formats is to be evaluated, indexed and de-duplicated and will be mapped to the new system. The rest of the Data needs to be migrated as archival records with indexing and Meta tagging done for easy retrieval.
3. Development of merged database structure
4. Porting of all the data into the database
5. Final updating of the single database

#### 14.1. Additional Requirements for Data Migration

---

1. SI shall migrate the data at the implementation sites of MMTC.
2. SI shall formulate the “Data Migration Strategy document” which will also include internal quality assurance mechanism. This will be reviewed and signed-off by MMTC prior to commencement of data migration.
3. SI shall incorporate all comments and suggestions of MMTC in the Data Migration Strategy and process documents before obtaining sign-off from MMTC.
4. SI shall perform mock data migration tests to validate the conversion programs.
5. SI shall ensure complete data cleaning and validation for all data migrated from the legacy systems to the new application.
6. SI shall generate appropriate control reports before and after migration to ensure accuracy and completeness of the data.
7. SI shall convey to MMTC in advance all the mandatory data fields required for functioning of the proposed solution and which are not available in the legacy systems and are required to be obtained by MMTC.
8. SI shall develop data entry programs / applications that may be required for the purpose of data migration in order to capture data available with / obtained by MMTC in non – electronic format.

9. SI shall conduct the acceptance testing and verify the completeness and accuracy of the data migrated from the legacy systems to the proposed solution.
10. SI shall give the template for data migration to MMTC and MMTC shall furnish the required data on the templates provided by the SI. SI shall furnish adequate guidelines to fill the data templates to MMTC.

## 15. Training and Change Management Plan

---

This section focuses on the change management and capacity building approach and plan so as to be able to tackle the issues that might arise due to new processes of the ERP system. Training for ERP will allow multiple stakeholders to participate in the day to day management of the solution and ensure sustainable programs to cover specific ERP programs in order to ensure adoption of the system at each level.

### 15.1. Need for Change Management

---

Introducing radical reforms has to be necessarily accompanied by efforts to energize and orient the mindsets of the people – both within and outside the department. For instance, the MMTC staff should be skilled to operate and work in a significantly newer and different way. A well-calculated and well-designed strategy has to be followed for the people to be trained to work effectively in the new environment. It is necessary to formulate a change management plan with appropriate interventions for capacity building, training and stakeholder communications.

#### **A successful Change Management Program will ensure:**

1. A smooth transition to the new way of working
2. The organization/people support the changes implemented
3. Individuals know how the changes affect them and the role they have to play
4. Stakeholders to understand the benefits of the changes and internalize it
5. The new system and its underlying concepts are understood
6. People are aware of how roles and responsibilities are changing
7. Everyone is motivated and committed to the change program
8. The success and progress of the program is monitored and measured

### 15.2. Key Change Management Implications

---

The implementation of a new ERP system, MMTC will have several change implications emanating from the following changes:

1. Process and procedural (necessary introduction of some new process and systems emanating from the need of changing core functional information flow in a few cases)

2. Technical and technological (introduction of new technologies for enabling the new / unaddressed business requirements)
3. Organizational (transformation of existing organizational structure and redefined roles and responsibilities)

The following change implications can be clearly identified at the outset of the implementation of the new system:

Change Element	Change Implication	Change Issues
Process and Procedural	<ul style="list-style-type: none"> <li>• Standardization of procedures</li> <li>• Redefined processes and new work methods</li> <li>• Elimination of certain activities / functions and addition of new ones</li> <li>• Redefined service levels</li> </ul>	<ul style="list-style-type: none"> <li>• Reorientation of staff to new processes and work methods</li> <li>• Reorientation of staff to any applicable service levels</li> <li>• Loss of control over discretion on procedures by staff</li> <li>• Enhanced process driven systems with clear accountabilities and responsibilities</li> </ul>
Technological	<ul style="list-style-type: none"> <li>• High usage of technology and system enabled processes</li> <li>• Automated controls and validation</li> <li>• Reduction of paper work</li> </ul>	<ul style="list-style-type: none"> <li>• Work systems changed from slightly automated to highly automated work methods</li> <li>• Preparation for use of technology and system enabled processes</li> <li>• Orientation towards a reduced paper processing system</li> </ul>
Organizational / People	<ul style="list-style-type: none"> <li>• Some change in roles and responsibilities</li> <li>• New skill set requirement for employees</li> </ul>	<ul style="list-style-type: none"> <li>• Reluctance to work in tandem with external agencies involved in implementation</li> <li>• New work environment and changed peer relationships</li> </ul>

**Table 11 Change Interventions**



For an effective change management plan, it is necessary to categorize change issues according to the impact they might have on successful implementation of a new system and the urgency at which they need to be addressed.

**These issues in order of their importance have been listed below in the table:**

Change Issue	Impact on Implementation	Issue Resolution Time Frame
Reorientation of staff to new work methods	High	Immediate
Preparation for use of technology and system enabled processes	High	Immediate
Orientation towards a reduced paper processing System	High	Immediate
Loss of control over discretion on procedures by staff	High	Immediate
Reorientation of staff to concept of service levels	High	Medium Term
New work environment and changed peer Relationships	Medium – High	Medium Term

**Table 12 Issues categorization**

### 15.3. Change Management Plan

It will be critical to assess issues that will have the highest impact on the change management plan and manage them through appropriate interventions. Some of the interventions proposed are listed below:

1. Help to make employees realize the benefits of the new system
2. Identification and preparation of change agents (change champions) to deal with change at local level
3. Rationalized and planned work schedule and workload
4. Highlight the learning and growth opportunities in the new system
5. Highlight the easy of working in the new system with better technology and simpler processes

### 15.4. Responsibilities of Change Management Teams

The key responsibilities of Change Management Teams which include both SI and MMTC would be as follows:

1. Assessing and building staff capability to implement change quickly and effectively
2. Preparing key officers and their direct reports to meet the challenges and opportunities they will encounter as they implement new processes
3. Implement and monitor training plans
4. Helping to increase individual skills, and knowledge
5. Developing and implementing change communication plans
6. Facilitation to concerned staff for transition to new roles
7. Work towards minimizing employee resistance to re-engineered processes and new organizational setup

#### 15.5. Key steps for change implementation

---

Intervention at various levels is needed to mitigate employee's resistance to change and facilitate an environment which encourages staff to pro-actively volunteer within the new system.

Some of the strategies to ensure quick-wins would be:

1. The proposed changes highlighting the benefits in the system and creating a buy-in from staff
2. Provide with answers to key questions which users will encounter - "Helping them deal with their stakeholders"
3. Communicate to them the key requirements of the proposed system- "What we want from them" Creating forums for dialogue and exchange of ideas Exposure to other such computerization initiatives in similar set-ups Encourage Two-Way communication and feedback loops
4. Use communication mechanisms for providing MMTC staff with critical information, feedback mechanisms and support during the change of system
5. Assist with the operations of the project objectives as stated within the project charter
6. Ensure least resistance from staff with respect to proposed changes in the systems
7. Uniform and simple functionality / system for staff leading to rationalization of workload and accountability
8. Skill enhancement through training of the staff (functionality and technology)
9. Recognition to efficient staff through a recognition program
10. Low level activities being automated, hence higher growth opportunity for the staff

#### 15.6. Approach to Capacity Building

---

It is important to build capacities of MMTC staff in terms of necessary knowledge and skills to initiate and successfully implement the new system. It is equally important to generate an attitude that is receptive to largely technology based operation of all functions. Merely developing and implementing a new system will not help deliver the quality results envisaged unless staff members are aligned to provide the right results with the right tools.

The nature and scale of implementation planned for the MMTC processes demand a considerable enhancement in the capabilities of the organization to effectively address the objectives.

**Some of the real problems faced at various levels are:**

1. Minimum technology exposure
2. Lack of in-depth understanding of benefits

To address the training needs, the change management team should prepare guidelines that identify the training needs of all stakeholders and provide suggestive training curriculum to address the training needs. Such guidelines will assist local change teams to formulate their own training plans and aid the progress of the implementation of the new system efficiently.

### 15.7. Training Requirements

#### Main Training Modules

#### Indicative Training Plan for the MMTC employees

The following is an indicative training plan for users of various MMTC offices based on the nature of their responsibilities.

Particular	User Matrix
Sensitization Workshop	Higher Management and above - 20 users *
Management Dashboard Training	50 users *
ERP Training for Champions	25 users *
Core Functional User Training	Two(2) user per ERP module per Division or location *
Technical Administration Training	40 *

**Table 13 Training User Matrix**

*\* These numbers are based on current assessment & actual may vary during the project implementation*

#### Training Approach

A training needs assessment of MMTC ERP core team members as well as end users will be conducted by SI as a component of process improvement and change management. Training needs should be continuously refined and frequently reconfirmed with the end user community as the project progresses.

Training would be in the form of hands-on training on the ERP system. The SI will have to identify specific functional trainers to provide classroom based hands on training to the identified users. The SI will also provide detailed online training manuals in each functional area of ERP system. The SI is required to make suitable efforts while designing the training plans so that the functional knowledge transfer to MMTC end users and officials happens in a time bound manner.

Following kinds of training needs to be provided by the SI:-

1. **ERP Sensitization workshop:** Sensitization workshop will be provided to members of higher management of MMTC. The training would provide high level understanding of the ERP system and its functionalities. The session will also highlight the unique requirement of the proposed ERP system.
2. **ERP Management Dashboard Training:** This entails training provided to Senior Management to be able to access and extract reports and other relevant analytical data for quick decision making.
3. **ERP Champions Training:** This entails providing a detailed step by step training to ERP core team members, so as to enable them for future maintenance of the system and addressing of functional queries if any.
4. **ERP Core/Functional User Training:** Functional training would be provided to nominated ERP users. This training would focus on user specific requirements and address the daily working and reporting requirement in the ERP system. A Refresher training of all the functions needs to be provided to update the knowledge of ERP systems. The refresher course needs to be user specific.
5. **Technical Training:** This training will be given to the technical team responsible for carrying out technical activities related to the system like maintenance of database, operating system, backups etc.

The sensitization workshop, Management dashboard, ERP Training for Champions and Core functional user trainings will be conducted at MMTC premises (Corporate office or Regional office as the case may be) where in the Infrastructure such as Desktops and Projector will be provided by MMTC.

The Technical Administration training will be conducted by SI's at its own training centre using its own infrastructure. The bidder is also expected to provide for ONE refresher training for the Technical Team.

The SI will have to provide all training manuals and other tutorials for these trainings. These trainings may be arranged in batches to be effective

## 16. Governance

---

Putting a governance structure around MMTC's future IT implementation plan is essential to ensure that project implementation stays on track and achieves its strategies, objectives and goals. It acts as a mechanism to measure the progress of the implementation. Also, IT systems today are subject to many regulations such as governing data retention, confidential information, financial accountability and recovery from disasters. An IT governance framework is an efficient system to ensure regulatory compliance.

Overall responsibility for the implementation of all modules will remain with the SI. Project progress review and monitoring will be the responsibility of PMU during project implementation phase. MMTC will appoint a Single Point of Contact (SPOC) for IT Administration. Escalation of all issues related to the modules will be through this SPOC, who will also be responsible for reviewing the SLAs being met. For the project implementation phase, supervision and reporting during implementation will be responsibility of PMU.

### 16.1. Key Stakeholders of the project

---

A three-tier IT Governance structure may be constituted considering the wide scope of project at MMTC. This three-tier structure can be divided into the following groups:

1. Project Steering Committee (PSC)
2. Project Operations Committee (POC)
3. Project Management Unit (PMU)

### 16.2. Project Steering Committee

---

MMTC shall have the overall responsibility for policy directives, guidance and coordination for activities related to ERP project. At a strategic level, this responsibility is vested with the Steering Committee (SC). The SC is chaired by Director, MMTC. The SC plays a key role in guiding and advising on the project implementation and the systemic transformation that the project aims at. The SC shall monitor project implementation at all India Level by coordinating with the Project Operations Committee (POC) and the Project Management Unit (PMU).

The SI to get support from the SC on the following guidelines:

1. Guiding the work of Operations Committee
2. Periodic Review of implementation progress
3. Consider recommendations put forward by the Operations Committee
4. Strategic control over the project

### 16.3. Project Operations Committee

---

Project Operations committee under the guidance of SC is responsible for successfully managing the implementation of the project. Operations Committee is headed by General Manager, MMTC.

The SI will be working with the POC on these points: -

1. Overseeing and directly supervising the project implementation
2. Seeking directions and guidance for the project implementation
3. Vetting of all deliverables of the project and recommend the same for acceptance by the steering committee
4. Coordinating with the relevant officers at all levels for effective implementation of the project and helping resolve issues requiring high level interventions
5. Carrying out related tasks as may be reasonably requested by the SC
6. Address concerns / enquiries / complaints referred to the POC by MMTC employees
7. Developing and overseeing procedures for undertaking quality audits of institutions participating in the project
8. Assist in execution of the vision for change management
9. Ensuring effective transfer of knowledge and lessons learnt to the people involved within and across MMTC project locations
10. Monitor the progress of change management implementation and the project as a whole.
11. Clarify expectations from the various change management phases. The expectations will include matters related to scope, time and deliverables
12. Resolve any conflicts and issues that may arise during the implementation of the project.

### 16.4. Project Management Unit (PMU)

---

PMU would consist of personnel's with experience in information technology and quality control. Project Manager of the PMU shall report to the Project Operations Committee. The PMU shall have specialists in the areas pertaining to software application, change management and infrastructure management and shall be responsible for day to day management and coordination, and operational activities.

The PMU will provide information and examples of good practice, and guide and support the various entities involved on all aspects of project implementation. It also includes, wherever required, efforts to build capacity of MMTC. The PMU shall be headed by a Project Manager. The PMU has overall responsibility for the management of the project and is accountable to POC.

The responsibilities of the PMU are:

1. Overseeing and assisting the project implementation
2. Providing directions and guidance to implementation agency for project implementation
3. Coordinating with the relevant officers at all levels
4. Carrying out related tasks as may be reasonably requested by the POC
5. Help in laying down a set of guidelines, following accepted norms/best practices and e-Governance standards, if not present already, for the testing and certification in all aspects of project development and implementation covering software, hardware and networking. This includes the processes relating to the design of systems and sub-systems, coding, testing, business process
6. Ensure that all relevant guidelines are being followed and to avoid large-scale modifications pursuant to testing done after the application is fully developed
7. Establish appropriate processes for notifying the SI of any deviations from the norms, standards or guidelines at the earliest instance after noticing the same to enable them to take corrective action
8. Ensuring full knowledge and systematic application guidance to the implementation agency in the initial stages and the testing and approval of the deliverables at the intermediate stage and finally the monitoring and analysis of reports
9. Monitoring the internal operations of the project utilization

#### 16.5. SI Project Team

The SI should propose a team that would be involved in the entire project life cycle. The minimum expected experience; certifications etc. have been detailed below. The detailed resumes should be provided in the format provided within the section.

The Proposed team structure is as follows:

Sl. No.	Particulars
1	<p>Project Director</p> <p>(Please provide resume. This has to be the same person who will be deployed on the project. The project Director must be PMP certified.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification with more than 20 years total experience including 10 years' experience of IT Program Management and ERP implementation.</p> <p>(b) should have extensive experience and proven expertise in managing Government/PSU projects</p> <p>(c) Should have extensive experience and proven expertise in managing multi</p>

Sl. No.	Particulars
	module contracts of this type and complexity
2	<p>Project Manger</p> <p>(Please provide resume. This has to be the same person who will be deployed on the project. The project manager must be PMP certified.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification with at least 15 years total experience including Minimum 8-10 years of ERP implementation experience.</p> <p>(b) Involved in managing at least 3 successful full life cycle implementation(s) of ERP in large organizations (at least of the size of MMTC).</p> <p>(c) Experience of managing large, cross-functional teams.</p>
3	<p>Solution Architect</p> <p>(Please provide resume. This has to be the same person who will be deployed on the project. Please also provide the number of years of experience with the current firm.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification with at least 15 years total experience including Minimum 8-10 years of ERP implementation experience.</p> <p>(b) Involved in at least 3 successful full life cycle implementation(s) of ERP including at least 1 in Trading /Banking industry.</p> <p>(c) Involved in solution design, business design in similar assignments in the past.</p>
4	<p>Technical Architect</p> <p>(Please provide resume. This has to be the same person who will be deployed on the project. Please also provide the number of years of experience with the current firm.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification with at least 15 years total experience including 8-10 years of ERP implementation (technical) experience</p> <p>(b) Involved in installation of hardware and operating system, database and configuration, system maintenance, installation of ERP system for at least 3</p>



Sl. No.	Particulars
	<p>successful ERP implementations.</p> <p>(c) Involved in fit-gap analysis jointly with functional consultant –identifies gaps and designs the solution to address the gaps.</p>
5	<p>Functional Lead</p> <p>(Please provide 1 resume per module: Trading, Bullion Trading, Retail, Business development &amp; Sales, Human resource, Finance &amp; Accounting, as all resumes will be scored. This has to be the same person who will be deployed on the project. Please also provide the number of years of experience with the current firm SI.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification with at least 10 years total experience including Minimum 6-8 years of ERP implementation experience</p> <p>(b) At least 3 successful Full life cycle implementation(s) of ERP</p> <p>(c) Demonstrated leadership and managerial skills, as well as the ability to establish and maintain relationships with client leadership.</p>
6	<p>Technical Lead</p> <p>(Please provide resumes, both resumes will be scored. This has to be the same person who will be deployed on the project. Please also provide the number of years of experience with the current firm.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification with at least 10 years total experience including 6 -8 years of ERP implementation experience</p> <p>(b) Involved in installation of hardware and operating system configuration, system maintenance, installation of ERP system for at least 3 successful ERP implementations</p> <p>(c) Involved in fit-gap analysis jointly with functional consultant –identifies gaps and designs the solution to address the gaps.</p> <p>(d) Performed data migration activities (data upload script preparation, data upload etc.).</p>
7	Technical Consultant(s)

Sl. No.	Particulars
	<p>(This has to be the same person who will be deployed on the project.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional qualification : B.E/B.Tech / MCA or equivalent</p> <p>(b) ERP Experience: Minimum 3 years with at least two ERP end-to-end project implementation experience.</p> <p>(c) Involved in providing the technical support post go-live.</p>
8	<p>Functional Consultant(s)</p> <p>(Please provide resumes per modules, This has to be the same person who will be deployed on the project. Please ensure that the CVs of the functional consultants are provided module wise.)</p> <p><i>Minimum Requirements:</i></p> <p>(a) For Finance Consultant -Professional qualification : CA or ICWA</p> <p style="padding-left: 40px;">For other Consultant: Professional qualification : Engineers/MBA/MCA</p> <p>(b) Domain Experience: Minimum 3 years(PSU and Trading / Banking )</p> <p>(c) ERP Implementation Experience: Minimum 3 years with at least one ERP end-to-end project implementation experience in PSU/ Trading OR Banking.</p>
9	<p>Support Team Member :</p> <p><i>Minimum Requirements:</i></p> <p>(a) Professional Qualification : B.E/B.Tech /Masters / MCA</p> <p>(b) ERP Support Experience : Minimum 3 years with at least one ERP support services for a period of 1 year</p> <p>(c) Should able to provide complete hands on support to the MMTC team at the location</p>

**Table 14 Proposed Team Structure**

## 17. Documentation Requirements

---

### End-User Documents

Documentation will be supplied and maintained by the SI during the project. The ownership of all documents, supplied by the SI, will rest with MMTC. The electronic copies shall be submitted along with all the paper documents and manuals, required for operating and configuring the system. The documents provided must include at least:

1. User Manual (both online and paper copies) providing detailed instructions on how to use the ERP. In addition, it describes how to access, submit inputs to, and interpret outputs from the application
2. System installation guide including the configuration of the supplied infrastructure.
3. User will have the rights to duplicate the hardcopy and soft copy for the documents created by the SI without any financial and legal implications
4. ERP Applications Training Manual Module wise

**Technical Documents:** The SI shall supply operation and maintenance manuals for all the deliverables. These shall be in such details as to enable MMTC to operate, maintain, adjust and fix the system etc. The manuals etc. for all deliverables shall be in English and in soft and hard copy and equal to the number of the deliverables.

The SI must ensure that the ERP system components being developed are thoroughly documented with comprehensive manuals and adhere to standard methodologies in software development as per ISO and/or CMMi models. The documents including but not limited to are:

1. Product installation and configuration steps;
2. Application access procedures;
3. User screen layout and content;
4. Transaction entry procedures;
5. Batch job setup, processing, and recovery/restart procedures;
6. Error codes with full descriptions and recovery steps;
7. Standard report layout and content;
8. Internal processing controls;
9. Application security;
10. Operating specifications and system flowcharts;
11. Database entity relationships, table formats, and data element descriptions; and Program module descriptions
12. Quality Assurance Plan Documenting the planned and systematic pattern of all actions necessary to assure confidence that the software developed will conform to the MMTC functional and technical requirements.

13. Interface Control Document - Documenting the interface characteristics of one or more systems and documents agreements between interface owners. It contains information on both the physical and data element requirements that are necessary to make the transfer of information between systems feasible.
14. Test Plan Containing information on the software test environment to be used for independent testing, the test cases to be performed, and the overall testing schedule. This includes methodology, schedule, resources, tools, procedures, environment definition, test cases, and software test results.
15. Systems Manual Detailing the data structure, table, forms and report structures.
16. Installation and maintenance manual for the servers and other hardware
17. Operations Manual providing instructions for installing the application, troubleshooting, interpreting message logs, and FAQs (Frequently Asked Questions).
18. Trouble Shooting Guide/ Handbook for Helpdesk which describes the various trouble shooting methods.

---

## 18. Roles and responsibilities

---

### 18.1 Role and Responsibilities of System Integrator (SI)

---

1. Preparation of Detailed Project Plan in line with the overall plan provided in the RFP. The same should be prepared in consultation with MMTC.
2. Procure, install, commission, operate and maintain:
  - a) Requisite hardware & system software at MMTC'S CO, Data Center/Disaster Recovery Centre at Mumbai and other locations as per the requirements mentioned in this RFP
  - b) Meet the defined SLAs for the performance of the system.
3. Implementation of ERP System (including 3rd party) as per the requirements mentioned in this RFP document
4. Ensure that the hardware and other infrastructure deployed at CO, DC, DR and other project locations meets the requirement as mentioned in RFP and is maintained properly to meet the SLAs as defined in RFP.
5. Insurance after the Hardware has been supplied and Commissioned at the DC and DRC will be the responsibility of MMTC. Until then the Insurance of all hardware items for the DC & DRC will be SI's responsibility. Insurance policy should be standard EEI and F&B policy.
6. Keep all system software i.e. OS, antivirus, office applications etc., for Servers, PCs etc. at Data Centre and DRC, up to date by installing regular upgrades / patches.
7. On-going maintenance support, upgrades, patches and enhancements of the solution as per the ATS policy (including 3<sup>rd</sup> party components as applicable).
8. Setting up and operations of centralized help desk as mentioned in this RFP document and provide necessary support for the resolution of bugs, patches & upgrades of the solution.
9. Submit documents & deliverables as defined in the RFP
10. Ensure availability of other infrastructure components for conducting training programs like desktops, projector, spikebuster, training material handouts etc.
11. Ensure training material for trainers to train the other users of MMTC as mentioned in this RFP.
12. Delivering training for MMTC employees
13. Periodic testing of readiness of DRC .
14. Recovery in case of failure of DC/DRC
15. Data Migration as mentioned in this RFP document.
16. During the maintenance phase the responsibility of overall system and version control will continue to be vested with SI only and should not be outsourced.
17. Provide onsite handholding as mentioned in this RFP document
18. Maintaining the SLA requirements as mentioned in this RFP document.

19. Analyzing & managing system performance, network performance, call logs, etc., as well as providing the means of monitoring the SLA metrics.
20. Regular backup of the solution data.
21. Generation of MIS reports as per the requirements of MMTC.
22. Generation of the report for the monitoring of SLAs.
23. Providing Help features on the Application Modules that can be used by stakeholders such as Frequently Asked Questions (FAQ), etc. including various tests and audits as mentioned in this RFP
24. Any Other as mentioned in this RFP document

## 18.2 Role and Responsibilities of MMTC

---

1. Make necessary support and personnel available to facilitate smooth implementation.
2. Facilitate interactions of SI with various stakeholders for understanding & capturing interface/integration requirements.
3. Provide necessary paper documents and data required for system development and legacy data migration
4. Provide support & personnel required for testing the system during implementation, acceptance, rollout and the O&M period.
5. Provide necessary civil infrastructure i.e. conference room etc. to conduct user training programs as mentioned in this RFP
6. Facilitating training programs to create necessary work culture transformation in order to derive optimum benefits from the new system
7. Ensure timely signoffs related to any requirement of authorization towards delivery of normal scheduled services as required from SI as part of this project
8. Provide power requirements, general facility & infrastructure support, environmental support systems, fire safety appliances & control measures in all locations other than those explicitly stated as the SI's responsibility.
9. Provide permission/authorization required carrying out interior work/alterations, electrical & environment appliance related work, networking & communication related work and migration work in MMTC premises - before, during & after project implementation as may be required.
10. Establish necessary processes and procedures and approval for entry of all operating personnel and for working on 24x7 timeframe in all facilities that would demand such presence
11. Undertake site visits during the execution of the project in order to ensure that the implementation is going on as per the requirements in the RFP and that the System Integrator is discharging his responsibilities effectively
12. Monitoring of overall timelines, SLAs and calculation of penalties accordingly.
13. Ensuring the employees and other stakeholders attend the training programs as per the schedule defined by the bidder and agreed upon by MMTC.

14. After successful deployment of solution component(s) at corporate office, DC and DR the commissioning certificate will be given by General Manager (System).
15. After successful deployment of solution component(s) at regional offices, & other locations the commissioning certificate will be given by respective location head.

## Annexures

### Annexure I

#### List of MMTC Office Location

Corporate Office	Zone	Region	Regional Office	Sub Regional Office	Port Offices	Field Offices/stations
<b>Delhi</b>	North	Jaipur	Jaipur Regional Office			Sitapura SEZ Office for DTA Operations
		Delhi	DELHI (JHANDE WALAN)	AGRA KANPUR Ludhiana		
	East	Bhubnes hwar	Bhubnes hwar Regional Office	Paradip BARBIL		MMTC Cell, NINL, Duburi (Subsidiary Office)
		Kolkata	kolkata regional office	Haldia, Jamshedp ur , Ranchi		Manikanchan(SEZ), Salt lake City, Kolkata Field Office CWC Bonhooghly Godown, View Park, Kolkata
	West	Ahmeda bad	Ahmedaba d Regional Office			Assaying & Hallmarking Centre,National Plaza, Ahemdabad
		Goa	Goa Regional Office			
		Mumbai	Mumbai regional office	SEEPZ		
	South	Chennai	Chennai regional office	Kochi		
		Vizag	Regional Office ,	Kakinada		Field office, outer harbour



Corporate Office	Zone	Region	Regional Office	Sub Regional Office	Port Offices	Field Offices/stations
			Vizag			
		Hyderabad	Regional Office			
		Bengaluru	Regional Office	Bellary SRO Mangalore		Ganjendragarh, Karignuru, Hospet, Ranjitpura, Bannihatti, Tornagallu

#### List of MMTC Retail Stores

State	Store Details
Andhra Pradesh	HYDERABAD Regional Office - Hyderabad (Sales Outlet) General Manager, MMTC Limited, 9-1-76 to 77/1/B, Opp DBR Diagnostic Service, Sarojini Devi Road, Secunderabad - 500003, Telangana Tel: (040) 27725424 Fax:27804038, Email: <a href="mailto:mmtchydshowroom@mmtclimited.com">mmtchydshowroom@mmtclimited.com</a>
	VIZAG Regional Office - Vizag (Sales Outlet) General Manager, MMTC Bhavan, Port Area, Vizag - 530 035 Tel: (0891) 2562356, 2562027 Email: <a href="mailto:mmtcvizag@mmtclimited.com">mmtcvizag@mmtclimited.com</a>
Delhi	MMTC Showroom (Lodhi Road) MMTC Limited, Core-1, Scope Complex, 7-Institutional Area, Lodi Road, New Delhi-110 003. Tel.No: 0091-11-24365805, Email: <a href="mailto:jsrana@mmtclimited.com">jsrana@mmtclimited.com</a>
	MMTC Showroom (Jhandewalan) MMTC Limited, Jhandewalan Jewellery Complex, F-8-11 Flatted Factory Complex, Rani jhansi Road, New Delhi-110 055, Tel No: +91-11-23513793, Email: <a href="mailto:rsrawat@mmtclimited.com">rsrawat@mmtclimited.com</a>
	MMTC Showroom (Cross River Mall) MMTC Limited, G-41, Ground Floor, Cross River Mall, CBD Ground, Shadhra, Delhi - 110032 Mob:-9868209835 Email: <a href="mailto:sunilv@mmtclimited.com">sunilv@mmtclimited.com</a>
	M/s Indian Potash Ltd.

State	Store Details
	Potash Bhawan 10 B, Rajendra park, Pusa Road, New Delhi 110060 Tel: (011) 25761540, 25763570 Email: <a href="mailto:nareshkalra@potindia.com">nareshkalra@potindia.com</a> , <a href="mailto:vashisht@potindia.com">vashisht@potindia.com</a>
Goa	Regional Office - Goa (Sales Outlet) MMTC Limited, Colaco Building, Swatantra Path, Vasco-Da-Gama - 403 802 Tel: (0832) 2512411, 251252, 2513450 Fax: 2513283, 2517089 Email: <a href="mailto:head_goa@mmtclimited.com">head_goa@mmtclimited.com</a>
	MMTC Showroom (Curchrem) MMTC Limited, Shop No. G-3, Ashutosh Building, Curchrem, Sanvordem,Goa Tel: (0832) 2650593
Gujarat	AHMEDABAD Regional Office (Showroom), Ahmedabad MMTC Limited, 2,Nagindas Chambers,Usmanpura, Ashram Road, Ahmedabad - 380014 Tel: (079) 40244710 - 40 Fax: 27543739 Mob: 9998803884 Email: <a href="mailto:mmtcahm@mmtclimited.com">mmtcahm@mmtclimited.com</a>
Karnataka	BENGALURU Regional Office - Bangalore (Sales Outlet) MMTC Limited, Shishak Sadan,Ground Floor, KG Road, Bangalore - 560002 Tel: (080) 22215927 Email: <a href="mailto:mmtcbglr@mmtclimited.com">mmtcbglr@mmtclimited.com</a>
	BELLARY Regional Office - Bellary (Sales Outlet) MMTC Limited, Red Cross Road, Main Road, PB No.60, Satyanaryanpet, Bellary-583103 Tel: (08392) 276567/17, 275854 Email: <a href="mailto:head_bellary@mmtclimited.com">head_bellary@mmtclimited.com</a>
	Hospet MMTC Limited, 45, 1st Floor. Station Road, Hospet, Distt. Bellary Tel: (08394) 228646 Mob: 9448262628
Madhya Pradesh	BHOPAL M/s Indian Potash Ltd Chittod Complex, Zone 1, Maharana Pratap Nagar, Bhopal - 462011, Tel: (0755) 2553022 - 24 Email: <a href="mailto:ashokpande@potindia.com">ashokpande@potindia.com</a> , <a href="mailto:sanjay@potindia.com">sanjay@potindia.com</a>
Maharashtra	MUMBAI Regional Office - Mumbai (Sales Outlet) MMTC Limited, C-22, E-Block, Bandra-Kurla Complex, Bandra(E), Mumbai- 400 051 Tel: (022) 26573078, 61214505 Email: <a href="mailto:head_Mumbai@mmtclimited.com">head_Mumbai@mmtclimited.com</a>
Odisha	BHUBANESHWAR

State	Store Details
	<p>Regional Office - Bhubaneswar (Sales Outlet)  MMTC Limited, 7th Floor, Alok Bharti Complex, Shahid Nagar,  Bhubaneswar-751 007  Tel: (0674) 2540636, 2544783  Email: <a href="mailto:mmtcbsr@mmtclimited.com">mmtcbsr@mmtclimited.com</a></p>
	<p>BARBIL  MMTC Limited, P.O.: Barbil, Dist: Keonjhar, Odisha- 758035  Tel: (06727) 275479, 275296    Email: <a href="mailto:mmtcbarbil@mmtclimited.com">mmtcbarbil@mmtclimited.com</a></p>
	<p>PURI  MMTC Showroom  MMTC Limited, Neelachal Complex, Ground Floor,Block-A/1, Grand Road,  Puri  Tel: (06752) 222633 Mob: 8895079720  Email: <a href="mailto:gnpatra@mmtclimited.com">gnpatra@mmtclimited.com</a></p>
	<p>CUTTAK  M/s Cuttack Credit Corp. Society  Link Road,A.D.Market, Cuttack-12  Tel: (0671) 2367254 /55 Mob: 09437074280  Email: <a href="mailto:creditco@rediffmail.com">creditco@rediffmail.com</a></p>
Punjab (excl. UT)	<p>LUDHIANA  Sub Regional Office (Sales Outlet)  MMTC Limited, Amarsingh Place, Sham Nagar, Ludhiana  Mob: 9988685220  Email: <a href="mailto:anilsoni@mmtclimited.com">anilsoni@mmtclimited.com</a></p>
Rajasthan	<p>JAIPUR  Regional Office - Jaipur  MMTC Limited, 2nd Floor, Block C, Gaurav Towers II, Malviya Nagar, JLN  Marg, Jaipur-302017  Tel: (0141) 2744741, 2743602  Email: <a href="mailto:head_jaipur@mmtclimited.com">head_jaipur@mmtclimited.com</a></p>
	<p>MMTC Showroom  NSO-1, 2nd Floor, Nehru Place,Tonk Road  Jaipur.  Ph.No.0141-2744741, 2743602</p>
	<p>M/s Indian Potash Ltd  410 Gaurav Tower - I, Malviya Nagar, Jaipur 302 017  Tel: (0141) 2552509, 2553200 Fax: 2721348  Email: <a href="mailto:ipljai@potindia.com">ipljai@potindia.com</a></p>
	<p>M/s Rajasthan Rajya Sahakari Upbhokta Sangh (CONFED)  1st floor,Navjeevan Sahakari Bazar, Bhavani Singh Road, Jaipur-302005  Tel: (0141) 2224204 Mob: 9460866410</p>
	<p>KOTA  M/s Kota Jilla Wholesale Upbhogta Bhandar Ltd</p>

State	Store Details
	Zila Sahkari Sansthan, Canal Road, Gumanpura, Kota - 6 Tel: (0744) 2324156, 2422715
Tamilnadu	CHENNAI Regional Office - Chennai (Sales Outlet) MMTC Limited, 6, Chennai House, ESSAR House, Esplanade, Chennai - 600108 Tel: (044) 25341599 Fax: 25340317, 25340844 Email: <a href="mailto:sanchichennai@mmtclimited.com">sanchichennai@mmtclimited.com</a>
	M/s Indian Potash Ltd. Ambal Building, 2nd Floor, 727 Anna Salai, Chennai 600 006 Tel: (044) 28297851, 28297854 Fax: 28297865 Email: <a href="mailto:iplroc@potindia.com">iplroc@potindia.com</a>
Kerela	KOCHI Sub Regional Office (Sales Outlet) MMTC Limited, II Floor Jos Trust Building, Chittoor Road, Ernakulam, Kochi - 682035 Tel: (0484) 2372873, 2355184, 2360989 Fax: 2373159 Email: <a href="mailto:mmtckochi@mmtclimited.com">mmtckochi@mmtclimited.com</a>
	M/s Indian Potash Ltd. Kadavill Court, Pullepady Cross Road, Ernakulam, Kochi - 682018 Tel: (0484) 2355060, 2354435, 2380083 Fax: 2361015 Email : <a href="mailto:iplchn@potindia.com">iplchn@potindia.com</a>
West Bengal	KOLKATA Regional Office - Kolkata (Sales Outlet) MMTC Limited, India Exchange Place, Kolkata-700 001 Tel: (033) 22311736, 22421252 / 1261 / 1267, Email: <a href="mailto:mmtckol@mmtclimited.com">mmtckol@mmtclimited.com</a>

For list of Franchise Sanchi showroom, refer MMTC website <http://mmtclimited.gov.in/>

#### Annexure II

---

The functional requirements for various functions/ divisions at MMTC is attached as a separate sheet to this document

#### Annexure III

---

The details of business processes followed by various functions/ divisions at MMTC are attached as a separate sheet to this document.

---

## Annexure IV

---

### Bill of Material and Technical Specifications

---

The specification and BOM provided below is indicative. The bidder should provide the complete BOM in his technical proposal (without price). The same BOM with prices shall be provided in his commercial proposal. The BOM in the technical bid should match the BOM in the commercial bid.

*Please Note: The specifications mentioned in the RFP are indicative only and the Bidder needs to suggest the latest technology infrastructure that meets the requirement of MMTC*

#### **Specifications of each component:**

The indicative general configurations for the server and other are provided below. The specifications are indicative and the Successful Bidder must fine-tune and provide detailed specifications and numbers as per requirements of the system proposed.

The Successful Bidder should also propose the specifications of any additional servers and other hardware, if required for the system.

MMTC proposes to implement the data centre with the high availability and energy efficiency as per the tentative layout as below. The bidder will submit the finalise the DC layout in Technical Proposal.

The positioning of the server racks and Precision Air conditioning units should follow the best design practices. The following aspects should be considered for designing server farm area:-

1. Better air flow distribution for the server racks
2. Ease of accessibility and movement of server racks.
3. Better space utilization.

It has been envisaged that both the Electrical & UPS room to be located adjacent to server room. The vendor should also provide the Electrical/UPS room layout along with the Server room meeting the industry standards.

#### **Features common for all hardware items**

1. All components shall be rated for continuous operation.
2. Availability of spares and support for the system for the complete period of the contract.
3. The Bidder shall provide all other H/W items that are not explicitly mentioned herein but are required to fulfill the intended specifications by the Bidder in the bid.
4. The Specifications parameters are indicative and any item of higher rating will be preferred.
5. All servers (systems) shall be of same make.

6. No item should be offered whose end-of-sale has been declared by the OEM or has been declared to be under phase out.
7. All events and changes applied to the device configurations shall be audited and logged.
8. The proposed devices shall provide support for alerting the solution and also provide support for syslog and SNMP.

Data Centre and Disaster Recovery Bill of Materials

Technical BOM - H/W (Data Centre and Disaster Recovery Center)												
Quantity at DC and DRC	Phase (1/2) in which these will be deployed  (In case of multi-phase deployment, indicate the quantity proposed to be deployed in each phase	Make and Model	Year of Introduction	Operating System along with version (if applicable)	Processor and Number of Cores Offered (if applicable)	Architecture (RISC/EPIC/INTEL) (if applicable)	RAM (if applicable)	HDD (if applicable)	LAN Ports (if applicable)	HBA (if applicable)	Additional Information as required to indicate the compliance to the requirements in the RFP (ex, Capacity, Disk Space, etc.)	Data Sheets Provided in the Proposal (Yes/No)
Insert Items in separate rows as Required												

## Enterprise Management System (EMS)

S No	EMS Features
	Basic Requirement :
1	Solution should provide for future scalability of the whole system without major architectural changes.
2	Should be SNMP compliant.
3	Filtering of events should be possible, with advance sort option based on components, type of message, time etc.
4	Should support Web / Administration Interface.
5	Should provide compatibility to standard RDBMS.
6	Solution should be open, distributed, and scalable and open to third party integration.
7	Should provide fault and performance management for multi-vendor TCP/IP networks.
	<b>Fault Management</b>
1	Should be able to get fault information in real time and present the same in alarm window with description, affected component, time stamp etc.
2	Should be able to get fault information from heterogeneous devices routers, switches, servers etc.
3	Event related to servers should go to a common enterprise event console where a set of automated tasks can be defined based on the policy.
4	Should have ability to correlate events across the entire infrastructure components of DC/DR.
5	Should support automatic event correlation in order to reduce events occurring in DC/DR.
6	Should support advanced filtering to eliminate extraneous data / alarms in Web browser and GUI.
7	Should be configurable to suppress events for key systems/devices that are down for routine maintenance or planned outage.



S No	EMS Features
8	Should be able to monitor on user-defined thresholds for warning/ critical states and escalate events to event console of enterprise management system.
9	Should provide out of the box root cause analysis with multiple root cause algorithms inbuilt for root cause analysis.
10	Should have self-certification capabilities so that it can easily add support for new traps and automatically generate alarms.
11	Should provide sufficient reports pertaining to asset and change management, alarms and availability of critical network resources as well as network response times for critical links.
12	The tool shall integrate network, server and database performance information and alarms in a single console and provide a unified reporting interface for network and system components. The current performance state of the entire network and system infrastructure shall be visible in an integrated console.
13	Should provide an integrated performance view for all the managed systems and networks along with the various threshold violations alarms in them. It should be possible to drill- down into the performance view to execute context specific reports.
14	Should provide the following reports for troubleshooting, diagnosis, analysis and resolution purposes: Trend Reports, At-A-Glance Reports, & capacity prediction reports.
15	Should be able to auto-calculate resource utilization baselines for the entire managed systems and networks and allow user to set corresponding upper and lower threshold limits.
<b>Application Performance Management</b>	
1	End to end Management of applications (J2EE/.NET based)
2	Determination of the root cause of performance issues whether inside the
3	Java / .Net application in connected back-end systems or at the network layer.
4	Automatic discovery and monitoring of the web application environment
5	Ability to monitor applications with a dashboard.
6	Ability to expose performance of individual SQL statements within problem

S No	EMS Features
	transactions.
7	Monitoring of third-party applications without any source code change requirements.
8	Proactive monitoring of all end user transactions; detecting failed transactions; gathering evidence necessary for problem diagnose.
9	Storage of historical data is for problem diagnosis, trend analysis etc.
10	Monitoring of application performance based on transaction type.
11	Ability to identify the potential cause of memory leaks.
	<b>Reporting</b>
1	Should able to generate reports on predefined / customized hours.
2	Should be able to present the reports through web and also generate "pdf" / CSV / reports of the same.
3	Should provide user flexibility to create his /or her custom reports on the basis of time duration, group of elements, custom elements etc.
4	Should provide information regarding interface utilization and error statistics for physical and logical links.
5	Should create historical performance and trend analysis for capacity planning.
6	Should be capable to send the reports through e-mail to pre-defined user with pre-defined interval.
7	Should be able to generate all sorts of SLA Reports.
8	Should be able to generate web-based reports, historical data for the systems and network devices and Near Real Time reports on the local management console.
9	Should have capability to exclude the planned-downtimes or downtime outside SLA.
10	Should be able to generate the reports for Server, Application.
11	Provide Historical Data Analysis: The software should be able to provide a time snapshot of the required information as well as the period analysis of the same in order to help in projecting the demand for bandwidth in the future.

S No	EMS Features
	<b>Application Availability Reports</b>
1	Availability and Uptime – Daily, Weekly, Monthly and Yearly Basis
2	Trend Report
3	Custom report
4	MTBF and MTTR reports
5	SLA Monitoring
6	The SLA Monitoring component of EMS will have to possess the following capabilities:
7	<p>EMS should integrate with the application software component of portal software that measures performance of system against the following SLA parameters:</p> <ul style="list-style-type: none"> <li>• Response times of Portal</li> <li>• Uptime of IT Infrastructure</li> <li>• Meantime for restoration of services etc.</li> </ul>
8	EMS should compile the performance statistics from all the IT systems involved and compute the average of the parameters over a quarter, and compare it with the SLA metrics laid down in the RFP
9	The EMS should compute the credits/debits of the SLA metrics and arrive at the quarterly service charges payable to the Agency after applying the system of penalties and rewards.
10	The SLA monitoring component of the EMS should be under the control of the authority that is nominated the client so as to ensure that it is in a trusted environment.
11	The SLA monitoring component of the EMS should be subject to random third party audit to vouchsafe its accuracy, reliability, and integrity.

## IT infrastructure specifications

---

### Server Systems for ERP Solution

The servers for the ERP solution will meet the following criteria:-

- (a) Production servers will have Clustering / High Availability at the Primary Data Center.
- (b) The proposed system should be deployed on four system landscape (Production, Development, Quality and Training).

- **Database**

For ERP application envisaged in this tender document, SI may use any RDBMS with features as enumerated below:-

- (a) All the APIs for integration with 3rd Party Applications shall be provided.
- (b) The database should support active-active cluster with two or more servers to ensure system availability. The processing load must be shared between the active cluster servers. All data in the database should be available for access as long as one surviving server.
- (c) The database should be provided with features which will prevent the database administrator to delete/ erase the audit trails.
- (d) The database should be provided with features which will allow securing/encrypting the sensitive/ classified data.
- (e) Detailed documentation shall be provided for Database Management specific to the project and the applications deployed.
- (f) GUI based tool shall be provided to manage, test and tune the database

- **Application**

- (a) All application must be configured in an active-active cluster using network load balancers.
- (b) The application servers should provide support for the load balancer to be able to detect a failed application server so that no further traffic is diverted to the failed node(s). All other servers processes should be capable of being deployed in an active active cluster using either software based capabilities or load balancers.

- **Servers for ERP Solution**

- (a) MMTC desires to exploit the benefits of virtualization and consolidation by using minimum two enterprise class servers.
- (b) The servers offered should be capable of meeting the criteria's mentioned above.
- (c) Each server offered should be scalable to upto 16 processor chips or higher. The processor quoted should be the latest available.
- (d) Server quoted should be based on 64 bit RISC or EPIC or Intel architecture.

- (e) Each server should have minimum dual AC input with independent power cords, fully redundant hot swappable power supply units and cooling fans.
  - (f) The partitioning technology will be exploited and high availability will be ensured for each layer (OS, database, application etc.). At database level an active-active cluster will be implemented. The partitioning should ensure vertical scalability for database server and horizontal scalability for application servers with adequate resilience and redundancy built into the system.
  - (g) Servers offered will have minimum 8 GB per core, DDR2, ECC protected memory. However, the total memory will be provided to efficiently meet the performance criteria's mentioned above.
  - (h) SI will calculate the requirement of processors and memory for each workload/ partition and the same will be submitted along with the technical proposal.
  - (i) IO/ Adapters/ Controllers will be dedicated to each partition providing functional redundancy while using only single or dual port adaptors. Each partition should have minimum 4 x 1 Gbps Ethernet and 4 x 4 Gbps FC (SAN) Ports. The ports required for application management, backup, restore etc. will be in addition.
  - (j) Each server should have minimum 2 x DVD ROM and 2 x LTO4 drives with each drive connected to a dedicated adapter available to all the partitions without reboot.
- **Operating System**
    - (a) The Operating System for the above servers should be of same OEM brand as the servers and should have minimum features like full binary compatibility across versions and shall permit activation of additional processors without requiring a reboot. MMTC intention is to have seamless integration all the software and hardware supplied by the SI. It is the responsibility of the bidder to manage the compatibility of the software and hardware
    - (b) Each partition should be an independent kernel of 64 bit UNIX capable of version upgrade and application of patches without reboot. OS should support clustering and mirroring
- **Development, Quality Server & Training Server**
    - (a) The Development, QA & Testing Server will be established only in Primary Data Center and will not be on High Availability.
    - (b) Development and QA at the primary data center will be 30% and 40% respectively of the production system.
    - (c) Development, Quality & Training server set up shall be the exact miniature replication of production environment in 3-tier architecture. All three environment should be with the same configuration so that there will not be any conflict while moving from one environment to the other.

- (d) The development environment, QA environment and the Training environment will be setup so that the users of development, QA, training and production are in separate networks

### **Server Systems for Non-ERP Solution**

- **Enterprise Management**

- (a) Software should be capable of remote node monitoring.
- (b) Software should be capable of remote control of desktops, laptops and other end-user devices.
- (c) Software should be capable of patch management.
- (d) Software should be capable of Security management.
- (e) Inventory reporting and tracking.
- (f) Should have change tracking and change restore mechanisms.
- (g) Antivirus, antispyware protection for remote nodes.
- (h) Ability to enforce network or desktop policies.
- (i) The Enterprise Management System should be capable of managing a heterogeneous mix of Network components, UNIX or Windows servers or clients using a web-based or dedicated GUI,
- (j) Filtering of events should be possible, with advance sort option based on Components, type of message, time or any other displayed parameter.
- (k) Should support Web-based Administration Interface.
- (l) Should provide fault and performance management for multi-vendor TCP/IP networks.
- (m) Should have a reporting feature for all client or server parameters such as performance, licenses, resources.

- **Networking Monitoring and Management**

- (a) Support for all operating systems and network devices.
- (b) Capable of fault detection and manual or automatic remediation.
- (c) Ability to discover & map graphically the routing protocols in use, such as OSPF areas, RIP etc.
- (d) Capacity utilization, system and network inventory and change log reports.

- **Antivirus**

- (a) Capable of scanning for and removing vulnerabilities without perceptible performance degradation.
- (b) Real time alert mechanisms.
- (c) Capable of suggesting fixes with pointers to links to download fixes.
- (d) Should be capable of providing multiple layer of defense.
- (e) Should be capable of detecting and cleaning virus infected attachments as well.
- (f) Should support scanning for ZIP, RAR compressed files, and TAR archive files.

- (g) Should support upgrade, while not being connected to internet, where by most product upgrades and patches can be performed without bringing messaging server off -line.
  - (h) Should use multiple scan engines during the scanning process.
  - (i) Should support in-memory scanning as to minimum disk I/O.
  - (j) Should support Multi-threaded scanning.
  - (k) Should support scanning of a single mailbox or a one off scan.
  - (l) Should support scanning by file type for attachments.
  - (m) Should support scanning of nested compressed files.
  - (n) Should be capable of specifying the logic with which scan engines are applied; such as the most recently updated scan engine should scan all emails etc .
  - (o) Should support heuristic scanning to allow rule -based detection of unknown viruses.
  - (p) Updates to the scan engines should be automated and should not require manual intervention.
  - (q) Common solution for anti-spy ware and anti-virus infections; and antivirus and anti-spy ware solution should have a common web based management console.
    - Should support various types of reporting formats such as CSV,HTML and text files.
    - Should be capable of being managed by a central management station.
    - Should support client lockdown feature for preventing desktop users from changing real-time settings.
    - Should support insertion of disclaimers to message bodies.
    - Should support protection for servers across multiple platforms / Internet / Intranet / SMTP / HTTP/FTP gateways
- **Syslog Server**
    - (a) Server can receive log, display and forward Syslog messages from all syslog enabled devices.
    - (b) It can monitor and filter received Syslog messages and send out alert message by Email, SMS, Sound, SNMP and Syslog real time.
    - (c) Ability to collect and sort logs from
      - Unix and Windows servers
      - Network devices
      - Security devices
    - (d) The Software shall be able to display and print of detailed alarm logs with location, time and date of occurrence, duration of the faults, correction actions taken and event history information.
    - (e) The Software should help to prioritize responses to alerts, manage escalation procedures and automate response policies.
    - (f) The Software should show operators in the NOC precisely which network users, customers or processes are affected by a fault.

- (g) The Software should be able to notify the responsible technician via email, paging and SMS. If required it should further escalate the event up the chain of responsibility based upon definable rules through a Graphical User Interface.
- (h) The Software should enable operators to define policies for handling incoming events through a Graphical User Interface and a Command line interface (CLI).
- **AD/ DNS**
  - (a) AD/ DNS server will be planned for the Data Center and the DR Data Center.
- **Non ERP Servers**

The Non ERP servers for the ERP solution will meet the following criteria:-

  - (a) Servers offered shall be with the latest generation and highest clock speed processors at the time of supply. (MMTC will accept faster than those quoted against the tender however the quantity of the cores shall remain the same as that of quoted cores. Before placement of order and before acceptance of hardware MMTC reserves the right to verify availability of latest Model/Generation of Processor and fastest clock speed available from the short listed SI).
  - (b) The Non- ERP servers will not be on High Availability.
  - (c) Server quoted should be based on RISC or EPIC or Intel architecture.
  - (d) Server should have minimum two CPU. SI will provide adequate cores to achieve desired uptime/ application response time. SI will provide maximum available cache at the time of supply of Hardware.
  - (e) Each server should have minimum dual AC input with independent power cords, fully redundant hot swappable power supply units and cooling fans.
  - (f) Server should have DVD ROM, DAT drive, minimum 2 x Gigabit Ethernet port.
  - (g) Where-ever required, the Host Bus Adapters with 4 minimum Gbps fibre channel should be configured in load balancing mode with Seamless failover capability.
- **Storage And Backup Solution**
  - (a) Primary Data Centre will be of prime importance where all the production information is generated and maintained. The backup and archival is proposed to be implemented at the Primary Data Center and DR site. All the servers will have redundant data path to storage through multi-pathing software, redundant HBAs, redundant SAN switches and redundant storage array. If any device in one path fails the data packets will be automatically re-routed through the other available path. All the devices in the data path will be aware of this behavior.
  - (b) The storage array, SAN switches and multi-protocol routers will be configured with the management software. AT Primary DC and at DRC, the solution requires multiple copies of the production volumes to be made within the storage array. For this functionality storage array will be configured with Business Continuance Volume/ equivalent software.



- (c) The replication used in this solution is storage based - storage to storage replication between Primary DC to DR Site. From the storage array the data moves through SAN and multi-protocol router to WAN links. The replication mechanism will be achieved through a storage array Replication software.
- (d) DR Site Data centers, will implement Zero data loss solution. Only the storage arrays, SAN and operational servers need to be proposed for DR.
- The RPO is also 4 hours.
  - The time taken for restoration of the system is addressed in the SLA.
  - The recommended duration for the back-up of the data at the passive site (DR site) is 20 minutes. However, the bidder shall make all arrangements to implement a solution at DR site that ensure that there will be Zero Data loss through appropriate backup plan.
- (e) DR site is an important Data centre where all the production information is generated and maintained by way of replication from the primary data centre. If there is a disaster at the primary data centre then the DR site will become operational.
- (f) The infrastructure at the Primary Data Center will require different types of storage accessories. The requirement of major components and accessories has been identified by CICP and is detailed in the following clauses. In case the SI feels that any additional components are required to make the proposed solution complete, the same should be proposed by SI. In order to ensure better manageability the server systems and the storage solution should preferably be from the same OEM

The following is an indicative list of Storage Components and Software that should be provided as part of this tender:-

**Primary Data Center**

- (a) SAN Storage
- (b) Tape Library
- (c) Backup Software
- (d) SAN Switches
- (e) Routers
- (f) Centralized Management Software

**DR Site**

- (a) Enterprise SAN Storage
- (b) Enterprise Tape Library
- (c) Backup Software
- (d) SAN Switches
- (e) Router

- **SAN Storage (For Primary DC and DR Site)**

- (a) Must be Enterprise class storage solution.
- (b) Must have Virtualization engine embedded within storage controller or virtualization appliance for high performance storage virtualization processing. SI will provide all hardware and software required to virtualize storage. Virtualization environment to be provided at Server farms
- (c) Storage must be able to incorporate 10,000 RPM, 15,000 RPM FC and 7200
- (d) RPM SATA/SATA2 disks.
- (e) Must be supplied with 48 numbers (or higher in case the solution requires) of 4 Gbps Front End ports.
- (f) Storage must be supplied with minimum 8 Backend ports / loops.
- (g) Storage must be supplied with 100 numbers of 146GB, 15K RPM FC disk drive to be deployed in Raid 1+0 configuration for Production Applications.
- (h) Must be supplied with 16 numbers of 1TB, disk drives to be deployed in Raid 5 configuration for Backup BCV copy. Appropriate license quantities of BCV / PIT software licenses should be provided.
- (i) Must with supplied with 5% hot spares disk drives.
- (j) SI must supply, in case required, higher number of disk drives than the above stated capacities to meet the above stated ERP solution performance criteria.
- (k) Must be able to support intermix of disk capacity.
- (l) Must be able to support both RAID-10, RAID-5 and RAID6 technology.
- (m) Must be able to support multiple protocol con-currently to hosts.
- (n) Hot spares disk modules should be a standard feature
- (o) Must implement a disk sparring design that avoids the conventional overheads of double data movement.
- (p) In case of hard disk failure anywhere within the storage system, the system shall be able to do dynamic reallocation to spare disk automatically.
- (q) Must have the ability to support minimum of two operating environments or logical storage partitions to support different workloads and each should have isolation in terms of cache usage, front end and backend adapters and the subsystem firmware.
- (r) (Storage system must be able to support non-disruptive subsystem firmware upgrades.
- (s) Storage system must be able to support non-disruptive disk drive and cache upgrades.
- (t) The Storage system should support online replacement of failed or faulty disks without interruption or rebooting of the server.
- (u) The storage should support host based load-balancing and fail-over software for alternate & redundant data paths from server to SAN. The SI must supply the required multi-pathing software for the complete solution.
- (v) The Storage system should support open standards-based, to avoid interoperability issues.

- (w) Storage system shall support Load-balancing and fail-over software for alternate & redundant data paths from server to SAN. This software should work much beyond the host HBA level and load balance the complete path right through the HBA, SAN switches and to the storage backend.
- **Management**
    - (a) The Storage system should be configured via GUI-based Storage Management Software Tools with single command console used for the entire storage system.
    - (b) Storage system must be able to provide detailed monitoring and collection of storage system usage and performance statistics, so as to identify and resolve bottlenecks of activity.
    - (c) Storage system must be able to optimize the data storage and retrieval by analyzing the system resource and automatically tunes the storage system to resolve bottlenecks of activity and optimize volume allocation.
    - (d) Storage systems should be able to identify the hot spots inside the storage.
  - **Reliability, Availability and Serviceability**
    - (a) Cache memory must be mirrored for data protection and against cache component failures.
    - (b) Storage system must be fully redundant and hot-swap that include controllers, cache boards, power supplies, batteries, disks and without data loss.
    - (c) Must have the ability to support both synchronous and asynchronous data replication with full data integrity
    - (d) Should be able to integrate additional hosts to use storage subsystem without any additional costs.
    - (e) The storage system shall support Pro-active maintenance – selfmonitoring, self-diagnosing and wherever possible, self-repairing features. SI shall clearly explain the predictive failure analysis techniques adopted in the storage subsystem design with special reference to how it apply to different elements in the storage subsystem.
    - (f) The Storage system shall support recovery from unscheduled power failure/interruption without any data loss.
    - (g) The storage system shall support automatic detection of errors, error logging and notification.
    - (h) The disk subsystem should incorporate sufficient fault prevention techniques. An impending failure of drives should be suitably detected and analyzed so that corrective actions can be taken. The SI shall describe such mechanisms incorporated in the quoted system.
  - **Backup Software**
    - (a) The solution shall include backup application software for all the applications and platforms included.

- (b) Proposed backup application software Shall be capable of automating the backup process for all the applications / database in the Data center & Disaster Recovery site.
- (c) Backup software with necessary agents for SAN based backup, Database and applications should also be proposed.
- (d) A management console to view reports, check job history, and monitor status from remote workstations, as well as from the server that the backup software is installed on.
- (e) The ability to support parallel or tape-streaming operations so that full backups can be spanned across multiple devices.
- (f) Backup software shall allow you to schedule regular backup operations.
- (g) Backup software shall support Virus-scanning features and encryption features while backing up data.
- (h) Backup software shall have the ability to format, retention, clean, erase tapes and restore data at an alternate location.
- (i) Proposed backup application software shall support Enterprise backup management features such as remote management, tape labeling etc.
- (j) The software should be configured with necessary online agent for taking backup of all servers. The proposed Backup Solution should optionally allow the creation of additional backup copies, run either concurrently with primary backup or after completion of primary backup.

- **SAN Switch**

The SI will provide two SAN Switches each for the Primary Data Center and the DR Site

- (a) The SAN Switches will be Rack mountable.
- (b) SI will provide adequate populated ports to cater for the redundancy in connectivity from each server, storage, linking of SAN switches with Primary DC switches using the two OFC and any other equipment. SI will also cater for adequate reserve populated ports in each SAN switch.
- (c) Switch should have non-blocking architecture with minimum 64 ports in a single domain concurrently active at 8 Gbit/sec full duplex with no oversubscription. Switch should protect existing device investments with autosensing 1, 2, 4, and 8 Gbps capabilities.
- (d) Shall be able to provide advanced policy based security.
- (e) All the ports should operate at min 4Gbps in a non-blocking backplane, and auto-negotiate to 4Gb/2Gb FC speeds. Should support 8Gbps ports.
- (f) Setting of the port speed to 4Gbps or 8Gbps from the lower speed should not impact or disable the other ports in the same port blade or port group.
- (g) All the components should be hot swappable field replaceable units allowing non-disruptive maintenance.
- (h) There should no single point of failure in the switch. The SAN switch should provide Enterprise-class availability features such as Dual-redundant control

processors, redundant hot-swappable power and cooling subsystems. Power supply and fan assembly should have different FRU.

- (i) Switch should support Virtual Fabrics feature that enables partitioning of a physical SAN into logical fabrics and isolation by application, business group, customer, or traffic type.
- (j) Switch should provide advanced zoning capabilities and allow health and performance monitoring capabilities. Support for web based management and should also support CLI.
- (k) The switch should have proactive fault detection and alerting capability to avoid any hot-spots in the fabric.
- (l) It shall be possible to configure the switches with alerts based on threshold values for temperature, fan status, Power supply status, port status.

- **Router**

The SI will provide two Router each for the Primary Data Center and the DR Site

- (a) Shall have non blocking switching fabric and wired rate throughput on all interfaces.
- (b) Switch shall have minimum 2 FC ports and 2 GE ports. Only two (redundant) Routers will be used at DR Site to link to Primary DC .
- (c) The switch must support FCIP protocol.
- (d) It shall be possible to trunk at least 4 ports/ links together.
- (e) The Switch must support the non-disruptive E-port fabric connection to fiber channel switches.
- (f) The Switch must support the following fiber channel port types:-
  - F-Port
  - FL-Port
  - EX-Port
  - E- Port
- (g) The FCIP Switch shall have the capability to replicate the data using any of the following replication software like EMC SRDF, HDS True copy, PPRC, HP Continuous access, etc.

***End of Volume I***

# Request for Proposal for implementation of Enterprise Resource Planning System at MMTC Limited

Tender Reference No: MMTC/CO/COMP/ERP/RFP/2015-16/1 dated  
29.10.2015

Volume II General Instructions, Commercial and Bidding Terms



(Core-1, SCOPE Complex, 7, Institutional Area, Lodi Road)  
New Delhi – 110 003 (India)

---

## Disclaimer

---

This Request for Proposal (**RFP**) for Selection of ERP product and its implementation partner is issued by MMTC Limited (referred in the document as MMTC) which is under the administrative control of Ministry of Commerce, Government of India.

Whilst the information in this RFP has been prepared in good faith, it is not and does not purport to be comprehensive or to have been independently verified. Neither MMTC, nor its employees, nor any of their advisers nor consultants accept any liability or responsibility for the accuracy, reasonableness or completeness of the information contained in the RFP, or for any errors, omissions or misstatements, negligence or otherwise, relating to the proposed ERP Project, or makes any representation or warranty, express or implied, with respect to the information contained in this RFP or on which this RFP is based or with respect to any written or oral information made or to be made available to any of the recipients or their professional advisers and, so far as permitted by law and except in the case of fraudulent misrepresentation by the party concerned, and liability therefore is hereby expressly disclaimed.

The information contained in this RFP is selective and is subject to updating, expansion, revision and amendment at the sole discretion of MMTC. It does not, and does not purport to, contain all the information that a recipient may require for the purposes for making a decision for participation in this process. Each Party must conduct its own analysis of the information contained in this RFP, to correct any inaccuracies therein and is advised to carry out its own investigation into the proposed ERP Project, the regulatory regime which applies thereto and by and all matters pertinent to this Project and to seek its own professional advice on the legal, financial and regulatory consequences of entering into any agreement or arrangement relating to this Project. MMTC shall not be responsible for any direct or indirect loss or damage arising out of or for use of any content of the RFP in any manner whatsoever.

This RFP includes certain statements, projections, targets and forecasts with respect to the Project. Such statements, projections, targets and forecasts reflect various assumptions made by the management, officers, employees, consultants, and experts of MMTC, which (the assumptions and the base information on which they are made) may or may not prove to be correct. No representation or warranty is given as to the reasonableness of forecasts or the assumptions on which they may be based and nothing in this RFP is, or should be relied on as, a promise, representation or warranty.

MMTC shall be the sole and final authority with respect to qualifying a bidder through this RFP. The decision of MMTC in selecting the System Integrator (SI) who qualifies through this RFP shall be final and MMTC reserves the right to reject any or all the bids without assigning any reason thereof.

MMTC may terminate the RFP process at any time without assigning any reason and upon such termination, MMTC shall not be responsible for any direct or indirect loss or damage arising out of such a termination.



## Table of Contents

1.	RFP Structure .....	9
2.	Introduction .....	10
3.	Bidding Process Details .....	10
3.1.	General Instructions to Bidders .....	10
3.1.1.	Availability of the RFP Documents .....	10
3.1.2.	Pre-Bid Conference.....	10
3.1.3.	Bidder clarifications and MMTC's Responses.....	11
3.1.4.	Amendments to RFP .....	11
3.1.5.	Proposal Preparation Costs .....	12
3.1.6.	MMTC's Right to terminate the Process .....	12
3.1.7.	Bid Security or Earnest Money Deposit (EMD) .....	12
3.1.8.	Authentication of Bids .....	13
3.1.9.	Interlineations in Bids .....	14
3.1.10.	Venue & Deadline for submission of proposals.....	14
3.1.11.	Late Bids.....	14
3.2.	Bid Submission Instructions .....	14
3.2.1.	Mode of Submission .....	14
3.2.2.	Authenticity of the information and right of verification .....	18
3.2.3.	Language of Proposals .....	18
3.2.4.	Conditions under which this RFP is issued .....	18
3.2.5.	Rights to the Content of the Proposal .....	19
3.2.6.	Modification and Withdrawal of Proposals .....	19
3.2.7.	Acknowledgement of Understanding of Terms.....	19
3.2.8.	Entire Documents.....	19
3.2.9.	Non-Responsive Proposals .....	20
3.2.10.	Disqualification .....	21
3.2.11.	Government Restrictions .....	23
3.2.12.	Insurance to be taken out by the Bidder.....	23
3.3.	Bid Opening and Evaluation Process .....	23
3.3.1.	Bid opening sessions .....	23
3.3.2.	Overall Evaluation Process .....	24
4.	Pre-qualification Proposal.....	26
4.1.	Pre-qualification Process.....	26
4.2.	Pre-Qualification Criteria .....	26
4.3.	Pre-Qualification Proposal .....	30
4.3.1.	Part I – Details of the bidder Organization.....	30
4.3.2.	Part II – Relevant ERP Project Implementation Experience of Bidder organisation .....	31
4.3.3.	Part III – Relevant ERP Product Information .....	31
4.3.4.	Part IV – Relevant ERP Product OEM Information .....	31
5.	Technical Proposal .....	33
5.1.	Technical Proposal Guidelines .....	33
5.2.	Technical Proposal Evaluation Process .....	39
5.3.	Technical Evaluation Criteria.....	41
6.	Commercial Proposal .....	49
6.1.	Commercial Proposal Guidelines .....	49
6.2.	Opening of commercial bids .....	51

6.3.	Evaluation of Commercial bids .....	52
6.4.	Commercial proposal forms.....	52
7.	Overall Evaluation Methodology and Award Criteria .....	53
7.1.	Failure to agree with the Terms and Conditions of the RFP .....	53
8.	Payment Terms and Schedule.....	54
8.1.	Advance Payment .....	54
8.2.	Performance Bank Guarantee.....	54
8.3.	Liquidated Damages.....	54
8.4.	Payment Schedules and Milestones .....	55
8.4.1.	Milestones and Payment Schedules for Implementation Phase .....	55
8.4.2.	Milestones and payment Schedules for Operations and Maintenance Phase .....	56
	Annexures.....	57
	Annexure - I Bid Formats.....	57
	Form A.1: Request for Clarifications /pre-bid queries .....	57
	Form A.2: Proposal covering letter .....	58
	Form A.3: Bid Security Format .....	61
	Annexure - II Formats for Prequalification Proposal .....	63
	Form B.1: The legal entity .....	63
	Form B.2: Declaration on not being blacklisted .....	64
	Form B.3: Financial Information.....	65
	Form B.4 – Implementation Experience.....	66
	Form B.5 – ERP Consultants Information .....	67
	Form B.6 – OEM Authorization to bid .....	68
	Form B.7: Quality Assessment Details (CMMi Level) .....	70
	Form B.8: Quality Assessment Details (ISO 20000).....	71
	Form B.9: Solution Characteristics .....	72
	Form B.10: Worldwide user base of ERP .....	74
	Form B.11: COTS experience in Government/PSU.....	75
	Form B.12: Partner Ecosystem .....	76
	Form B.13: The legal entity of OEM .....	77
	Form B.14: Financial information of OEM.....	78
	Form B.15: Training Facility .....	78
	Form B.16: Patent Rights/copyrights confirmation.....	80
	Form B.17: Support Commitment from ERP OEM .....	82
	Form B.18: Solution commitment from ERP OEM .....	83
	Form B.19: Undertaking on hardware sizing certification by ERP OEM.....	84
	Form B.20: Commitment for Field Trial/PoC demonstration of ERP Solution .....	85
	Form B.21: Non-malicious code certificate .....	86

Form B.22: Undertaking on Personnel .....	87
Form B.23: Commitment on latest software delivery .....	89
Form B.24: Undertaking on no Government restrictions from ERP OEM .....	90
Form B.25: Integrity pact.....	91
Form B.26: Commitment on latest Hardware delivery .....	97
Annexure - III - Technical evaluation scoring matrix & response forms .....	98
Form C.1: Technical Proposal Covering letter .....	98
Form C.2: Profile of Team.....	100
Form C.3: Project Plan .....	102
Form C.4: Resource loading.....	103
Form C.5- Solution fitment .....	104
Form C.6: The ERP solution bill of material .....	105
Form C.7 – Hardware bill of material based on hardware sizing document duly certified by ERP OEM .....	106
Form C.8: The Bill of Services for Operations and Maintenance .....	107
Form C.9: Team profile of O&M resources proposed for the engagement (Pl add a separate sheet for each person).....	108
Form C.10: Suggestions in the draft contract.....	109
Annexure - IV - Commercial proposal forms .....	110
Form D.1: Commercial proposal Covering letter.....	110
Form D.2: Pricing Summary.....	112
Form D.3: ERP product user licenses.....	114
Form D.4: Audit and Quality Assurance Services from OEMs .....	116
Form D.5: Implementation, Integration, Customization and Testing .....	117
Form D.6: Software and Hardware Cost .....	118
Form D.7: Data Conversion and Migration Cost.....	119
Form D.8: Training and Change Management .....	120
Form D.9: Service for Stabilization .....	122
Form D.10: Other Components .....	123
Form D.11: Operations and Maintenance Cost.....	124
Form D.12: Blended Person Month Cost.....	126
Form D.13: Cost of operations and maintenance services for extendable to 3 (three) further terms of 2 (two) years each .....	127
Form E.1: Performance Bank Guarantee.....	129
Annexure – V- E-tendering guidelines.....	131
Annexure –VI- All Mandatory Undertakings .....	132

## Tender Notification Table

Tender Inviting Authority	
MMTC Limited	
<b>Name of the Project Work</b>	Implementation of ERP System at MMTC
<b>Tender Reference No</b>	MMTC/CO/COMP/ERP/RFP/2015-16/1 dated 29.10.2015
<b>Place of availability of Tender Documents (RFPs)</b>	<p>Website of MMTC Limited: :  <a href="http://mmtclimited.gov.in/tenders">http://mmtclimited.gov.in/tenders</a></p> <p>Website of Central Procurement Portal :  <a href="http://eprocure.gov.in/cppp/">http://eprocure.gov.in/cppp/</a></p> <p>MMTC e tendering portal  <a href="https://mmtc.eproc.in">https://mmtc.eproc.in</a></p> <p>Tender document is also available in physical form at :            MMTC LIMITED            Corporate Office            Core -1, "SCOPE COMPLEX"            7 Institutional Area, Lodhi Road,            New Delhi - 110003 INDIA</p>
<b>Types of Bid submission</b>	<ol style="list-style-type: none"> <li>1. Bid Submission via e Tendering</li> <li>2. Physical documents</li> </ol>
<b>Details of Bid Submission</b>	<p>E tender documents to be submitted :-</p> <ol style="list-style-type: none"> <li>1. Cover Letter</li> <li>2. Commercial Bid ( Includes Cover letter and Price bid format)</li> </ol> <p>Physical documents to be submitted:-</p> <ol style="list-style-type: none"> <li>1. Tender Fee</li> <li>2. Bid Security</li> <li>3. Pre-qualification Bid</li> <li>4. Technical Bid</li> </ol> <p>Note: Soft copies in non-rewritable CD's to be provided along with physical copies</p>
<b>Place of online submission in response to Tender</b>	<p>MMTC e tendering portal  <a href="https://mmtc.eproc.in">https://mmtc.eproc.in</a></p>
<b>Place of submission of response to Tender in physical document form</b>	<p>MMTC LIMITED            Corporate Office            Core -1, "SCOPE COMPLEX"</p>

	7 Institutional Area, Lodhi Road, New Delhi - 110003 INDIA
<b>List of Tender documents (RFPs)</b>	Volume –I : Functional, Technical and operational requirements with annexures Volume – II: General Instructions, Commercial and Bidding Terms Volume – III: Master Service Agreement and Service Level Agreement
<b>Cost of Tender Documents</b>	Rupees Thirty Thousand only ( 30,000/-) To be paid by submitting a non-refundable Demand Draft /Bankers Cheque from any nationalised/scheduled bank drawn in favour of “ <b>MMTC Limited</b> ”, payable at New Delhi.
<b>Last date for purchase of RFP document</b>	One day before bid submission date
<b>Earnest Money Deposit (EMD)</b>	Rs 10,000,000 /- (Rs One Crore Only) To be paid by submitting a Bank guarantee from any nationalised/scheduled bank drawn in favour of MMTC Limited, payable at New Delhi.
<b>Address to send Pre bid queries</b>	General Manager ( Systems) MMTC LIMITED Corporate Office Core -1, "SCOPE COMPLEX" 7 Institutional Area, Lodhi Road, New Delhi - 110003 INDIA Email: <a href="mailto:erptender@mmtclimited.com">erptender@mmtclimited.com</a>
<b>Nature of bid process</b>	Three Stage bidding
<b>Release of Request for Proposal</b>	29.10.2015
<b>Last Date for Submission of written questions by bidders</b>	16.11.2015 (Only questions received in writing or email by Last Date for submission of questions by Bidders would be discussed during the pre-bid meeting )
<b>Date of Pre- bid conference</b>	23.11.2015 at 15:00 hrs
<b>Place for Prebid meeting</b>	MMTC LIMITED Corporate Office Core -1, "SCOPE COMPLEX" 7 Institutional Area, Lodhi Road,

	New Delhi - 110003 INDIA
<b>Last date and time for submission of bids</b>	23.12.2015 at 15:00 hrs
<b>Opening of Prequalification bids</b>	To be informed later
<b>Opening of Technical bid</b>	To be informed later
<b>Start PoC demonstration</b>	To be informed later
<b>Opening of Commercial bids</b>	To be informed later
<b>Address for communication</b>	General Manager (Systems) MMTC LIMITED Corporate Office Core -1, "SCOPE COMPLEX" 7 Institutional Area, Lodhi Road, New Delhi - 110003 INDIA Email: <a href="mailto:erptender@mmtclimited.com">erptender@mmtclimited.com</a>

## 1. RFP Structure

---

This document constitutes the Request for Proposal (RFP) for selection of ERP product and System Integrator (referred in the document as SI) by MMTC Limited (referred in the document as MMTC). This RFP has been prepared to invite bidders to submit their proposals to implement and maintain the ERP System for MMTC.

Information used for the preparation of this RFP has been made available from relevant and published sources of MMTC. Nonetheless, bidders are required to make informed evaluation and decision based on their judgment.

This RFP document contains the entire information that constitutes the requirement as proposed by MMTC in order for qualified bidders to submit their proposals. Any queries or clarifications must be submitted in the prescribed format and will be addressed to all bidders simultaneously.

This RFP comprises the following documents:

### **Volume I: Functional, Technical and Operational Requirements**

Volume I of RFP brings out all the details of solution requirements of the ERP System. This volume also gives the details of the other requirements (functional, operational and technical) of the ERP system.

### **Volume II: General Instructions, Commercial and Bidding Terms**

Volume II of RFP brings out details of the bidding process, bidding terms and conditions and all that may be needed by the bidders to understand the bidding process.

### **Volume III: Master Service Agreement and Service Level Agreement**

Volume III of RFP explains the contractual terms that will govern the project implementation and operation. This includes the draft Master Service Agreement and Service Level Agreement that MMTC intends to sign with the successful bidder or the selected SI.

**This Document is Volume II.**

---

## 2. Introduction

---

MMTC Limited (MMTC) was established in 1963 and is one of the two highest foreign exchange earners for India and also a leading international trading company with a turnover of over Rs. 25,270 Crores for financial year 2013-14. It is the largest international trading company of India and the first Public Sector Enterprise to be accorded the status of "FIVE STAR EXPORT HOUSE" by Government of India for long standing contribution to exports.

MMTC is the largest non-oil importer in India. MMTC's diverse trade activities encompass Third Country Trade, Joint Ventures, Link Deals - all modern day tools of International trading. Its vast international trade network, which includes a wholly owned international subsidiary in Singapore, spans almost in all countries in Asia, Europe, Africa, Oceania and Americas, giving MMTC global market coverage.

*Note: For details about MMTC and business functions, refer to Volume I of the RFP Document.*

---

## 3. Bidding Process Details

---

Potential Bidders are referred to as "Bidders/SI" in this document.

### 3.1. General Instructions to Bidders

---

#### 3.1.1. Availability of the RFP Documents

---

The bidders can download the RFP document from the websites provided in the Tender Notification table of Volume II. The bidder is required to submit the tender document fee in the form of DD/ BC which shall be paid along with the proposal at the time of bid submission. The RFP document can also be purchased from MMTC before the last date by paying the tender fee as specified in the Tender Notification Table. In case, Proposals received without or with inadequate RFP Document fees shall be rejected.

- a) The bidders are expected to examine all instructions, forms, terms, project requirements and other information in the RFP document. Failure to furnish all information required as mentioned in the RFP document or submission of a proposal not substantially responsive to the RFP document in every respect will be at the bidder's risk and may result in rejection of the proposal and forfeiture of the bid security.

#### 3.1.2. Pre-Bid Conference

---

MMTC will host a Pre-Bid Conference as per the date given in the Tender Notification Table. The representatives of the interested bidders may attend the pre-bid conference at their own cost. The purpose of the conference is to provide bidders with information regarding the RFP and the proposed solution requirements in reference to the RFP. It will also provide each bidder with an opportunity to seek clarifications regarding any aspect of the RFP and the



project. The clarifications sought in writing by the bidders before the last date of submission of clarifications would be discussed during the pre-bid conference. (Maximum 2 representatives from the bidder's organization having the letter of authority will be allowed during pre-bid conference)

### 3.1.3. Bidder clarifications and MMTC's Responses

---

All clarifications from the bidders relating to this RFP must be submitted in writing exclusively to the contact person before the last date for receipt of clarifications as specified in the Annexure I in the format specified as **Form A.1**. MMTC will not respond to any clarifications received after the last date for receipt of clarifications as specified in the Tender Notification Table. The mode of delivering written questions would be through post or email. In no event will MMTC be responsible for ensuring that bidders' clarifications have been received by them. Telephone calls will not be accepted for clarifying the queries.

After the RFP is released, MMTC shall accept written questions/queries from the bidders. MMTC will endeavor to provide a complete, accurate, and timely response to all questions to all the bidders. However, MMTC makes no representation or warranty as to the completeness or accuracy of any response, nor does MMTC undertake to answer all the queries that have been posed by the bidders and bidders shall not assume that their unanswered queries have been accepted by MMTC. All responses given by MMTC will be published in their website or email communication will be sent to all the bidders. All email communications sent by bidders to MMTC must be sent to the email address provided in Tender Notification table.

### 3.1.4. Amendments to RFP

---

- a) If MMTC deems it appropriate to revise any part of this RFP or to issue additional data to clarify an interpretation of the provisions of this RFP, it may issue amendments to this RFP. Such amendments will be hosted in the locations mentioned under Tender notification table. Any such amendments shall be deemed to be incorporated by this reference into this RFP.
- b) At any time prior to the deadline (or as extended by MMTC) for submission of bids, MMTC, for any reason, whether at its own initiative or in response to clarifications requested by prospective bidder, MMTC may modify the RFP document by issuing amendment(s). All bidders will be notified of such amendment(s) through email or any other communication means, and these will be binding on all the bidders.
- c) In order to allow bidders a reasonable time to take the amendment(s) into account in preparing their bids, MMTC, at its discretion, may extend the deadline for the submission of bids.
- d) MMTC does not take any responsibility for loss of communication through emails or any other communication means. The bidders are expected to watch the locations

mentioned under Tender notification table for clarifications, amendments, modifications to the RFP.

- e) MMTC reserves the right to accept or reject wholly or partly bid offer, or modify the technical specifications / quantities / requirements mentioned in this RFP including addition / deletion of any of the item or part thereof after pre-bid, without assigning any reason whatsoever. No correspondence in this regard shall be entertained. MMTC also reserves the unconditional right to place order on wholly or partly bid quantity to successful bidder.

#### 3.1.5. Proposal Preparation Costs

---

The bidder is responsible for all costs incurred in connection with participation in this process, including, but not limited to, costs incurred in conduct of informative and other diligence activities, participation in meetings/discussions/presentations, preparation of proposal, in providing any additional information required by MMTC to facilitate the evaluation process, and in negotiating a definitive Agreement (provided in Volume III of this RFP) and all such activities related to the bid process. This RFP does not commit MMTC to award a contract or to engage in negotiations. Further, no reimbursable cost may be incurred in anticipation of award of the agreement for implementation of the project.

#### 3.1.6. MMTC's Right to terminate the Process

---

- a) MMTC reserves the right to accept or reject any proposal, and to annul the bidding process and reject all proposals at any time prior to award of agreement, without thereby incurring any liability to the affected bidder or bidders or any obligation to inform the affected bidder or bidders of the grounds for actions taken by MMTC.
- b) MMTC makes no commitments, express or implied, that this process will result in a business transaction with anyone.
- c) This RFP does not constitute an offer by MMTC. The bidder's participation in this process may result in MMTC selecting the bidder to engage in further discussions and negotiations towards execution of an agreement. The commencement of such negotiations does not, however, signify a commitment by MMTC to execute an agreement or to continue negotiations. MMTC may terminate negotiations at any time without assigning any reason.

#### 3.1.7. Bid Security or Earnest Money Deposit (EMD)

---

- a) Bidders shall submit, along with their Bid security, (amount specified in the tender notification table), in the form of a Bank Guarantee drawn from any scheduled commercial bank other than Co-operative bank or Gramin bank<sup>1</sup> in favour of

---

<sup>1</sup> The bank from must be a net worth of at least Rs 500 crore and capital adequacy ratio of 9%. Bank Guarantee banks with net worth of less than Rs 500 crore and up to 300 crore can be accepted only with prior approval of MMTC.

MMTC Limited payable at New Delhi branch and valid for One (1) year from the 29/10/2015 i.e. the last Date of the bid submission. Bid security in the shape of Bank Guarantee shall be submitted in the format provided in the **Form A.3: Bid Security as specified in this RFP.**

- b) The bid security is interest free.
- c) The bid security, for the amount mentioned above, of successful bidder would be returned upon submission and confirmation of Performance Bank Guarantee (as mentioned under 'Payment terms & schedules'). The bid security of all unsuccessful bidders will be returned by MMTC at the earliest, post signing of agreement and submission of the Performance Bank Guarantee (PBG) by the successful bidder.
- d) The bid submitted without bid security, will be liable for rejection without providing any further opportunity to the bidder concerned.
- e) The bidder shall extend the validity of the offer and Bid security on request by MMTC
- f) The bid security may be forfeited:
  - i) If a bidder withdraws its bid during the period of bid validity
  - ii) In case of a successful bidder, if the bidder fails to sign the agreement in accordance with terms and conditions

#### 3.1.8. Authentication of Bids

- a) The original and one copy of the physical bids shall be typed or written in indelible ink and signed by the authorized signatory of the Bidder to bind the Bidder to the Contract. A letter of authorization shall be supported by a written Power-of-Attorney accompanying the bid. All pages of the bid, except for un-amended printed literature, shall be initialed and stamped by the person or persons signing the bid
- b) The cover letter specified as **Form A.2** and the commercial bid shall be uploaded using digital signature certificate of the authorized signatory of the Bidder. A scanned copy of the letter of authorization (authorizing the authorized signatory to sign the bid documents) supported by a notarized Power-of-Attorney should be also be uploaded. The bidder shall upload to the location mentioned in tender notification table.
- c) The Bidder must submit Power of Attorney authorized by the Board as a signing authority for Signing of bids/ Digital signature

### 3.1.9. Interlineations in Bids

The bid shall contain no interlineations, erasures or overwriting except as necessary to correct errors made by the Bidder, in which case such corrections shall be initialed by the person or persons signing the bid.

### 3.1.10. Venue & Deadline for submission of proposals

- a) Proposals, in its complete form in all respects as specified in the RFP, must be submitted to MMTC as specified in the Tender Notification Table.
- b) Last Date & Time of submission: As given in the Tender Notification Table
- c) MMTC may, in exceptional circumstances and at its discretion, extend the deadline for submission of proposals by issuing an addendum, in which case all rights and obligations of MMTC and the bidders previously subject to the original deadline will thereafter be subject to the deadline as extended.

### 3.1.11. Late Bids

Bids received after the due date and time as specified in the Tender Notification Table (including the extended period if any) for any reason whatsoever, shall not be entertained by MMTC.

## 3.2. Bid Submission Instructions

Proposals must be direct, concise, and complete. All information not directly relevant to this RFP should be omitted. MMTC will evaluate bidder's proposal based on its clarity and the directness of its response to the requirements of the project as outlined in this RFP.

Bidders shall furnish the required information on their Pre-qualification, Technical and Commercial proposals in the enclosed formats only. The tender will be liable for rejection if there is any deviation in the format or if the envelopes are not sealed properly.

### 3.2.1. Mode of Submission

The bidder is required to submit their offer in both physical and online mode as specified in the Tender Notification table. The submission of bids shall be in accordance with the instructions given in the Table below:

Submission of Online Bid Documents	The bidder is required to submit bid documents online at MMTC e tendering Portal.
------------------------------------	---

Uploading of bid documents	The cover letter and the commercial bid documents shall be uploaded using digital signature certificate of the authorised signatory of the Bidder at the location mentioned in the tender notification table. (Refer Form A.2 and Form D.1 and D.2)
Submission of bid in Physical form	The bid documents (excluding the commercial bid documents) to be submitted in the physical form in the tender box at following address : MMTC Limited, Corporate Office , Core-1, Scope Complex, 7 Institutional Area, Lodhi Road, New Delhi-110003
Envelope1: Tender Fee and Bid Security	The envelope containing the Bid Security shall be sealed and subscribed "Bid Security – Implementation of ERP System at MMTC". The envelope should also contain Tender fee in the form of DD/BC, if not already submitted. This envelope should not contain any Commercials, either in explicit or implicit form, in which case the bid will be rejected.
Envelope2: Response to Pre-Qualification Requirements	<p>The Response to the Pre-Qualification Requirements shall be prepared in accordance with the requirements specified in this RFP and in the format prescribed in this Volume.</p> <p>The pre-qualification proposal should be submitted in one printed copy of the entire proposal and a soft copy on non-rewriteable compact discs (CDs) with all the contents of the Pre-Qualifications requirements. The words "Response to Pre-Qualification Requirements–Implementation of ERP System at MMTC" shall be written in indelible ink on the CD. The Hard Copy shall be signed by the authorized signatory of the bidder on all the pages.</p> <p>In case of discrepancies between the information in the printed version and the contents of the CDs, the printed version of the proposal will prevail and will be considered as the proposal for the purpose of evaluation.</p> <p>The proposal should contain the copies of references and other documents as specified in the RFP.</p>

	<p>This envelope (physical copy and/or CD) should not contain any Commercials in either explicit or implicit form, information other than related to pre-qualification, in which case the bid will be rejected.</p>
<p>Envelope3: Technical Proposal</p>	<p>The Technical Proposal shall be prepared in accordance with the requirements specified in this RFP and in the formats prescribed in this volume.</p> <p>The Technical proposal should be submitted with One printed copy of the entire proposal and a soft copy on non-rewriteable compact discs (CDs) with all the contents of the Technical proposal. The words “Technical Proposal–Implementation of ERP System at MMTC” shall be written in indelible ink on the CD. The Hard Copy shall be signed by the authorized signatory of the bidder on all the pages.</p> <p>In case of discrepancies between the information in the printed version and the contents of the CDs, the printed version of the Technical proposal will prevail and will be considered as the proposal for the purpose of evaluation.</p> <p>The Technical proposal should contain the copies of references and other documents as specified in the RFP.</p> <p>This envelope (physical copy and/or CD) should not contain any Commercials, in either explicit or implicit form, in which case the bid will be rejected.</p>
<p>Envelope 4</p>	<p>All the above 3 envelopes should be put in envelope 4 which shall be properly sealed. The outside of the envelope must clearly indicate the name of the project “Response to the RFP for Implementation of ERP System at MMTC”, at the top right hand corner and addressed to MMTC at the address specified in Tender Notification Table</p>
<p>Online Submission – Commercial proposal</p>	<p>The Commercial Proposal will be submitted only in online format and the bidder is expected to submit only one copy of the Commercial Proposal as per the forms in this volume.</p>

	<p>The Commercial Proposal should be submitted online with the scanned copy of the covering letter which should be on the letter head of the bidder with a seal and signature of the authorized signatory of the bidder. All the remaining pages in the Commercial proposal should be with a seal and signature of the authorized signatory of the Bidder. (The commercial proposal will be opened only after the evaluation of the Technical Proposal)</p>
<p>Note:</p>	<p>The outer and inner envelopes mentioned above shall indicate the name and address of the bidder agency.</p> <p>Failure to mention the address on the outside of the envelope could cause a proposal to be misdirected or to be received at the required destination after the deadline.</p> <p>All the outer and inner envelopes shall be properly sealed.</p>

- a) MMTC will not accept delivery of proposal in any manner other than that specified in this volume. Proposal delivered in any other manner shall be treated as defective, invalid and rejected.
- b) All the envelopes of the proposals shall have the name and address of the bidder to enable the proposal to be returned unopened in case it is declared "late" or the Technical proposal does not qualify. The unopened envelopes can be collected from MMTC in the address mentioned in the Tender Notification table.
- c) The bidders are requested to sign across the envelopes along the line of sealing to ensure that any tampering with the proposal cover could be detected.
- d) Tender Fee, Pre-qualification proposal and Technical Proposal should not contain any commercial information.
- e) A board resolution /authority letter authorizing the Bidder to sign/ execute the proposal as a binding document and also to execute all relevant agreements forming part of RFP shall be included in the Pre-qualification proposal.
- f) If any bidder does not qualify in technical evaluation, the Commercial proposal shall not be considered.
- g) MMTC will not accept delivery of proposal by fax or e-mail. Such proposals shall be rejected.
- h) The proposals shall be valid for a period of Twelve (12) months from the date of opening of the proposals. A proposal valid for a shorter period shall be rejected as non-responsive. On completion of the validity period, unless the bidder withdraws his

proposal in writing, it will be deemed to be valid until such time that the bidder formally (in writing) withdraws his proposal.

- i) In exceptional circumstances, at its discretion, MMTC may solicit the bidder's consent for an extension of the validity period. The request and the responses thereto shall be made in writing or email.

### 3.2.2. Authenticity of the information and right of verification

---

- a) MMTC reserves the right to verify all statements, information and documents submitted by the bidder in response to this RFP for the purpose of Pre-qualification and Technical Proposal. Any such verification or lack of such verification by MMTC shall not relieve the respondent of its obligations or liabilities hereunder nor will it affect any rights of MMTC there under.
- b) In case it is found during the evaluation of the responses or at any time during the subsequent procurement process or before signing the agreement or after its execution and during the period of project execution resulting out of the agreement thereof, that the bidder has made material misrepresentation or has given any materially incorrect or false information in the proposal, the bidder shall be disqualified forthwith if not yet awarded the agreement either by issue of the letter of intent or entering into an agreement. MMTC would initiate appropriate action against the selected bidder as per the laws of the land, if the agreement is already awarded.

### 3.2.3. Language of Proposals

---

The proposal and all correspondence and documents shall be written in English. The bidder shall furnish certified translated documents, wherever the citations/documents attached as part of the bid are in language other than English.

### 3.2.4. Conditions under which this RFP is issued

---

- a) This RFP is not an offer and is issued with no commitment. MMTC reserves the right to withdraw the RFP and change or vary any part thereof at any stage. MMTC also reserves the right to disqualify any bidder should it be so necessary at any stage.
- b) Timing and sequence of events resulting from this RFP shall ultimately be determined by MMTC.
- c) No oral conversations or agreements with any official, agent, or employee of MMTC shall affect or modify any terms of this RFP and any alleged oral agreement or arrangement made by a bidder with any department, agency, official or employee of MMTC shall not be valid. Oral communications by MMTC to bidders shall not be considered binding on MMTC, nor shall any written materials provided



by any person in MMTC other than the person specified in the tender notification table.

- d) Neither the bidder nor any of the bidder's representatives shall have any claims whatsoever against MMTC or any of their respective officials, agents, or employees arising out of or relating to this RFP or these procedures (other than those arising under a definitive service agreement with the bidder in accordance with the terms thereof).
- e) All bidders, until the agreement is awarded and the successful bidder, up to five year post signing of the agreement, shall not, directly or indirectly, solicit any serving employee of MMTC to leave MMTC or any other officials involved in this RFP process in order to accept employment with the bidder, or any person acting in concert with the bidder, without prior written approval of MMTC.

#### 3.2.5. Rights to the Content of the Proposal

---

All proposals and accompanying documentation of the Technical proposal will become the property of MMTC and will not be returned after opening of the Technical Proposal. The bidders who do not qualify the Technical evaluation, their Commercial proposals will not be opened. MMTC is not restricted in its rights to use or disclose any or all of the information contained in the proposal to experts/ consultants engaged in the evaluation of bid responses and can do so without compensation to the bidders. MMTC shall not be bound by any language used by the bidder in the proposal indicating the confidentiality of the proposal or any other restriction on its use or disclosure.

#### 3.2.6. Modification and Withdrawal of Proposals

---

- a) No modification or revision is allowed in the bids after submission.
- b) The bidder is allowed to withdraw their submitted proposal any time prior to the last date prescribed for the receipt of bids, by giving a written notice to MMTC to that effect.

#### 3.2.7. Acknowledgement of Understanding of Terms

---

- a) By submitting a proposal, the bidder shall be deemed to acknowledge that the bidder has carefully read all sections of this RFP, including all forms, schedules, Annexures hereto, and has fully informed itself as to all the conditions and limitations.
- b) By submitting a proposal in response to this RFP, the bidder shall be deemed to acknowledge that he is in agreement with the terms and conditions of the RFP and the procedures adopted for bidding & evaluation of the responses of the bidders.

#### 3.2.8. Entire Documents

---

- a) Entire Request for Proposal - The following constitutes the entire Request For Proposal by MMTC

- i) The three volumes of the RFP published by MMTC
  - ii) The additional conditions if any, published by MMTC on or before the last date for the submission of the responses by the bidder
  - iii) The clarifications provided by MMTC during the pre-bid phase or before the last date for the submission of the responses by the bidder.
  - iv) Amendments/ Addendum/ Corrigendum issued by MMTC on or before the last date for the submission of the responses by the bidder.
  - v) Any official communication sent by email/post or published by MMTC to all the bidders during the bidding period or before the last date for submission of the response by the bidder.
- b) Entire proposal by the bidder – the following constitutes the entire proposal by the bidder
- i) The response by the bidder.
  - ii) The presentation material submitted by the bidder during the bidder presentation sessions.
  - iii) The clarifications provided by the bidder as part of the proposal against any queries/requests by MMTC.
- c) Mode of Communication
- i) No oral communication by either party will be recognized as the official communication or commitment. The only permitted mode of communication by either party will be through email/post.
  - ii) Any communication sent through email by either party should be through the email id of the respective authorized persons and only those communications will be considered as commitments.

### 3.2.9. Non-Responsive Proposals

A proposal may be construed as a non-responsive proposal and ineligible for consideration:

- a) If it does not comply with the terms & conditions, requirements of this RFP, failure to comply with the technical requirements, and acknowledgment of receipt of amendments
- b) If a proposal appears to be “canned” presentations of promotional materials that do not follow the format requested in this RFP for prequalification, Technical and Commercial proposals or do not appear to address the particular requirements of the proposed solution, and any such bids may also be disqualified.
- c) If the technical or commercial proposal of the bidder does not adhere to the

minimum BOM and timelines of this RFP, the bid shall be declared as non-responsive and will not be evaluated further.

### 3.2.10. Disqualification

The proposal submitted by the bidder is liable to be disqualified if one or more violations of the following conditions are violated.

- a) Violation of the bid submission process
  - i) Pre-qualification proposal, Technical proposal and Commercial proposal are not submitted in the prescribed formats and mode as given in the RFP
  - ii) The price information, the pricing policy or pricing mechanisms or any document/information/file indicative of the commercial aspects of the proposal are either fully or partially enclosed or are part of the Pre-qualification documents or in Technical Proposal
  - iii) If it comes to MMTC's knowledge expressly or implied, that some bidders may have compounded in any manner whatsoever or otherwise joined to form a cartel resulting in delay / holding up the processing of Bid then the bidders so involved are liable to be disqualified for this agreement/Tender.
  - iv) If a bidder submits more than one bid
  - v) If it is not complying to the CVC requirement of:
    - 1. In a tender, either the Indian agent on behalf of the Principal / OEM or Principal/OEM itself can bid but both cannot bid simultaneously for the same item/product in the same tender
    - 2. If an agent submits bid on behalf of the principal / OEM, the same agent shall not submit a bid on behalf of another Principal/ OEM in the same tender for the same item/ product
- b) Non-compliance to the conditions of the bidding process
  - i) The Bid documents are not signed as per guidelines of the RFP
  - ii) The required Bid security has not been paid as specified in the RFP
  - iii) The Bid validity period is shorter than the required period
  - iv) The Bid is not submitted in accordance with this document
  - v) During validity of the Bid, or its extended period, if any, the bidder revises its quoted prices
  - vi) The bidder qualifies their Bid with their own conditions or assumptions
  - vii) Bid is received in incomplete form

- viii) Bid is not accompanied by all the requisite documents
- c) Non responsive Content of the proposal
  - i) Information submitted in the Pre-qualification and Technical proposal is found to be misrepresented, incorrect or false, accidentally, unwittingly or otherwise, at any time during the processing of the bids or during the tenure of the agreement including the extension period, if any
  - ii) The deliverables as given in the Technical proposal should be in consonance with the Commercial proposal. Any deviations in the final deliverables between Technical and Commercial proposals shall make the Bid as being unresponsive and may lead to disqualification of the Bid
- d) Inability to respond in accordance with the bidding guidelines
  - i) The successful bidder, invited to sign the agreement qualifies the letter of acceptance of the agreement with its own conditions
  - ii) The successful bidder fails to deposit the Performance Bank Guarantee (PBG) or fails to enter into an agreement within 30 days of the date of issue of letter of intent or within such extended period, as may be specified by MMTC
- e) Fraudulent and corrupt practice
  - i) Bidder tries to influence the proposal evaluation process by unfair/unlawful/corrupt/fraudulent means at any point of time during the bid process defines, for the purposes of this provision, the terms set forth below as follows:
  - ii) "corrupt" practice means the offering, giving, receiving, or soliciting of anything of value to influence the action of MMTC in the procurement process or in agreement execution; and
  - iii) "fraudulent" practice means a misrepresentation of facts in order to influence a procurement process or the execution of an agreement to the detriment of the Purchaser, and includes collusive practices among Bidders (prior to or after bid submission) designed to establish bid prices at artificial, non-competitive levels and to deprive the purchaser of the benefits of free and open competition;
  - iv) "Unfair trade" practices means supply of goods (computer hardware, software, printers, networking equipment, etc.) different from what is mentioned in the bid documents, and includes change of parts/components, use of refurbished/repaired/substandard/ duplicate parts instead of genuine new parts or change the specifications and/or make of the company for which the supply order was given by Purchaser

f) Consequences of disqualification

- i) If a bid or a proposal is disqualified, the bidder will not be eligible to participate in the bidding process initiated by this RFP.
- ii) If the proposal/bid is disqualified, it will not be processed further and the same will be communicated to the bidder. No further correspondence from the bidder with MMTC will be entertained.
- iii) Documents submitted as a part of the proposal and which have not been opened will be returned to the bidders with due acknowledgement and bidder shall make necessary arrangements for collection of same from MMTC office within the specified time frame, failing to which MMTC will not guarantee the safe custody of the bid documents.
- iv) Documents submitted as a part of the proposal and which have been opened at the time of disqualification will be returned to the Bidders as per directions from MMTC.
- v) If the disqualification is for the reasons of fraudulent or corrupt practice, MMTC has the right to initiate action to black list the bidder as per the provisions of the relevant acts/rules

### 3.2.11. Government Restrictions

---

In order to discharge the obligations in respect of supply of products and services, it is essential that the bidder undertakes that there are no Government restrictions or sanctions or limitations in the country of the supplier or countries from which products or sub components are being procured and/or for the export of any part of the system being supplied. **(Refer Form B.24)**

### 3.2.12. Insurance to be taken out by the Bidder

---

The Bidders at their cost shall arrange, secure and maintain all insurance as may be pertinent to the Works/ Services and obligatory in terms of law to protect their interest and interest of MMTC. The responsibility to maintain adequate insurance coverage at all-times shall be of the bidder alone. The Bidders failure in this regard shall not relieve them of any of his contractual responsibilities, obligations and liabilities.

## 3.3. Bid Opening and Evaluation Process

---

### 3.3.1. Bid opening sessions

---

- a) Total transparency will be observed while opening the proposals/bids.
- b) MMTC reserves the rights at all times to postpone or cancel a scheduled bid opening.
- c) The bids will be opened, in three sessions, one for Bid Security and Pre-Qualification Proposal, one for Technical Proposal of those bidders whose Pre-Qualification bids

Qualify and one for Commercial proposals of those bidders whose Technical bids qualify, in the presence of bidders' authorised representatives who choose to attend the Bid opening sessions on the specified date, time and address. (Maximum 2 persons per bidder are allowed at the bid opening session of this RFP with letter of authority).

- d) The bidders' authorised representatives who are present shall sign an attendance sheet evidencing their attendance. In the event of the specified date of bid opening being declared a holiday for MMTC, the Bids shall be opened at the same time and location on the next working day. However if there is no representative of the bidder, MMTC shall go ahead and open the bid of the bidders.
- e) During bid opening preliminary scrutiny of the bid documents will be made to determine whether they are complete, whether the required bid security has been furnished, whether the documents have been properly signed, and whether the bids are generally in order. Bids not conforming to such preliminary requirements will be prima facie rejected.
- f) The bid security envelope will be opened first by MMTC for Pre- Qualification bid evaluation, in the presence of bidders' representatives (only one/two per each bidder) who may choose to attend the session on the specified date, time and address. The Bid Security envelope of the bidders will be opened on the same day and time, on which the Pre –Qualification Bid is opened.

### 3.3.2. Overall Evaluation Process

- a) Proposals will be evaluated by a Committee of Nominated Officials (the "Committee") appointed by MMTC including their designated representative(s)/consultant. MMTC or such other authority designated by MMTC as the case may be is also referred to herein as "Committee".
- b) A three tiered evaluation procedure will be adopted for evaluation of proposals, with the pre-qualification evaluation being completed before technical evaluation and technical evaluation being completed before the Commercial proposals are opened and compared.
- c) Pursuant to the pre-qualification criteria, bidders will be short listed for Technical evaluation. Technical bids will be opened only for the bidders who qualify the pre-qualification criteria. The Technical bids for the disqualified bidders will be returned unopened at MMTC office in the address mentioned in the Tender Notification table.
- d) MMTC will review the Technical bids of the short-listed bidders to determine whether the Technical bids are substantially responsive. Bids that are not substantially responsive are liable to be disqualified. MMTC may seek inputs from their professional, external experts, external consultants in the Pre-qualification, Technical and Commercial evaluation process.
- e) The MMTC shall assign technical score to the bidders based on the Technical evaluation criteria. The bidders with a technical score above the threshold as

specified in the Technical evaluation criteria shall technically qualify for the Commercial evaluation stage.

- f) The Commercial bids for the technically qualified bidders will then be opened and reviewed to determine whether the Commercial bids are substantially responsive.

## 4. Pre-qualification Proposal

---

### 4.1. Pre-qualification Process

---

- a) Since the requirements of MMTC for implementing the ERP system is unique in terms of functional features, MMTC intends to consider only those bidders that have the capability and competency, in terms of technical strengths, experience and financial stability to address the requirements of MMTC to implement the ERP system.
- b) The bidders' Pre-Qualification Proposal in the bid document is evaluated as per the pre-qualification criteria spelt out in this RFP. The Bidders are required to submit all required documentation in support of the pre-qualification criteria specified, client contact information for verification, profiles of project resources and all others as required for evaluation.
- c) The bidders shall meet all the mandatory compliance requirements. Failure in meeting the mandatory compliance requirements will result in disqualification of the bidder.
- d) All the bidders will be communicated of the results of evaluation of the prequalification bids.
- e) MMTC may seek clarifications from the Bidder on the pre-qualification proposal.
- f) In case of merger or acquisitions, bidder is required to provide joint declarations/certificates which can be considered by MMTC.

### 4.2. Pre-Qualification Criteria

---

#### **General eligibility criteria**

- a) The invitation for bids is open to all entities registered in India who fulfil prequalification criteria as specified below.
- b) Bidders declared by MMTC to be ineligible to participate for unsatisfactory past performance, corrupt, fraudulent or any other unethical business practices shall not be eligible.
- c) Bidders, whose Bid security was forfeited by MMTC on serious/grave grounds i.e. submission of false/forged/tampered/fabricated/manipulated documents / information at any occasion during last five years from the date of issue of RFP, shall not be qualified.
- d) Breach of general or specific instructions for bidding, general and special conditions of contract with MMTC during the past 5 years may make a firm ineligible to participate in the bidding process
- e) The Bidder along with COTS OEM(s) for the implementation of ERP system at MMTC should satisfy all of the criteria below.



S No	Criteria	Documentary proof to be submitted
<b>1</b>	The Bidder should be a company registered in India under the Companies Act, with registered office and operations in India. The Bidder should be operational in India for at least last five financial years as of 31st March 2014 as evidenced by the Certificate of Incorporation and /or Certificate of Commencement of Business issued by the Registrar of Companies, India.	Certificate of Incorporation issued by the Registrar of Companies
<b>2</b>	The bidder must be a single legal entity and not be a consortium of firms for all purposes during the entire duration of the project. The bidding company must be operating as IT System Integrator and should have offices in all zones of india i.e. southern, eastern, northern and western.	Undertaking by SI
<b>3</b>	The Bidder should not have been blacklisted by MMTC or by any state/central Government institution or any Public Sector unit.	Undertaking by SI
<b>4</b>	The Bidder should have an annual turnover of Rs. 250 Crores or more in last three financial years (each year) ending 31st March 2014 as evidenced by the audited accounts of the company, accruing from System Integration and IT services.	Duly certified statement from their auditor for the last 3 financial years indicating the amount of turnover during these years
<b>5</b>	Bidder should have a positive net worth for the last three financial years.	Duly certified statement from their auditor for the last 3 financial years indicating profit during these years
<b>6</b>	Bidder should have certification of ISO/IEC 20000 and CMMi Level 5	Copy of valid certificate issued to the Delivery Centre of the Bidding

S No	Criteria	Documentary proof to be submitted
		<p>Organization by respective agencies ( Validity for two years from the date of the RFP)</p> <p>Note: Organizations that are being currently assessed for the requisite certification level shall not be considered. Only the centres that have got certified shall be eligible for bidding.</p>
<b>7</b>	The Bidder must be certified ERP Implementation Partner of the proposed product OEM.	Certificate from OEM
<b>8A</b>	The Bidder must have System Integrator experience of successful Go-Live/ completed project during the last five years (from the date of publishing of the RFP) in one project having ERP and related IT services implementation of project value of Rs 35 crores and above in India <b>OR</b>	Work order and completion certificate / client citation or Client citation that ERP project is likely to be completed by 31 <sup>st</sup> March 2016
<b>8B</b>	The Bidder must have System Integrator experience of successful Go-Live/ completed project during the last five years (from the date of publishing of the RFP) in two projects having ERP and related IT services implementations, each of project value of Rs 25 crores and above in India <b>OR</b>	Work order and completion certificate / client citation or Client citation that ERP project is likely to be completed by 31 <sup>st</sup> March 2016
<b>8C</b>	The Bidder must have System Integrator experience of successful Go-Live/ completed project during the last five years (from the date of publishing of the RFP) in three projects having ERP and related IT services implementations , each of project value of Rs 20 crores and above in India.	Work order and completion certificate / client citation or Client citation that ERP project is likely to be completed by 31 <sup>st</sup> March 2016

S No	Criteria	Documentary proof to be submitted
<b>9</b>	The Bidder should have experience of successfully completed / be in the process of executing large Three(3) turnkey IT projects having ERP and related IT services implementation over multiple locations(at least 5 ) and the user base to be over 300. Out of the above 3 turnkey projects, one(1) project should be mandatorily from Government / PSU and one(1) project should be from any organization involved in Trading / Banking/ Financial Institutions.	Work order and / or completion certificate / client citation
<b>10</b>	The Bidder should have at least one own/authorised training centre, located in India with a training capacity of at least 50 trainees.	Undertaking from SI
<b>11</b>	The Bidder must have practice of implementing proposed solution and must have professionals experienced in the proposed solution on their rolls.	Undertaking from SI/ Certificate from the company secretariat specifying the Manpower
<b>12</b>	The COTS OEM should be a company registered in India under the Companies Act, 1956 with a registered office and operations in India. The company should be operational in India for at least last five financial years as of 31st March 2014 as evidenced by the Certificate of Incorporation and/ or Certificate of Commencement of Business issued by the Registrar of Companies, India.	Undertaking from OEM
<b>13</b>	The COTS OEM should have an annual turnover of Rs. 100 Crores for at least three financial years (each) out of last five financial years ending 31st March 2014 as evidenced by the audited accounts of the company.	Copy of audited accounts
<b>14</b>	The COTS product ERP should have a user base of at least 10,000 users of core business functions. Employee users of HR self service module are not considered as a user for this purpose.	Undertaking from OEM/ Client Citation

S No	Criteria	Documentary proof to be submitted
15	The COTS product should have at least five(5) Implementations with partners in India. Out of which three are to be in Government/PSU.	Client citation
16	The COTS system must have been implemented during the last five financial years in at least three trading companies anywhere in the world Or one (1) in India.	Client citation
17	The COTS OEM should have at least one authorized/ own training centre located in India with a training capacity of at least 50 trainees.	Undertaking from OEM/ Citation from Authorized partner

### Submission of Mandatory requirements

The bidder should submit all the mandatory documents listed below. If any of the mandatory documents are not in order, such Proposals are liable to be rejected without further evaluation.

- a) Submission of Undertaking on patent/copy rights
- b) Submission of Undertaking on COTS OEM support commitment
- c) Submission of Undertaking on the solution commitment from OEM
- d) Submission of undertaking on hardware sizing by COTS OEM
- e) Submission of Undertaking on Non malicious code certificate by SI
- f) Submission of undertaking on Personnel
- g) Submission of undertaking on latest software delivery
- h) Submission of Undertaking on Proof of concept(PoC)/Field Trial
- i) Submission of Integrity pact
- j) Submission of Undertaking on no Government restrictions from OEM
- k) Submission of undertaking on latest hardware delivery

### 4.3. Pre-Qualification Proposal

- a) The pre-qualification proposal should be strictly in line with the tables & forms provided in this RFP. Bidders are required to use the following checklist for the pre-qualification proposal.

The envelope shall contain the Pre-Qualification Proposal in five parts with the following details:

#### 4.3.1. Part I – Details of the bidder Organization

- a) This part must include a general background of the bidder organization

- b) Details of the organization as per the format provided in the RFP (Form B.1 Details of bidder). Enclose the mandatory supporting documents listed in format provided in the RFP.
- c) Declaration on Government Regulation as per the format provided in the RFP (Form B.2 of the Pre-Qualification Response Formats).
- d) Assessment and Certification of the required certification (CMMi Level 5 or above and ISO 20000). (Form B.7 and B.8 of the Pre-Qualification Response Formats). Enclose the mandatory supporting documents listed in format provided in the RFP.
- e) Details of the authorized training center and support center in India as per format provided in the RFP. (Form B.15 of the Pre-Qualification Response Formats).

#### 4.3.2. Part II – Relevant ERP Project Implementation Experience of Bidder organisation

---

- a) Three citations of successful end-to-end implementation of the proposed ERP system as per the format given in the RFP (Form B.4 of the Pre-Qualification Response Formats). The bidder is required to provide details of executed in the last five (5) financial years. Bidders shall also furnish list of on-going projects with agreed completion dates and likely completion target dates.
- b) ERP Consultants on the rolls of the bidder as per the format provided in the RFP. (Form B.5 of the Pre-Qualification Response Formats).
- c) ERP OEM Authorization Declaration as per the format provided in the RFP. (Form B.6 of the Pre-Qualification Response Formats).

#### 4.3.3. Part III – Relevant ERP Product Information

---

- a) ERP system Information detailing the Solution Characteristics as per the format provided in the RFP. (Form B.9 of the Pre-Qualification Response Formats).
- b) Three citations of successful implementation of the end to end modules of the proposed ERP system in Public Sector Organizations/ Govt. in India over multiple locations with user base of over 300 as per the format given in the RFP (Form B.11 of the Pre-Qualification Response Formats). Provide details of no more than 3 projects executed in the last 5 financial years.
- c) Declaration from the OEM on the implementation partners for the proposed ERP product as per the format provided in the RFP. (Form B.12 of the Pre-Qualification Response Formats).

#### 4.3.4. Part IV – Relevant ERP Product OEM Information

---

- a) Details of the ERP OEM Organization as per the format provided in the RFP (Form B.13 of the Pre-Qualification Response Formats). Enclose the mandatory supporting documents listed in format provided in the RFP.
- b) Financial details of the ERP OEM Organization as per format provided in the RFP. (Form B.14 of the Pre-Qualification Response Formats). Enclose the mandatory supporting documents listed in format provided in the RFP.

- c) Details of the authorized training center and support center in India as per format provided in the RFP. (Form B.15 of the Pre-Qualification Response Formats).
- d) ERP OEM's commitment to provide audit and expert advice for the implementation services as per format provided in the RFP. (Form B.17 of the Pre-Qualification Response Formats).

Notes:

- i. *Only Project Citations executed in the last 5 financial years (2010-2015) will be considered for evaluation.*
- ii. *'Turnkey IT Projects' relates to projects involving Development, Deployment, and Commissioning of the IT Application, IT Infrastructure, and Operations & Maintenance Services on the application and underlying infrastructure. In respect of the cited projects, the bidder should have been directly responsible for the implementation of the projects.*
- iii. *In case of bidders where the CMMi or ISO certification is under renewal, the bidders shall provide the details of the previous CMMi or ISO certification and the current assessment details for consideration in the evaluation process.*
- iv. *The CMMi or ISO certification should be valid as on the last date of proposal submission. In case of expiry of current assessment, the bidder shall provide a certificate from the SEI/ ISO Lead auditor that reassessment for the same or higher level is commenced. The bidder shall ensure the assessment for the first year after the contract is commenced.*
- v. *Only projects that are submitted as part of the proposal will be evaluated. MMTC may seek clarifications on the projects submitted. However, no new project will be accepted by MMTC after submission of the proposal.*

## 5. Technical Proposal

---

### 5.1. Technical Proposal Guidelines

---

- a) Technical proposal to include the covering letter as given at Form C.1
- b) The bidder is expected to understand the complete solution footprint, the processes and functions of MMTC while preparing the Technical Proposal.
- c) The bidder is required to provide in the Technical Proposal details of how it proposes to implement the modules and solution components of the ERP system to cover all the functional areas and processes of MMTC listed in Volume I of this RFP.
- d) The bidder is expected to bid for the project with a complete understanding that, all the processes and functions given in Volume I of this RFP need to be implemented using the solution components of ERP, and deliver the services and solutions given in Volume I of this RFP, at a fixed price, without any provisions for bargaining for a different interpretation of the specifications in Volume I of this RFP and changes in scope, while executing the project.
- e) The Technical proposal should contain a detailed description of how the functional and technical requirements outlined in this RFP are met by the proposed solution. The bidder should provide a comprehensive solution mapping indicating the solution components of the proposed ERP along with Partner Products, if any. The solution should be based on COTS in the true sense and should not be an “application development platform” with minimal features. MMTC expects majority of the features to be addressed with the ready product.
- f) The Product should meet all the functionality needs based on the information indicated in the Volume I of this RFP. The solution proposed by the bidders should comply with the “Functional & Technical requirements” detailed in the Functional Requirement specifications available in Annexure II of volume 1 of RFP.
- g) While the bidder has the freedom in making any assumptions about the processes and functions of MMTC while interpreting the details given in Volume I of this RFP, such assumptions cannot be the basis for any bargaining or different interpretation during the execution of the project. MMTC interpretation shall be final and binding on all the bidders. The assumptions made by the bidder shall not have any impact on the technical and commercial bid submitted.
- h) MMTC retains the right of the final say in the interpretation of the scope of the Project in terms of the interpretation of the functions and processes of MMTC, as listed in volume I of this RFP.
- i) Since a process can be described in different manners, the bidder should clearly understand that any possible variations to the processes during the Business Design phase from the way they are specified in the Volume I of this RFP should not be considered as deviations or extensions to the original process specifications.
- j) The modules of ERP system which have been listed are more of a reflection of the functional areas to be addressed rather than the specific modules being

implemented. So the bidder is required to make an assessment of the modules to be activated within the ERP System, to implement the processes of MMTC as detailed in Volume I. However any changes to the assumptions of the bidder in terms of the modules, as long as the processes remain the same will not be treated as a change in scope.

- k) The Technical proposal should address all the areas/ sections as specified in the RFP and should contain a detailed description of how the bidder will provide the required services outlined in this RFP. It should articulate in detail, as to how the bidder's Technical Solution meets the requirements specified in the RFP Volume I.
- l) The Technical proposal must not contain any pricing information.
- m) The bidder is expected to respond using the specified formats for the response, wherever applicable. Failure to use the specified formats may result in disqualification of the proposal.
- n) The Technical Proposals must be direct, concise, and complete. Any information which is not directly relevant to this RFP should not be included in the proposal by the bidder. MMTC will evaluate bidder's proposal based upon its clarity and the directness of its response to the requirements of the project as outlined in this RFP.
- o) MMTC is also open to any suggestions that the bidder may want to render with respect to the implementation of the ERP system at MMTC, its coverage, the modules to be implemented and the best practices to be adopted in the light of their expertise or experience from similar assignments. However It is not binding on MMTC to agree to the suggestions
- p) Wherever the customer name is asked for, for experience or deliverables, the bidder is required to provide the name. Not providing the name of the customer will be treated as incomplete information and will affect the evaluation process.
- q) The bidder is requested to provide documentary evidence of experience, methodology or any other information provided in the Technical proposal. The bidders are not expected to attach any promotional material, brochures with the proposal. Any such information will be treated negatively. However, the bidder is expected to provide the names of the organizations, only if the organization is the direct customer of the bidder.
- r) The bidder shall number all the pages of the Technical proposal including the annexure and other attachments. All pages should be signed by the authorized signatory.

The Technical proposal shall be in line with the Annexure I (Bid Formats) of this document and shall strictly comply with all the forms and formats as provided in the Annexure.

#### **1. Part I – General Bid Information**

- a) This part should include the Technical proposal covering letter (as per form C.1 of Annexure III) along with the any general information of the bidder that the bidder would like to provide about the background of the organization and the suitability



of the bidder's experience (project, people, organization, etc.) for the current project.

## 2. Part II – Proposed Solution

The proposal should contain the details of the solution components proposed along with how each of the solution components would meet the requirements of MMTC.

- a) Solution details including but not limited to the ERP system, the modules or solution components of the ERP, the other solution components required to meet the requirements of MMTC, solutions required for running the maintenance and support operations, the solutions/tools required during implementation.
- b) Functional coverage of the solution
- c) The bill of material for the ERP system (Form C.6 of Annexure III)
- d) The hardware bill of materials (Form C.7 of Annexure III)
- e) The details of third party solutions if any, their description and the purpose.
- f) How the solution components are sized and their relationship to licensing metrics.
- g) Details should be provided to demonstrate the solution fitment to MMTC's requirements along with the logical rationale for each of the solution components and the suggested versions to indicate how the proposed ERP system components meet the processes and sub processes of MMTC

## 3. Part III – Functional Fitment

The bidder should provide details as per the format provided in the RFP (Form C.5 of Annexure III).

## 4. Part IV – Understanding of Requirements of MMTC

The bidder is expected provide a comprehensive understanding of the best practices related to implementations in Government/ PSU/Trading/ Banking / Financial Institutions organizations from the past experiences of implementation of ERP system.

- a) The best practices from earlier implementations of ERP in that needs to be implemented in MMTC (Trading, Procurement).

## 5. Part V– Project Methodology

The Technical proposal should contain a detailed description of how the bidder will implement the ERP system at MMTC. It should articulate in detail, as to how the bidder's methodology, technical teams, the management expertise and specific capabilities required for the project will be deployed to meet the requirements of MMTC as specified in Volume I of this RFP.

- a) Overall Implementation methodology: The implementation methodology to bring out how the requirements of MMTC will be addressed comprehensively to get the best out of the ERP system. The methodology being deployed by the bidder to implement the ERP system at MMTC needs to be elaborated to bring out the

following factors clearly:

- i) The Mechanism to manage the risks of quality and time
  - ii) The mechanisms to ensure all the processes of MMTC described in Volume I of this RFP are implemented without any change in scope of work
- b) Methodology and Expertise in business design and process design: As elaborated in Volume I of this RFP, MMTC intends to exploit the best features of ERP System effectively to meet its process and functional requirements. The bidder is required to provide specific business design documents with all the details from its past projects to bring out the expertise of the organization.
  - c) Methodology for Quality control and testing of the configured system.
  - d) Methodology for internal acceptance and review mechanisms. MMTC would like the bidder to implement transparent mechanisms for review and acceptance of the deliverables produced by the SI during the project execution, before they are delivered to MMTC. The bidder is required to provide details on the quality standards for each of the deliverables, the review and correction mechanisms for each of the deliverables, and the acceptance criteria for each of the deliverables. Ensuring the quality of deliverables, the list of individual experts or organizations units which will review the deliverables produced by the project team.
  - e) Audit services from OEM. The bidder is expected to indicate the details of these services by the ERP OEM and how the feedback on these will be incorporated.
  - f) Methodology and approach along with tools and processes provided for addressing data conversion and migration requirements and ensuring the quality of the migrated data through multi-step validation.
  - g) Methodology for Change Management and Training.
  - h) Methodology to make the proposed best practices / process redesign interventions get adopted in MMTC for ensuring the requirements of MMTC are addressed comprehensively without too much customization.

## 6. Part VI – Project Team

The Technical proposal should contain details of the team for implementation, and the profiles of the experts with highlights of their experience as relevant to this project. The proposal should indicate how the organizational expertise is deployed at the project site to ensure that the deliverables are as per the best practices of implementation and the best practices available with the ERP system are implemented to meet the requirements of MMTC. The profiles of resources listed below should be submitted in the format given under Form C.2 of Annexure III.

- a) Profile of Project Director in the given format
- b) Profile of the Project Manager in the given format.
- c) Profile of the Solution Architect

- d) Profile of Technical Architect in the given format.
- e) Profile of the Functional Lead in the given format.
- f) Profile of the Technical Lead in the given format
- g) Profile of the Technical and Functional Consultant in the given format.
- h) Profile of Support Team member in the given format.

#### **7. Part VII – Project Governance, Project Plan & Resource Loading**

MMTC expects that the bidder has planned the project in detail, adequately loading the project with requisite resources. The requirement of MMTC is that the project is completed on time to the satisfaction of the users of the ERP system at MMTC. The bidder should give an overview of the project plan, resource loading, the mechanisms for managing the timelines, the mechanism for change management, scope management duly assessing the effort to address the changes in scope if any, assessing the expertise required to address these changes , and configuration control.

- a) Governance Mechanism covering Project Structure for Governance, management, escalation, and issue resolution.
- b) Detailed Project Plan as per the format given under Form C.3 of Annexure III with comprehensive list of deliverables along with timelines. The project plan should clearly indicate project mile stones, the deliverables with each of these milestones, and closing points of these milestones.
- c) Resource loading as per the format given under Form C.4 of Annexure III. The bidder is requested to highlight how they plan to execute the project, critical milestones and the deliverables, resource loading both at site and offsite etc. Mechanisms to bring in new members to the team due to attrition or any other reason, instead of the ones suggested in the proposal, judging their competencies against the ones suggested in the proposal.
- d) Mechanisms for Escalation and issue resolution
- e) Risk Management & Mitigation plan
- f) Mechanisms to monitor the project timelines. The key milestones for MMTC Management review, for corrective actions, for giving go ahead for further actions and for payments.
- g) Details of Project standards that will be adhered to during the implementation of the project. MMTC intends to ensure that the project artefacts and documents are well organized for review, modification and for future reference. It is expected that SI will use the native document/project management tool available with the ERP system for this purpose. The bidders are required to provide details of how will they use these solutions to meet the requirements of MMTC
- h) Format of Deliverables and Artefacts:
  - i) Business Design
  - ii) Test Cases

- iii) Cut over Strategy
- iv) Data Migration Strategy

## 8. Part VIII – Operations and Maintenance

MMTC expects that the bidder has planned the project in detail, adequately loading the project with requisite resources. The requirement of MMTC is that the project is completed on time to the satisfaction of the users of the ERP system at MMTC. The bidder should give an overview of the project plan, resource loading, the mechanisms for managing the timelines, the mechanism for change management, scope management duly assessing the effort.

- a) A detailed bill of services offered in the support and maintenance as per the **Form C.8** of Annexure III.
- b) Team structure to deliver the services during the support and maintenance phase as per format given under **Form C.9** of Annexure III.
- c) Escalation process.
- a) Methodology for Application Support.
- b) Methodology for Infrastructure Support.
- c) Methodology for Incident and Problem Management.
- d) Methodology for Change / Release Configuration Management.
- e) Methodology for Overall Service Level Management.
- f) Methodology for Handholding Support.

## 9. Part IX – Proof of Capability (PoC)

Proof of capability demonstration and Documentation & Presentation would be as per the demonstration made and the quality of documentation submitted

## 10. Part X – Optional Suggestions on the Draft Contract

- a) A draft contract including the standard terms and all the other terms specific to the implementation of the ERP system at MMTC is circulated as Volume III of this RFP. It is expected that the bidder will be able to execute this contract without any modifications, in case they are selected for doing so.
- b) However the bidder is requested to indicate as per **Form C.10** of Annexure III, the changes the bidder desires to have and the reason for that.
- c) This is only a solicitation of suggestions for change. However, it is neither guaranteed that these requests for changes will be accepted in the final contract nor this process should be construed as any commitment from MMTC to consider those suggestions.
- d) The bidder should not suggest any change to the contract that has financial or commercial implications during the execution of the contract and is against the basic spirit of procuring the services for implementation of ERP Solution.

- e) The bidder is also requested not to base the Price quote on the assumptions that the suggestions for changes to the draft contract will be accepted by MMTC.

### 11. Part XI – Optional Supplementary Information

Additional information directly relevant to the scope of services provided in the Volume I of the RFP may be submitted to accompany the proposal. In submitting additional information, please mark it as supplemental to the required response. However, this information will not be considered for evaluation purposes.

#### 5.2. Technical Proposal Evaluation Process

Since the requirement of MMTC for implementing the ERP system are unique in terms of functional features, MMTC intends to consider only those System Integrators that have the capability and competency, in terms of technical strengths, experience and financial stability to address the requirements of MMTC to implement the ERP system. The evaluation of the Technical bids will be carried out in the following manner:

- a) The bidders' Technical proposal proposed in the bid document is evaluated by MMTC committee as per the requirements specified in the RFP and adopting the evaluation criteria spelt out in this RFP. The Bidders are required to submit all required documentation in support of the evaluation criteria specified in the format specified in the RFP as required for technical evaluation.
- b) MMTC has the right to employ the services of external agencies, consultants, consulting organizations or individual experts to help MMTC committee in evaluating the Technical Proposals, Proof of Capability / concept demonstration or personal interviews, as elaborated in the subsequent sections. No conditions in the bidder's response in the contrary will be valid.
- c) MMTC may seek clarifications from the Bidder on the Technical Proposal. Any of the clarifications submitted by the Bidder on the Technical Proposal should not have any commercial implications.
  - i) All such clarifications will be sent to the contact persons indicated in the proposal by email.
  - ii) If the bidder fails to respond within the stipulated time period, MMTC has the right to make assumptions on the Technical Proposal submitted by the bidder and if such assumptions lead to disqualification of the Technical proposal, MMTC is not accountable for these omissions.
  - iii) The responses by the bidders to the queries raised by MMTC will be treated as part of the proposal by the respective bidders.
  - iv) If any of the responses by the bidders to the queries sent by MMTC has commercial implications, these commercial aspects will not be accommodated in the commercial evaluation process.

- d) Proof of capability demonstration: MMTC will invite each pre-qualified bidder to make a proof of capability demonstration to MMTC committee at a date, time and venue decided by MMTC. The purpose of the demonstration will be to test the suitability of the proposed ERP system to meet the requirements of MMTC.
- i) MMTC will test the proposed solution on its ability to meet the specific requirements of MMTC. This will be done by evaluating the PoC demonstration of the solution. In common parlance the FRS is equivalent of design specifications and PoC are specifications for testing a design. While Functional Requirement Specification (FRS) detailed in this RFP is the design specification, PoC will be the test specification.
  - ii) The PoC scripts will be targeted to address major MMTC processes but in no way indicate or limit the scope of the functional requirements specifications of the COTS solution implementation at MMTC.
  - iii) The testing of the COTS solution against the PoC scripts will be done by the Committee as the case may be and appropriate scores will be allocated to the proposed ERP system.
  - iv) Cost and mechanism of PoC shall be to the charge of the bidder.
  - v) The extension can be granted only in unavoidable circumstances with the approval of MMTC. The committee may seek oral clarifications from the bidders during the demonstration. The primary function of clarifications in the evaluation process is to clarify ambiguities and uncertainties arising out of the evaluation of the bid documents. Oral clarifications provide the opportunity for the committee to state its requirements clearly and for the bidder to more clearly state its proposal. The committee may seek inputs from their professional and technical experts in the evaluation process. All oral clarifications and oral responses provided by the bidders would be recorded.
  - vi) The bidder is expected to demonstrate the Proof of Capability of the Scripts provided by MMTC. In failure to do so, the Bidder might be liable for rejection.
- e) Personal Interview / discussion with the Project Team
- i) The Committee will have the right and the option to interview any or all the members of the Project Team, proposed by the bidder and whose profile is the basis of Technical Evaluation.
  - ii) These interviews can be either over telephone or in person.
  - iii) The focus of the interview will be to assess the quality of the experience of the team member, the depth of experience & expertise he/she brings in and the relevance of that expertise to MMTC, etc.

- iv) If there is a personal interview, it will be held at the corporate office of MMTC at New Delhi, at a time and date to be indicated separately.
  - v) The bidder is required to bear the cost of travel of its members for these interviews, in case the team members need to travel from different places.
- f) Following will be the technical evaluation methodology:
- i) Each Technical Bid that complies with all the mandatory requirements will be assigned a technical score out of a maximum of 100 points. Each of the criteria will be assigned a technical score as spelt out in Section 5.3 of this document.
  - ii) The overall technical score cutoff is 80 marks. As one of the criteria, the bidder will require to attain the overall cutoff marks or more during the evaluation, for their commercial bids to be considered.
  - iii) Only the bidders, who score a total Technical score of 80 (eighty) or more, will qualify for the evaluation of their Commercial bids.
  - iv) The committee shall indicate to all the bidders the results of the technical evaluation through written communication. The technical scores of the bidders will be announced prior to the opening of the commercial bids.
  - v) The technically qualified bidders will be informed of the date and venue of the opening of the Commercial bids through written communication.

### 5.3. Technical Evaluation Criteria

#### Technical Evaluation Scoring Matrix:

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
1.	<p>Past Track Record of the ERP implementation (Govt./ PSU)</p> <p>The bidder is expected to submit ERP implementation citation with similar organizations certified</p>	<p>The following aspects to be demonstrated in projects cited as part of the requirements:</p> <ol style="list-style-type: none"> <li>1. IT Infrastructure Planning and similar Implementation Services</li> <li>2. Application suitability</li> <li>3. User base</li> <li>4. Multi-location experience</li> <li>5. Duration of Project (multi-year, O&amp;M)</li> </ol>	Two (2) marks for each line items	Marks 10

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
		Number of Organizations where the proposed solution/product has been implemented		
2.	<p><b>Understanding of RFP and Functional Requirement Specifications compliances</b></p> <p>The bidder is expected to propose a solution that covers all aspects of the functional requirements and shall clearly articulate how the solution complies with all the requirements mentioned in the FRS and RFP.</p>	<p>FRS compliance being met as a standard functionality to be awarded full marks, customization &amp; 3<sup>rd</sup> party shall be awarded marks on a pro rata basis, and for development no marks shall be awarded for the particular FR.</p> <p>Note: The bidder will be allotted marks as follows (based on the % of the requirement met):</p> <ol style="list-style-type: none"> <li>1. &gt;=95-100% - 10 Marks</li> <li>2. &gt;=90 % - &lt;95% - 8 marks</li> <li>3. &gt;=85% - &lt;90% - 6 marks</li> <li>4. &gt;=80% - &lt;85%- 4 marks</li> <li>5. &gt;=70%- &lt;80% - 2 marks</li> <li>6. &lt;70%- no marks</li> </ol> <p>The following criteria will be adopted to evaluate the % of requirements met by the solution</p> <ol style="list-style-type: none"> <li>A. for each compliance under "supported" or - 1 point</li> <li>B. for each compliance under "customization" - 0.75 point</li> <li>C. for each compliance under "3<sup>RD</sup> PARTY" – 0.5 point</li> <li>d. for each compliance under "Not supported" – 0 point</li> </ol>	Marks awarded on pro rata basis	Marks 10



S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
3.	Solution Proposed	<p><b>Technical / Associated Requirements of the Solution Proposed</b></p> <ol style="list-style-type: none"> <li>1. Proposed web based Solution Design</li> <li>2. Proposed Technical Architecture and Technologies / platforms with rationale and benefits (Server Platform, OS Platform, tools proposed for the managing the project requirements, such as SLA monitoring tools, Project Monitoring)</li> <li>3. Architecture proposed</li> <li>4. Future roadmap of the quoted product by OEMs</li> <li>5. Proposed Solution Support for Virtualization and expandability</li> <li>6. Offline processing capability</li> <li>7. Conformance to the Performance</li> </ol>	Two (2) marks for each line items	Marks - 20

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
		<p>metrics and Performance Solution proposed</p> <p>8. Integration capabilities with external third party applications</p> <p>9. Plan for high availability &amp; Scalability</p> <p>10. Proposed management / business intelligence tool</p>		
4.	IT Infra & Deployment Architecture		Three (3) marks for each line items	Marks 15
	Deployment Architecture	Infrastructure components and Deployment Architecture, Virtualization, etc.		
	Server Hardware Technologies	<p>Provide deployment architecture of the proposed solution both at DC and DRC along with Hardware requirements. What load balancing, clustering features have been provided in your solution</p> <p>Clear mention of brand, type and specification of technologies proposed for</p>		

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
		DC and DR. Price not to be mentioned		
	Data Migration Methodology	Methodology & Plans proposed for Quality Assessment methods, Tools Proposed & its compatibility with existing database		
	Network Plan at DC and DR	Plan for networking and connectivity between DC and DR – Replication links and internet gateway bandwidth		
	Security Architecture	Methodologies and technologies for securing a. The application b. Hardware Infrastructure c. Network d. Threats Monitoring		
5.	Proposed Plan and Methodology	<b>Approach and Methodology of implementation</b>	Two marks (2) for each line item	Marks - 10
	Implementation Strategy and Plans	Week-wise work plan clearly indicating tasks, dependencies and milestones/deliverables through the completion of phase 1 and monthly plans for phase 2, with breakup of effort estimates and mapped to key personnel ( Detailed Project plan)		

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
	Proposed Resources	Proposed Team structure, Responsibility Matrix for both Implementation as well as O&M phases of the project; along with Resources allocation as per project plan		
	Testing Plan	Plans and methodologies for testing , types of testing - Testing tools proposed		
	Quality Assurance	QA plans and methodologies		
	Operations and Maintenance	Plan and Methodology for O&M phase - Application Support and version upgrades and patches - SLA Monitoring Plan & tool proposed - Business Continuity plan - Helpdesk support & tool		
6.	Proposed Manpower Number of People Proposed		Two (2) marks for each line item	Marks - 10
	No of Resources proposed	Indicate the number of people proposed for the project in key levels of expertise, namely, Program Managers, Delivery Manager, Solution Architect, Business Analysts and		

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
		Operations Team, functional consultants etc.		
	Experience of key personnel	The total experience of PMs and Architects (software and hardware) shall be clearly articulated.		
	Relevant skills of key personnel	High level of expertise in Project Delivery / Management and similar projects is desirable. The same team shall be committed to the project		
	Qualifications of proposed personnel	All manpower (excluding support staff) proposed should have a Bachelor's / Master's degree in Technology / Engineering or MCA		
	Certifications of proposed manpower	The proposed manpower shall be certified in relevant areas of expertise		
7	Change Management & Capacity Building	<b>Approach &amp; methodology for Change Management</b>		Marks 10
		CM approach and Strategy	4 Marks	
		Training Plans	4 Marks	
		CM tools and Artifacts	2 Marks	
8.	Project Governance & Management	<ol style="list-style-type: none"> <li>Governance structure and mechanism proposed</li> <li>Risk Management &amp; Mitigation plan</li> </ol>	1 marks for each of the line item	Marks – 5

S. No	Evaluation Criteria	Measurement Matrix / Method	Marking Guidelines	Marks
		3. Mechanisms to monitor the project timelines 4. Escalation, Change request management / Issue resolution 5. Internal acceptance and review mechanisms		
9.	Technical Presentation and Product Demo	Demonstration of scripts and proposed ERP		Marks - 10

## 6. Commercial Proposal

---

### 6.1. Commercial Proposal Guidelines

---

- a) Commercial proposal to include the covering letter as given at **Form D.1**
- b) The bidder must not include any technical information regarding the services in the Commercial proposal.
- c) As part of the commercial proposal, the bidders shall mandatorily quote for all the components as mentioned in Volume I of the RFP. (**Refer Form D.2**)
- d) The Commercial proposal must be detailed and must cover each year of the project term. The Commercial proposal must be summarized by completing the commercial proposal formats which are contained in Annexure IV of this RFP.
- e) The bidder is also required to quote for an extendable period of O&M services i.e. extendable to 3 (three) further terms of 2 (two) years each (**Refer Form D.13**). However the price quoted in this section will not be considered at the time of commercial evaluation of bids.
- f) In case MMTC desires to extend the O&M Services after the five (5) year period, the above quoted rates will be applicable for further extension.
- g) Commercials for all components including optional components should be valid and firm for the entire duration of the project.
  - i) During the proposal preparation the bidder shall review the indicative list of Hardware and System Software as provided in the RFP and propose necessary infrastructure (including software and hardware), in its technical and commercial bid, required for implementation of the ERP Project. The Infrastructure proposed by the bidder must address the functional and technical requirements as stated in this RFP. The bidder shall be solely responsible for any financial implications on items not quoted in the proposal and which are required for implementation and operationalization of the Project.
- h) MMTC reserves the right to procure the components/services listed in this RFP in whole or in part.
- i) The payment terms mentioned in the Agreement issued to the successful SI shall be the only payment, payable by MMTC to the SI for completion of the obligations by the SI as per agreed terms in the agreement.
- j) Cost quoted for the software (both system & application) must include all cost including the cost of procurement, customization, configuration and implementation etc. according to MMTC requirements and its maintenance for the entire project duration till go live and stabilization period.
- k) Cost quoted for the hardware must include the cost of procurement, supply at site, installation and configuration according to MMTC requirements and its maintenance for the entire project duration.
- l) The Bidders are advised not to indicate any separate discount. Discount, if any, must be merged with the quoted prices. Discount of any type, indicated separately, shall

- not be taken into account for evaluation purpose of this RFP.
- m) The bidder must quote the prices strictly in the manner as indicated in the RFP, failing which; the bid is liable for rejection. The rate/cost shall be entered in words as well as in figures.
  - n) Prices quoted in the bid must be firm and final and shall not be subject to any upward revision/modifications. No upward adjustment of the commercial price shall be made on account of any variations except for service tax and VAT. A proposal submitted with an adjustable price quotation or conditional proposal liable/may be rejected as non-responsive.
  - o) The rates quoted are exclusive of service tax or any other tax levied by the central government in lieu of service tax and the same will be payable by MMTC over and above the payment schedule
    - i) If any of the service component is priced as bundled within any of the other priced component submitted by the bidder, the bidder cannot un-bundle it and price it separately after the Commercial bids are opened or during the period of the agreement for implementation of the ERP system.
    - ii) The services provided towards change requests will be quoted as a blended per-person- month rate by the bidder.
  - p) Prices must be quoted entirely in Indian Rupees and must be exclusive of all applicable taxes. However bidder is required to provide details of all applicable taxes and levies in the price bid format.
  - q) Correction of Error
    - i) Bidders are advised to exercise adequate care in quoting the prices. No excuse for corrections in the quoted figures will be entertained after the proposals are submitted to MMTC. All corrections, if any, should be initialed by the person signing the proposal before submission, failing which the figures for such items may not be considered.
    - ii) Arithmetic errors in proposals will be corrected as follows:
      1. In case of discrepancy between the amounts mentioned in figures and in words, the amount in words shall govern.
      2. In case of discrepancy between the cost quoted in the pricing summary sheet for a component and the total cost provided for the component in the detailed cost break up sheet, the detailed cost break up sheet for the component will be considered.
      3. In case of discrepancy between the total price given for a line item / component and the calculated total price (number of units multiplied by the cost per unit for that line item), the total price given for a line item / component will be considered.
      4. The amount stated in the commercial proposal, adjusted in



accordance with the above procedure, shall be considered as binding, unless it causes the overall proposal price to rise, in which case the proposal price shall govern.

- iii) The amount stated in the Commercial proposal will be adjusted by MMTC in accordance with the above procedure for the correction of errors and shall be considered as binding upon the Bidder. If the Bidder does not accept the corrected amount of Financial Proposal, its Proposal will be rejected and the Bid security of the bidder will be forfeited.
- r) No adjustment of the price quoted in the Commercial proposal shall be made on account of any variations in costs of labour and materials, currency exchange fluctuations with international currency or any other cost component affecting the total cost in fulfilling the obligations under the agreement. No clauses for price fluctuations due to fluctuation of the Indian currency against any of foreign currency will be accepted during the period of the agreement.
- s) The bid amount shall be inclusive of packing, forwarding, transportation, insurance till Go Live, delivery charges and any other charges as applicable.
- t) All costs incurred due to delay of any sort, shall be borne by the Bidder.
- u) MMTC reserves the right to ask the Bidder to submit proof of payment against any of the taxes, duties, levies indicated within specified time frames.
- v) MMTC reserves the right to ask the Bidder to submit analysis of rate and data sheet for the rates quoted in the Commercial bid by the bidder
- w) If the price for any of the services is not explicitly quoted in the commercial bid or mentioned as zero, it is assumed that the price for that particular element is absorbed in some other service element for which a price has been quoted, and MMTC has the right to source services for which no price was quoted or quoted as zero, at no additional price.
- x) If taxes or any other applicable charges are not indicated explicitly, they are assumed to be bundled within the prices quoted and unbundling of these charges will not be entertained either during evaluation or while signing the agreement.
- y) The commercial bid should be provided in the order as per Annexure IV of this RFP.
- z) Commercial bid of a bidder will be declared non-responsive if the bidder has proposed components in the commercial bid which are different from the solution as mentioned in the technical bid.

## 6.2. Opening of commercial bids

---

- a) Only those bidders who qualify the technical evaluation would be intimated by MMTC about the Commercial bid opening. The bids would then be opened in the presence of the bidders' representatives on a specified date and time to be intimated to the respective bidders.
- b) The bidder names, the bid prices, the total amount of each bid and such other details

as MMTC may consider appropriate, will be announced and recorded at the opening.

### 6.3. Evaluation of Commercial bids

---

- a) Evaluation of bids will be based on L1, Lowest in a tender out of all technically qualified bidders.

### 6.4. Commercial proposal forms

---

Refer to Annexure IV of this volume for the Commercial proposal response forms

## 7. Overall Evaluation Methodology and Award Criteria

---

- a) MMTC intends to issue the letter of intent to the bidder whose proposal has been determined as the best value proposal based on Technical and Commercial evaluation criteria.
- b) At the same time as MMTC notifies the successful bidder that its proposal has been accepted, MMTC shall enter into an agreement, incorporating all agreements (to be discussed and agreed upon separately) between MMTC and the successful bidder. The draft agreement is provided in RFP Volume III.
- c) The successful bidder shall submit a fresh undertaking of not being blacklisted as on date of the signing of the agreement (As per Form B.2)
- d) MMTC shall have the right to annul the award in case there is a delay of more than 30 days in signing of agreement, for reasons attributable to the successful bidder.
- e) MMTC does not commit to buy all the items in the quoted price for which pricing has been sought. Out of the various priced items of the Commercial proposal, MMTC will have the option and the right to buy any combination of services or items. The priced items which MMTC intends to buy will be included in the agreement with the successful bidder.
- f) During the period of the agreement, MMTC could buy any of those items which are not included in the agreement and which are part of the quoted price of the bidder. MMTC will have the right to buy those services at the same rate for which the bidder was selected as the successful bidder. The Price quote for all the services indicated in the quote will be valid for the complete period of agreement.
- g) Once an agreement is signed with the successful bidder no adjustment of the agreement price shall be made on account of any variations in costs of labour and materials or any other cost component affecting the total cost in fulfilling the obligations under the agreement.
- h) The Agreement price arrived at, on the basis of selection of a price of the successful bidder, shall be the only payment, payable by MMTC to the bidder for completion of the contractual obligations by the successful bidder under the Agreement, subject to the terms of payment specified in this document.

### 7.1. Failure to agree with the Terms and Conditions of the RFP

---

Failure of the successful bidder to agree with the Terms & Conditions of the RFP within 30 days period shall constitute sufficient grounds for the annulment of the award, in which event MMTC may award the agreement to the next best value bidder or call for new proposals and invoke the PBG.

---

## 8. Payment Terms and Schedule

---

### 8.1. Advance Payment

---

No advance payment will be paid by MMTC.

### 8.2. Performance Bank Guarantee

---

- a) A Performance Bank Guarantee (PBG) of 10% of value of the contract would be furnished by the bidder in the form of a Bank Guarantee as per the format provided in this RFP from a scheduled commercial bank other than Co-operative bank or Gramin bank<sup>2</sup>. The PBG should be furnished within 30 days from the signing of the contract and should be valid till the entire term of the contract and for an additional period of six months after the completion of term of contract towards warranty.
- b) All incidental charges whatsoever such as premium; commission etc. with respect to the PBG shall be borne by the bidder. If the project implementation/go-live is delayed, the PBG shall be extended by the bidder for such additional duration. The PBG may be discharged/ returned by MMTC upon being satisfied that there has been due performance of the obligations of the bidder under the contract. However, no interest shall be payable on the PBG
- c) In the event of the bidder being unable to service the contract for whatever reason, MMTC would invoke the PBG. Notwithstanding and without prejudice to any rights whatsoever of MMTC under the contract in the matter, the proceeds of the PBG shall be payable to MMTC as compensation for any loss resulting from the bidder's failure to perform/comply its obligations under the contract. MMTC shall notify the bidder in writing of the exercise of its right to receive such compensation within 7 (Seven) days, indicating the contractual obligation(s) for which the bidder is in default.

### 8.3. Liquidated Damages

---

In the event of the Bidder's failure to submit the Guarantees and Documents and supply the solution / equipment as per schedule specified in this RFP, MMTC may at its discretion withhold any payment until the completion of the contract. MMTC may also deduct from the Bidder as agreed, liquidated damages to the sum of 0.5% of the contract price for every month of delay or part of a month, subject to the maximum value of the Liquidated Damages being not more than 10 % of the Contract price. This right to claim any liquidated damages shall be without prejudice to other rights and remedies available to MMTC under the contract and law. However liquidated damages will not be claimed for the period of delay solely

---

<sup>2</sup> The bank must have net worth of at least Rs 500 crore and capital adequacy ratio of 9%. Bank Guarantee from banks with net worth of less than Rs 500 crore and up to 300 crore can be accepted only with prior approval of MMTC.

attributable to MMTC. These liquidated damages are applicable till the project go-live and stabilization period.

#### 8.4. Payment Schedules and Milestones

The successful bidder will sign a Service Level Agreement (SLA) with MMTC covering all the required services. The payment schedule and milestones are divided into two phases:

- a) Implementation and Stabilization Phase
- b) Operations and Maintenance Phase

##### 8.4.1. Milestones and Payment Schedules for Implementation Phase

S. No.	Payment Milestones for the Implementation phase	% Payment of Sub-total for Services Provided During Implementation Phase)
1.	On Approval of Business Design /System requirement specifications (SRS)	<b>10%</b>
2.	On supply and commissioning of server side hardware against submission of original invoice. SI need to submit 100% BG of this value in the format provided by MMTC and to remain valid till the project Go-Live.	<b>10%</b>
3.	On sign off of User acceptance testing and Completion of Data Migration	<b>10%</b>
4.	On Completion of stabilization period following phase I Go live	<b>20%</b>
5.	On Completion of stabilization period following phase II Go live	<b>30%</b>
6.	On Sign off Mobilisation of Handholding support team and operationalization of Central Helpdesk along with submission of updated user manuals and configuration manuals	<b>10%</b>
7.	On generation of Annual Financial Statements from the new system as per MMTC formats	<b>10%</b>

#### 8.4.2. Milestones and payment Schedules for Operations and Maintenance Phase

The operations and maintenance phase is for a period of five (5) years post Final Go-Live. The cost quoted for each year of Operations and Maintenance phase will be made in four (4) equal instalments for each respective year upon satisfactorily adhering to the SLAs. The payments during the Operations and Maintenance phase will be made at the end of every quarter after the delivery of services upon satisfactorily adhering to the SLAs defined in volume III of this RFP. The successful bidder will be required to submit a compliance report at the end of every month and a consolidated compliance report at the end of quarter, based on which these payments would be made.

Payment Milestones for the O&M phase	% Payment of Sub-total for Services Provided during O&M Phase
Balance - YoY Operation & Maintenance Support	Equal quarterly instalments

## Annexures

### Annexure - I Bid Formats

#### Form A.1: Request for Clarifications /pre-bid queries

Bidders requiring specific points of clarification may communicate with MMTC during the specified period using the following format:

Bidder's Request For Clarification / Pre Bid Queries			
Name of Organization submitting request		Name & position of person submitting request	Full address of the organization including phone, fax and email points of contact
			Tel:
			Fax:
			Email:
S.No	Bidding Document Reference(s)(section number/ page)	Content of RFP requiring Clarification	Points of clarification Required
1			
2			

*Note: The name of the organization and the date shall appear in each page of such as document/email in the header or footer portion.*

Yours faithfully,

On behalf of [System Integrator's Name]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Form A.2: Proposal covering letter**

---

**[Cover Letter]**

[Date]

To,

General Manager (Systems)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Dear Sir,

**Ref: RFP for Implementation of ERP system**

Having examined the RFP, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the professional services as required and outlined in the RFP for the implementation of ERP system at MMTC.

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

We confirm that the information contained in this response or any part thereof, including its exhibits, and other documents and instruments delivered or to be delivered to MMTC is true, accurate, verifiable and complete. This response includes all information necessary to ensure that the statements therein do not in whole or in part mislead MMTC in its shortlisting process.

We fully understand and agree to comply that on verification, if any of the information provided here is found to be misleading the shortlisting process, we are liable to be dismissed from the selection process or termination of the agreement during the project, if selected to do so.

We agree for unconditional acceptance of all the terms and conditions set out in the RFP document and also agree to abide by this tender response for a period of twelve (12) months from the date fixed for bid opening.

We hereby declare that in case the agreement is awarded to us, we shall submit the performance bank guarantee in the form prescribed in the Form E.1 of this volume. We agree that MMTC is not bound to accept any tender response that they may receive. We also agree



that MMTC reserves the right in absolute sense to reject all or any of the products/ services specified in the tender response.

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

The following persons will be the authorized representatives of the company for all the future correspondence till the completion of the bidding process, between MMTC and our organization.

	Primary Contact	Secondary Contact
Name:		
Designation:		
Company Name:		
Address:		
Phone:		
Mobile:		
Fax:		
E-mail:		

We understand that it will be the responsibility of our organization to keep MMTC informed of any changes in this list of authorized persons and we fully understand that MMTC shall not be responsible for non-receipt or non-delivery of any communication and/or any missing communication, in the event reasonable prior notice of any change in the authorized person(s) of the company is not provided to MMTC.

Dated this      Day of      2015

(Signature)      (In the capacity of)  
(Name)

Duly authorized to sign the Tender Response for and on behalf of:

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

Witness Signature:

Witness Name:

Witness Address:

Contact Details:

CERTIFICATE AS TO AUTHORISED SIGNATORIES

I,....., the Company Secretary of ....., certify that ..... who signed the above Bid is authorized to do so and bind the company by authority of its board/ governing body.

(Company Seal)

Date:

Signature:

(Name)

**Note:** Authorized signatory should be an employee of the SI/OEM (as applicable) and should have been authorized vide a board resolution, authorizing him/her to sign/execute the proposal as a binding document and also to execute all relevant agreements forming part of RFP.

## Form A.3: Bid Security Format

**BANK GUARANTEE (Rs. 100 Stamp Paper) for EMD**  
**Bank Guarantee No. \_\_\_\_\_ dated \_\_\_\_\_**

MMTC Limited  
 Core-I, Scope Complex  
 7. Lodhi Road  
 New Delhi – 110003

1. WHEREAS, **MMTC LIMITED**, a Company having its registered office at Core-I, Scope Complex, 7- Institutional Area, Lodi Road, Delhi-110003 (**hereinafter called the 'MMTC'**) have floated Tender No. \_\_\_\_\_ dated \_\_\_\_\_ for \_\_\_\_\_, for implementation of ERP System in MMTC.
2. WHEREAS, \_\_\_\_\_ (Bidder name and address) (here in after referred as the bidder) has participated in the tendering process, for \_\_\_\_\_ for implementation of ERP System in MMTC in response to RFP issued by MMTC Limited vide its Tender No. \_\_\_\_\_, by submitting its bid No. \_\_\_\_\_ on \_\_\_\_\_.
3. AND WHEREAS, the bidder is required to furnish EMD, in the form of Bank Guarantee of Rs. 1, 00, 00,000 (Rupees One crore only), as required under the tender.
4. We \_\_\_\_\_ (name of the bank & address) (hereinafter called the bank) do hereby irrevocably and unconditionally guarantee and undertake to pay to MMTC merely on demand in writing an amount not exceeding Rs. 100,00,000 (Rupees One crore only (in words) without any demur, contestation, protest or reference to the bidder or any other party if the bidder fails to perform all or any of his obligations, or commit any breach of his obligation as described in the aforesaid tender. The decision of MMTC communicated in writing that the bidder has defaulted in performance of his obligations, shall be final and binding on us notwithstanding any contestation or protest by the bidder. However, our liability under this guarantee shall be restricted to an amount not exceeding Rs. One crore only.
5. We, \_\_\_\_\_ (banker's name and address) further agree that the guarantee here in contained shall remain irrevocable and continue in full force and valid upto (date) and that it shall continue to be enforceable till tender is finalized. In case bidder is selected in the tendering process, they are required to replace this BG with a valid performance BG of required value.
6. We, \_\_\_\_\_ (bank name & address) further agree that MMTC shall have the fullest liberty without our consent and without affecting in any

manner our obligations herein to vary any of the terms and conditions of the said RFP or to extend time of performance by the bidder from time to time or postpone for any time or from time to time any of the powers exercisable by MMTC against the bidder and forbear or enforce any of the terms and conditions relating to the said RFP and we shall not be relieved from our liability by reasons of any such variations or extensions being granted to the bidder or for any forbearance, act or omission on the part of MMTC or any indulgence by MMTC to the bidder, or by any letter or thing whatsoever, which under the law relating to the sureties would, but for this provision have the effect of so relieving us.

7. We, \_\_\_\_\_ (bank name & address) also undertake not to revoke the guarantee during its currency except with the previous consent of MMTC in writing. We, \_\_\_\_\_ (bank name & address) hereby undertake and guarantee to pay any money so demanded notwithstanding any dispute(s) raised by the said bidder in any suit or proceeding pending before any court or tribunal relating thereto. Our liability under these premises are being absolute and unequivocal. The payment so made by us under this guarantee shall be a valid discharge of our liability for payment thereunder and that the said Bidder have no claim against us for making such payment.
8. Our liability under this guarantee is restricted to an amount of Rs. \_\_\_\_\_ (Rupees (in words)). The guarantee shall remain valid up to \_\_\_\_\_ unless a demand or claim under this guarantee is made on us in writing within three months thereafter. We shall be discharged from all liabilities under this guarantee thereafter. We further agree that this guarantee will not be affected in any manner whatsoever due to any change in the constitution of the Bidder or the bank. We lastly undertake not to revoke this guarantee during its currency except with the previous consent in writing from MMTC.
9. We have the power to issue this guarantee in your favour under the charter of our bank and the undersigned has full power to execute this guarantee under the power of attorney to him by the bank.

Signed and Delivered this \_\_\_\_ day of \_\_\_\_\_ Year.

Witness : 1.  
2.

(Authorised Signatory)  
(Signed with stamp)

## Annexure - II Formats for Prequalification Proposal

### Form B.1: The legal entity

Details of the Bidder Organization	
Name	
Nature of the legal status in India	
Nature of business in India	
Date of Incorporation	
Date of Commencement of Business	
Registrar of Companies (RoC) Reference No	
Address of the Headquarter	
Address of the Registered Office in India	
Address of offices in India	
Other Relevant Information	
Mandatory Supporting Documents:	
a) Certificate of Incorporation from Registrar Of Companies( ROC)	
b) Relevant sections of Memorandum of Association of the company or filings to the stock exchanges to indicate the nature of business of the company	
c) Certification on commencement of business	

---

Form B.2: Declaration on not being blacklisted

---

(To be submitted on the Letterhead of the Bidder)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

Dear Sir,

We confirm that our company is not blacklisted for any fraudulent actions by MMTC or by any state/central Government institution or any Public Sector Organization.

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

On behalf of *[System Integrator's Name]*

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

## Form B.3: Financial Information

Financial Information			
	FY 2011-12	FY 2012-13	FY 2013-14
Revenue (in INR crores)			
Profit Before Tax (in INR crores)			
Net Worth (in INR crores)			
Revenue from IT services (in INR crore)			
Other Relevant Information			
Mandatory Supporting Documents:			
<ul style="list-style-type: none"> <li>a) Audited financial statements for the Last three financial years; 2011-12, 2012-13, and 2013-14 (Please include only the sections on P&amp;L, revenue and the assets, not the entire balance sheet.)</li> <li>b) Certification by the company auditors/company secretary supporting the revenue break-up</li> </ul>			

## Form B.4 – Implementation Experience

<b>ERP Implementation Project Information (one form for each project reference duly certified by authorized signatory)</b> <b>(provide details of no more than 3 projects executed in the last 5 financial years ending with 31<sup>st</sup> March 2014)</b>
<b>Client Information</b>
Name of client
Name of the person who can be referred to from Clients' side, with name, designation, postal address, contact phone, fax number, e-mail id,
Nature of business / operations of client
Revenue/Budget (in case of Government dept.) of the client
Size of operations of customer impacted by the solution in terms of turnover, number of locations, number of employees etc.
<b>Project Details</b>
Brief description of the Project
Functional areas of business covered in the project
Implementation Geographical Location/ Number of Locations / business units at which the project is implemented
Project Value in INR
Duration of engagement (with Start date and end-date/expected end-date)
Scope of the Project (Consulting, ERP Implementation, Networking, Training, Post-Implementation,)
Details of the Solution in terms of the following:
Modules implemented
Version of Product Implemented
Current version of the product
Information about upgrade
Number of Users of the solution
Relevance of the implementation to the current project (Indicate clearly which of the five projects is similar in scope to the current project)
<b><u>Supporting Documents</u></b>
Relevant experience certificates /documents issued by the Customer organizations indicating the successful completion of the project



## Form B.5 – ERP Consultants Information

ERP Consultants Information	
<b>ERP Product Name:</b>	<b>Version:</b>
Number of ERP Solution Consultants in the Company	
<u>Supporting Documents</u> Certification by the company auditors/Company Secretary supporting the number of ERP consultants in the organization	

---

**Form B.6 – OEM Authorization to bid**


---

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

**Sub: Authorization of <company name of SI> to Provide Services Based on Our Product(s)**

Dear Sir,

This is to certify that I/We am/are the Original Equipment Manufacturer in respect of the products listed below. I/We confirm that <name of SI> ("SI") is a certified partner to provide implementation services of our solution and have due authorization from us to provide services, to MMTC that are based on our product(s) listed below as per Request for Proposal (RFP) document relating to providing of the ERP Solution Application, Implementation, training & maintenance services, and System Integration services to MMTC.

We further endorse the warranty, technical support and licensing terms provided by SI to MMTC.

Sr. No.	Product Name	Version
1.		
2.		
3.		

Yours faithfully,

On behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

CC: SI's corporate name

### Form B.7: Quality Assessment Details (CMMi Level)

(To be submitted on the Letterhead of the System Integrator)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi – 110003

Dear Sir,

We would like to provide/confirm the following information on the quality certification of our organization.

Level of CMMi Assessment	
Date of Assessment	
Validity of the Assessment	
Name of the Assessing company and their contact details	
Units / Locations Assessed	
Mandatory Supporting Documents	
Proof of Assessment issued by auditors	

We have attached a copy of the certificate in support of the above information.

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

On behalf of [System Integrator's Name]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

### Form B.8: Quality Assessment Details (ISO 20000)

(To be submitted on the Letterhead of the System Integrator)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi – 110003

Dear Sir,

We would like to provide/confirm the following information on the quality certification of our organization.

ISO 20000 Assessment Details	
Level of ISO Assessment	
Date of Assessment	
Validity of the Assessment	
Name of the Assessing company and their contact details	
Units / Locations Assessed	
Mandatory Supporting Documents	
Proof of Assessment issued by auditors	

We have attached a copy of the certificate in support of the above information.

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

On behalf of [System Integrator's Name]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

### Form B.9: Solution Characteristics

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi – 110003

Dear Sir,

We would like to declare/confirm the following information on our ERP system

Solution Characteristics		
Coverage of functions in the ERP solution that are available should be an application integrated on interoperable platform	Function	ERP module name
	Finance & Costing	
	HR	
	Payroll	
	Inventory Management	
	Trading	
	Retail	
	Any Other	
Supported Operating Systems		
Supported Standard Databases		
Availability of Security Features	Security features	ERP module name
	Authentication	

	Single Sign On	
	Authorization	
	Biometric	
	Integrated User Management	
Mandatory Supporting Documents		
ERP Product Brochure		

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

on behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

Form B.10: Worldwide user base of ERP

---

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,  
General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

Dear Sir,

We hereby declare that the number of core users of our COTS product <name> is atleast 10,000 across the globe. This number does not include users of Employee Self Service.

Dated this \_\_\_ day of \_\_\_ 201\_\_

Yours sincerely,

On behalf of [*ERP OEM's Name*]  
Authorized Signature [In full and initials]  
Name and Title of Signatory:  
Name of Firm:  
Address:  
Seal/Stamp of ERP solution OEM



## Form B.11: COTS experience in Government/PSU

COTS experience in Government/PSU completed/ Go-Live	
Client Information	
Name of client	
Designation of the person who can be referred to from Clients' side with postal address.	
Nature of business / operations of client	
Project Details	
Brief description of the Project	
Functional areas of business covered in the project	
Implementation Geographical Location/ Number of Locations/ business unit at which the project is implemented	
Year of go-live/ project completion year	
Modules implemented	Yes/No
Finance & accounting	
HR	
Payroll	
Inventory Management	
Trading	
Retail	
Any other	
Supporting Documents <b>Note:</b> A client citation with reference to the above experience/citation for ERP refers to one or more of the following a) a client letter b) work order/contract copy c) completion/go-live certificate The above supporting document(s) should clearly specify the project status (i.e. gone live/ completed) with date The above document(s) should be duly certified by authorized signatory Please use separate forms for multiple citations.	

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

On behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

## Form B12: Partner Ecosystem

---

To be submitted on the Letterhead of the ERP OEM

(Place)

(Date)

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Dear Sir,

We would like to declare the following information on our partners for implementation of the COTS solution in India.

Name of the COTS OEM	
Product Name	
Certified Partner's name	

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

On behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

## Form B.13: The legal entity of OEM

Details of the Organization	
Name	
Nature of the legal status in India	
Nature of business in India	
Date of Incorporation	
Date of Commencement of Business	
Registrar of Companies - Reference No	
Address of the Headquarters	
Address of the Registered Office in India	
Other Relevant Information	
Mandatory Supporting Documents:	
<ul style="list-style-type: none"> <li>a) Certificate of Incorporation from Registrar Of Companies( ROC) Relevant sections of Memorandum of Association of the company or filings to the stock exchanges to indicate the nature of business of the company</li> <li>b) Certification on commencement of business</li> </ul>	

### Form B.14: Financial information of OEM

---

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi – 110003

Dear Sir,

We would like to declare the following information on our financials and legal status in India.

Name of the ERP OEM			
Product Name			
Nature of business in India			
<u>Financial Information</u>	FY 2011-12	FY 2012-13	FY 2013-14
Annual Turnover from the enterprise solutions(in INR crores)			
Annual audited financial statements certified by the Auditor duly showing the above information			

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

on behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

### Form B.15: Training Facility

---

To be submitted on the Letterhead of the company

(Place)

(Date)

To

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Dear Sir,

We would like to declare the following information on our training /support capabilities in India.

Name of the Company	
Product Name	
Authorized/ Owned Training Centre	
Address of the training centre	
Seating capacity of the training centre	

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

on behalf of [Company's Name]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of Company

Form B.16: Patent Rights/copyrights confirmation

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Sir,

**Sub: Undertaking on Patent Rights/copy rights during implementation of ERP Solution at MMTC**

I/We do hereby undertake that none of the deliverables being provided by us is infringing on any patent or intellectual and industrial property rights as per the applicable laws of relevant jurisdictions having requisite competence.

I/We also confirm that there shall be no infringement of any patent or intellectual and industrial property rights as per the applicable laws of relevant jurisdictions having requisite competence, in respect of the equipments, systems or any part thereof to be supplied by us.

We shall indemnify MMTC against all cost/claims/legal claims/liabilities arising from third party claim in this regard at any time on account of the infringement or unauthorized use of patent or intellectual and industrial property rights of any such parties, whether such claims arise in respect of manufacture or use. Without prejudice to the aforesaid indemnity, we shall be responsible for the completion of the supplies of the software / applications including upgrades as and when they are made available and uninterrupted use of the software solution and/or system or any part thereof to MMTC and persons authorized by MMTC, irrespective of the fact of claims of infringement of any or all the rights mentioned above.

If at a later date it is found that it does infringe on patent rights, I/We absolve MMTC of any legal action and MMTC will have the right to claim damages.

Yours faithfully,

On behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

**Form B.17: Support Commitment from ERP OEM**

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

**Sub: Undertaking on providing support during Implementation**

Dear Sir,

- 1 We the provider of ERP system, do hereby undertake that our products being implemented by <<SI's corporate name>>, pursuant to the Request for Proposal (RFP) document relating to providing of the ERP Implementation, training & maintenance services, to MMTC will be audited and reviewed to ensure they are implemented to the best of the features, possibilities, practices and methodology of these solutions. We will ensure to send the review or audit reports directly to MMTC.
- 2 We would like to confirm that we will commit to provide audit and expert advice for the implementation services to ensure that the implementation by the <<Name of the bidder>> is upgrade compatible.
- 3 We also undertake that we will provide support to MMTC during the implementation, in auditing the implementation, the quality of deliverables and in ensuring that the solution is implemented in the best of ways by exploiting all the capabilities offered by the solution, to meet the requirements of MMTC

Dated this \_\_\_ day of \_\_\_ 201\_

Yours sincerely,

On behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM



---

**Form B.18: Solution commitment from ERP OEM**

---

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi – 110003

Dear Sir,

We, the original owners of the ERP system, would like to confirm that the components proposed to be licensed to MMTC, against the functional requirements elaborated in the RFP and shared with by the SI (company name), fully meets the requirements of MMTC both in terms of functional coverage and scale of operations.

If during the implementation of the ERP system at MMTC, it is found that the proposed licensed system components are inadequate to meet the specifications in the RFP document, the required system components in terms of scale or coverage will be supplied without any financial burden to MMTC.

Dated this \_\_\_ day of \_\_\_ 201\_\_

Yours sincerely,

On behalf of [*ERP OEM's Name*]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

Form B.19: Undertaking on hardware sizing certification by ERP OEM

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To,

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

**Sub: Undertaking on Sizing**

Dear Sir,

We, acting in the capacity of the OEM of the proposed COTS ERP product, have been involved in the sizing of the hardware and all other related equipment for our software proposed by the <<bidder name>> based on information provided by MMTC in its RFP document and assure MMTC that the sizing is appropriate to the best of our knowledge.

Yours faithfully,

On behalf of [ERP OEM's Name]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM

---

Form B.20: Commitment for Field Trial/PoC demonstration of ERP Solution

---

(Company letter head)

[Date]

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Sub: Confirmation for Field Trial/ PoC Demonstration of ERP solution

Dear Sir,

I/We agree and confirm our willingness to provide the ERP system proposed by us for trial evaluation and through PoC demonstration at a place, date and time to be indicated by MMTC, at New Delhi on "No Cost No Commitment" basis when so requested.

Yours faithfully,

On behalf of [*System Integrator's Name*]

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Form B.21: Non-malicious code certificate**

---

(Company letter head)

[Date]

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi – 110003

**Sub: Non-Malicious Code Certificate**

Dear Sir,

1.I/We hereby certify that the hardware and the software being offered as part of the contract does not contain any kind of malicious code that would activate procedures to:-

- a) Inhibit the desired and the designed function of the equipment.
- b) Cause physical damage to the user or his equipment during the operational exploitation of the equipment.
- c) Tap information regarding network, network users and information stored on the network that is classified and / or relating to National Security, thereby contravening Official Secrets Act 1923.

2. There are no Trojans, Viruses, and Worms, Spywares or any malicious software on the system and in the software developed.

3. Without prejudice to any other rights and remedies available to MMTC, we are liable in case of physical damage, loss of information and those relating to copyright and Intellectual Property rights (IPRs), caused due to activation of any such malicious code in embedded / shipped software .

Yours faithfully,

On behalf of *[System Integrator's Name]*

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Form B.22: Undertaking on Personnel**

---

(Company letterhead)

[Date]

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

**Sub: Undertaking on Personnel**

Dear Sir,

1. I/We do hereby undertake that those persons whose profiles were part of the basis for evaluation of the bids and have been identified as "Key Personnel" of the proposed team, including Project Director, Project Manager, Technical/Solution Architects, Network/Database Expert, Business Analyst, and Domain Expert for the design and development and implementation of ERP system and shall be deployed during the Project as per our bid submitted in response to the RFP.
2. I/we undertake that all the resources proposed for deployment on the Project at MMTC site are Indian Citizens as per the Citizen Act and we are open for verification and security clearance of the above resources by MMTC.
3. We undertake that any of the identified "Key Personnel" shall not be removed or replaced without the prior written consent of MMTC.
4. Under exceptional circumstances, if the Key Personnel are to be replaced or removed, we shall put forward the profiles of personnel being proposed as replacements, which will be either equivalent or better than the ones being replaced. However, whether these profiles are better or equivalent to the ones being replaced will be decided by MMTC. MMTC will have the right to accept or reject these substitute profiles.
5. We also undertake to staff the Project with competent team members in case any of the proposed team members leave the Project either due to voluntary severance or disciplinary actions against them.
6. We acknowledge that MMTC has the right to seek the replacement of any member of the Project team being deployed by us, based on the assessment of MMTC that the person in question is incompetent to carry out the tasks expected of him/her or found that person does not really possess the skills /experience/qualifications as projected in his/her profile or on the ground of security concerns or breach of ethics.
7. In case we assign or reassign any of the team members, we shall be responsible, at our expense, for transferring all appropriate knowledge from personnel being replaced to their replacements within a reasonable time.

Yours faithfully,

On behalf of *[System Integrator's Name]*

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Form B.23: Commitment on latest software delivery**

---

(Company letter head)

[Date]

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi – 110003

Dear Sir,

I/We do hereby confirm to deliver the latest versions of the software as available on the date of delivery on mutually agreed terms, that addresses the requirements of MMTC, pursuant to the Request for Proposal (RFP) document relating to providing of the ERP Application and associated software components, Implementation, training and maintenance services, Information Technology Infrastructure and System Integration services to MMTC at the same cost committed in the Price proposal.

Yours faithfully,

On behalf of *[System Integrator's Name]*

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Form B.24: Undertaking on no Government restrictions from ERP OEM**

---

(To be submitted on the Letterhead of the ERP OEM)

(Place)

(Date)

To ,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Dear Sir,

We confirm that there are no Government restrictions or limitations in the country of the supplier or countries from which subcomponents are being procured and/or for the export of any part of the system being supplied.

We shall ensure that there is completion of the supplies and uninterrupted use of the system by MMTC and persons authorized by MMTC, irrespective of any such restrictions. Without prejudice to the foregoing, we undertake and agree to indemnify and hold MMTC harmless against all claims, losses, damages, costs, expenses, proceeding fees of legal advisors (on a reimbursement basis) and fees of other professionals incurred (in the case of legal fees and fees of professionals, reasonably) by MMTC and/or its representatives, arising directly out of any such restrictions.

We would also like to confirm that we are committed to allow and support MMTC to use COTS product notwithstanding any of the OEM country's regulations, restrictions, and sanctions against MMTC.

Dated this \_\_\_ day of \_\_\_ 201\_

On behalf of [*ERP OEM's Name*]

Authorized Signature [In full and initials]

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of ERP solution OEM



---

**Form B.25: Integrity pact**

---

**INTEGRITY PACT**

Between

MMTC Limited hereinafter, referred to as “MMTC”,

And

..... hereinafter referred to as “The Buyer/Vendor/Bidder”

**Preamble**

WHEREAS, MMTC is an international trading company dealing in export/import/sale/purchase of various commodities;

WHEREAS, MMTC values full compliance with all relevant laws of the land, rules, regulations and the principles of economic use of resources and of fairness / transparency in its relation with its Buyer/Vendor/Bidder. IN PURSUANCE, thereto, the following clauses of the Integrity Pact will be applicable and this document shall deem to be an integral part of the Agreement/Contract between us.

In order to achieve the goals, MMTC may appoint an Independent External Monitor (IEM), who will monitor the tender/auction/e-auction/e-sale/sale/purchase process and the execution of the contract for compliance with the principles mentioned above.

**Section 1 – Commitments of MMTC**

1. MMTC commits itself to take all necessary measures to prevent corruption and to observe the following principles:
  - a) No employee of MMTC, personally or through family members, will in connection with the tender for, or the execution of a contract, demand, take a promise for or accept, for himself/herself or third person, any material or non-material benefit which he/she is not legally entitled to.
  - b) MMTC will, during the tender/auction/e-auction/e-sale/sale/purchase process, provide to all Buyer(s)/Vendor(s)/Bidder(s) the same information and will not provide to any Buyer/Vendor/Bidder any confidential/additional information through which the Buyer/Vendor/Bidder could obtain an advantage in relation to the tender/auction/e-auction/e-sale/sale/purchase process or the contract execution.
  - c) MMTC will exclude from the process all known prejudiced persons.

2. If MMTC obtains information on the conduct of any of its employees which is a criminal offence under the relevant Anti-Corruption Laws of India, or if there be a substantive suspicion in this regard, MMTC will inform its Chief Vigilance Officer and in addition can initiate disciplinary action.

### **Section 2 – Commitments of the Buyer(s)/Vendor(s)/Bidder(s)**

1. The Buyer(s)/Vendor(s)/Bidder(s) commits himself to take all measured necessary to prevent corruption. He commits himself to observe the following principles during his participation in the tender/auction/e-auction/e-sale/sale/purchase process and during the contract execution.
  - a) The Buyer(s)/Vendor(s)/Bidder(s) will not, directly or through any other person or firm, offer, promise or give to any of MMTC's employees involved in the tender/auction/e-auction/e-sale/sale/purchase process or the execution of the contract or to any third person any material or non-material benefit which he/she is not legally entitled to, in order to obtain in exchange any advantage of any kind whatsoever during the tender process or during the execution of the contract.
  - b) The Buyer(s)/Vendor(s)/Bidder(s) will not enter with other Buyer(s) into any illegal agreement or understanding, whether formal or informal. This applies in particular to prices, specifications, certifications, subsidiary contracts, submission or non-submission of bids or any other actions to restrict competitiveness or to introduce cartelization in the bidding process.
  - c) The Buyer(s)/Vendor(s)/Bidder(s) will not commit any criminal offence under the relevant Anti-Corruption Laws of India; further the Buyer(s) /Vendor(s)/Bidder(s) will not use improperly, for purposes of competition or personal gain, or pass on to others, any information or document provided by MMTC as part of the business relationship regarding proposals, plans, business details including information contained or transmitted electronically.
  - d) The Buyer(s)/Vendor(s)/Bidder(s) of foreign origin shall disclose the name and address of the Agents/representatives in India, if any. Similarly the Buyer(s)/Vendor(s)/Bidder(s) of Indian Nationality shall furnish the name and address of the foreign principals, if any. Further, all the payments made to the Indian agents/representative have to be in Indian Rupees only.
  - e) The Buyer(s)/Vendor(s)/Bidder(s) will, when presenting his bid, disclose any and all payments he has made, is committed to or intends to make to agents, brokers or any other intermediaries in connection with the award of the Contract.
2. The Buyer(s)/Vendor(s)/Bidder(s) will not instigate third persons to commit offences outlined above or be necessary to such offences.

### **Section 3 – Disqualification from tender process and exclusion from future contracts.**

If the Buyer(s)/Vendor(s)/Bidder(s), before award of contract, has committed a serious transgression through a violation of Section 2 above or in any other form such as to put his reliability or credibility as buyer/vendor/bidder into question, MMTC is entitled to disqualify the Buyer(s)/Vendor(s)/Bidder(s) from the tender/auction/e-auction/e-sale/sale/purchase process or to terminate the contract, if already signed, for such reason.

- a) If the Buyer(s)/Vendor(s)/Bidder(s) has committed a serious transgression through a violation of Section 2 above or in any other form such as to put his reliability or credibility as buyer/vendor/bidder into question, MMTC is entitled to also exclude the Buyer(s)/Vendor(s)/Bidder(s) from the future contract award processes. The imposition and duration of the exclusion will be determined by the severity of the transgression. The severity will be determined by the circumstances of the case, in particular the number of transgression, the position of the transgressors within the company, hierarchy of the buyer and the amount of the damage. The exclusion will be imposed for a minimum of 6 months and maximum of 3 years.
- b) If the Buyer(s) /Vendor(s)/Bidder(s) can prove that he has restored/recouped the damage caused by him and has installed a suitable corruption prevention system, MMTC may at its sole discretion revoke the exclusion prematurely.
- c) A transgression is considered to have occurred if in light of available evidence no reasonable doubt is possible.

#### **Section 4 – Compensation for Damages**

1. If MMTC has disqualified the Buyer(s) from the tender/auction/e-auction/e-sale/sale/purchase process prior to the award according to Section 3, MMTC is entitled to demand and recover the damages equivalent to Earnest Money Deposit/Bid Security.
2. If MMTC has terminated the contract according to Section 3, or if MMTC is entitled to terminate the contract according to Section 3, MMTC shall be entitled to demand and recover from the Vendor liquidated damages equivalent to 5% of the Contract value or the amount equivalent to Performance Bank Guarantee whichever is higher.
3. If the Buyer(s) /Vendor(s)/Bidder(s) can prove that the exclusion of the Buyer(s) /Vendor(s)/Bidder(s) from the tender/auction/e-auction/e-sale/sale/purchase process or the termination of the contract after the contract award has caused no damage or less damage than the amount of liquidated damages, the Buyer(s) /Vendor(s)/Bidder(s) may compensate only the damage in the amount proved. If MMTC can prove that the amount of the damage caused by the disqualification of the Buyer(s)/Vendor(s)/Bidder(s) before Contract Award or the termination of the Contract after the Contract Award is higher than the amount of the liquidated damages, it is entitled to claim compensation for the higher amount of the damages.

#### **Section 5 – Previous transgression**

1. The Buyer(s)/Vendor(s)/Bidder(s) to declare that no previous transgressions occurred in the last 3 years with any other Company in any country conforming to the anti-corruption approach or with any other Public Sector Enterprise in India that could justify his exclusion from the tender process.
2. If the Bidder makes incorrect statement on this subject, he can be disqualified from the tender process or the contract, if already awarded and can be terminated for such reason.

**Section 6 – Equal treatment of all Buyer(s) /Vendor(s)/Bidder(s)**

1. MMTC will enter into agreements with identical conditions as this one with all Buyer(s) /Vendor(s)/Bidder(s) without any exception.
2. MMTC will disqualify from the tender process all Buyer(s)/Vendor(s)/Bidder(s) who do not sign this Pact or violate its provisions.

**Section 7 – Criminal charges against violating Buyer(s)/Vendor(s)/Bidder(s)**

If MMTC obtains knowledge of conduct of Buyer(s)/Vendor(s)/Bidder(s) or of an employee or a representative or an associate of Buyer(s)/Vendor(s)/Bidder(s), which constitutes corruption, or if MMTC has substantive suspicion in this regard, MMTC will inform the same to its Chief Vigilance Officer and/or appropriate Govt. authorities such as CBI.

**Section 8 – Independent External Monitor(s)**

1. MMTC appoints competent and credible Independent External Monitor (IEM) for this Pact. The task of the IEM is to review independently and objectively, whether and to what extent the parties comply with the obligations under this agreement.
2. The IEM is not subject to instructions by the representatives of the parties and performs his functions neutrally and independently. He reports to the CMD, MMTC.
3. The IEM has the right to access without restriction to all trade/project related documentation of MMTC. The Buyer(s)/Vendor(s)/Bidder(s) will also grant the IEM, upon his request and demonstration of a valid interest, unrestricted and unconditional access to his trade/project documentation. The IEM is under contractual obligation to treat the information and documents of the Buyer(s)/Vendor(s)/Bidder(s) with confidentiality.
4. MMTC will provide the IEM sufficient information about all meetings among the parties related to the project/contract provided as meetings could have an impact on the contractual relations between MMTC and the vendor. The parties offer to the IEM the option to participate in such meetings.

5. As soon as the IEM notices, or believes to notice, a violation of this agreement, he will so inform the Management of MMTC and request the Management to discontinue or take corrective action, or to take other relevant action. The IEM can in this regard submit NON-BINDING RECOMMENDATIONS. Beyond this, the IEM has not right to demand from the parties that they act in a specific manner, refrain from action or tolerate action.
6. The IEM will submit a written report to the CMD, MMTC within 4 to 6 weeks from the date of reference or intimation to him by MMTC and, should the occasion arise, submit proposals for correcting problematic situations.
7. If the IEM has reported to the CMD, MMTC, a substantiated suspicion of an offence under relevant Anti-Corruption Laws of India, and the CMD, MMTC, has not, within the reasonable time taken visible action to proceed against such offence or reported it to its Chief Vigilance Officer, the IEM may also transmit this information directly to the Central Vigilance Commissioner, Govt. of India.
8. The word "IEM" would include both singular and plural.

#### **Section 9 – Pact Duration**

1. This Pact begins when both parties have legally signed it. It expires for the Vendor 12 months after the last payment under the contract, and for all other Bidders, 6 months after the Contract has been awarded.
2. If any claim is made/lodged during this time, the same shall be binding and continue to be valid despite the lapse of this pact as specified above, unless it is discharged/determined by CMD, MMTC.

#### **Section 10 – Other provisions**

1. This agreement is subject to Indian Law, Place of performance and jurisdiction is the Registered Office of MMTC, i.e. New Delhi.
2. Changes and supplements as well as termination notices need to be made in writing. Side agreements have not been made.
3. If the Vendor is a partnership or a consortium, this agreement must be signed by all partners or consortium members.
4. Should one or several provisions of this agreement turn out to be invalid, the remainder of this agreement remains valid. In this case, the parties will strive to come to an agreement to their original intentions.

.....

.....

(For & on behalf of MMTC)  
(Office Seal)

(For & on behalf of Bidder)  
(Office Seal)

Place : .....

Date : .....

Witness 1 : .....

Name :

Address :

Witness 2 : .....

Name :

Address :

**Note:** The bidder are advised to communicate with the Independent External Monitors (IEMs) only in case of complaints relating to integrity pact. The details are as follows:-

Shri. Bijoy Chatterjee

[bijoychat@gmail.com](mailto:bijoychat@gmail.com)

Shri. D.R.S. Chaudhary

[dilip.chaudhary@icloud.com](mailto:dilip.chaudhary@icloud.com)

Form B.26: Commitment on latest Hardware delivery

---

(Company letter head)

[Date]

To,

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Area, Lodhi Road,

New Delhi - 110003

Dear Sir,

I/We do hereby confirm to deliver the latest make/versions of the hardware as available on the date of delivery on mutually agreed terms, that addresses the requirements of MMTC, pursuant to the Request for Proposal (RFP) document relating to providing of the ERP Application and associated hardware components, Implementation, training and maintenance services, Information Technology Infrastructure and System Integration services to MMTC at the same cost committed in the Price proposal.

Yours faithfully,

On behalf of *[System Integrator's Name]*

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Annexure - III - Technical evaluation scoring matrix & response forms**

---

**Form C.1: Technical Proposal Covering letter**

---

(Bidder Company letter head)

[Date]

To

General Manager (System)

MMTC LIMITED

Corporate Office

Core -1, "SCOPE COMPLEX"

7 Institutional Areas, Lodhi Road,

New Delhi - 110003

Dear Sir,

**Ref: Request for Proposal for implement ERP system at MMTC**

Having examined the bid document, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the services for implementation of ERP system at MMTC as required and outlined in the RFP.

We attach hereto the bid Technical response as required by the bid document, which constitutes our proposal.

We undertake, if our proposal is accepted, to provide all the services put forward in Volume 1 of this RFP or such features as may subsequently be mutually agreed between us and MMTC or its appointed representatives.

We agree for unconditional acceptance of all the terms and conditions set out in the bid document and also agree to abide by this bid response for a period of twelve (12) months from the date fixed for bid opening and it shall remain binding upon us with full force and virtue, until within this period a formal agreement is prepared and executed. This bid response, together with your written acceptance thereof in your notification of award, shall constitute a binding agreement between us and MMTC.

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





## Form C.2: Profile of Team

**Project Manager**

1. Name of the person	
2. Role in the Project	
3. Qualification	
4. Total number of years of experience	
5. Number of years with the current company (the bidder)	
6. Functional area / expertise	
7. Area of ERP certification	
8. Number of complete life cycle ERP implementations carried out (provide details)	
9. The names of customers for which the person was a Project Manager/Technical/Domain consultant (Please provide the relevant names)	
10. The functional areas /processes implemented under ERP	

**Note:** The name of the organization and the date shall appear in each page of such a document/email in the header or footer portion.

**Finance/Cost Accountancy/HR/Trading/Retail/ Consultant (Pl add a separate sheet for each resource)**

1. Name of the person	
2. Role in the Project	
3. Qualification	
4. Total number of years of experience	
5. Number of years with the current company (the bidder)	
6. Functional area / expertise	
7. Area of ERP certification	
8. Number of complete life cycle ERP implementations carried out (provide details)	
9. The names of the public sector customers for whom <module name> has been implemented (Please provide the relevant names)	
10. The functional areas /processes implemented under ERP	

**Note:** The name of the organization and the date shall appear in each page of such a document/email in the header or footer portion.

## Form C.3: Project Plan

**Project Plan**

No	Activity <sup>1</sup>	Months <sup>2</sup>												
		1	2	3	4	5	6	7	8	9	10	11	12	N
1														
2														
3														
4														
5														
N														

1. Indicate all main activities of the assignment. For phased assignments indicate activities, delivery of reports, and benchmarks separately for each phase.
2. Duration of activities shall be indicated in the form of a bar chart.

## Form C.4: Resource loading

Sl. No.	Name of Resource	Area of Expertise	Position Assigned	Task Assigned	Period
1.					
2.					
3.					
4.					
5.					

## Form C 5- Solution fitment

**Functional Requirements Response Matrix**

1. For each requirement provided in the Functional Requirements Specification in Annexure II of Volume I, the SI should respond with one of the following response parameters:-
  - (a) Standard: Product meets the requirement without the necessity for changing the source code.
  - (b) Work-around: Product meets the requirement through a work-around but without the need for changing the source code.
  - (c) Customization: Functionality needs to be developed by changing the source code to meet the requirement.
  - (d) Third Party Tool: The requirement can be met through add-on or bolt-on applications.
  - (e) Not Supported: The requirement cannot be met.

The ERP OEM should certify/validate on all the requirements for which the SI has indicated “Customization” for meeting the requirement.

	SI Response	OEM Response
Requirement 1	Standard/Work-around /Customization/Third Party Tool/Not Supported	
Requirement 2	Standard/Work-around /Customization/Third Party Tool/Not Supported	
Requirement 3	Standard/Work-around /Customization/Third Party Tool/Not Supported	
Requirement n	Standard/Work-around /Customization/Third Party Tool/Not Supported	
Total	Standard/Work-around /Customization/Third Party Tool/Not Supported	

## Form C.6: The ERP solution bill of material

Serial No.	Solution components	Unit of licensing	No of units proposed
	ERP		
	Database		
	Third party tools		
	-----		
	-----		

	Original Supplier	Item Description	Unit of Measurement	Number of Units
Software Licenses				
Core ERP Solution				
<<Please insert details as required>>				
Advanced ERP Modules				
<<Please insert details as required>>				
Database (if required)*				
<<Please insert details as required>>				
Operating System (if required)*				
<<Please insert details as required>>				
Other (Please insert other components as required)				

Form C.7 – Hardware bill of material based on hardware sizing document duly certified by ERP OEM

Serial No.	Details of hardware with specs	Unit of installation	No of units proposed



---

**Form C.8: The Bill of Services for Operations and Maintenance**

---

Serial No.	Service Name	Unit	No of units proposed

Form C.9: Team profile of O&M resources proposed for the engagement (Pl add a separate sheet for each person)

Name of the person	
Role	
Qualification	
Total number of years of experience	
Number of years with the current company (the bidder)	
Functional area / expertise	
Area of ERP certification	
The names of customers for which the person was a Project Manager/Technical/operations(Please provide the relevant names)	
The operational areas /processes	

### Form C.10: Suggestions in the draft contract

---

(To be submitted on the Letterhead of the Bidder)

(Place)

(Date)

To

<MMTC address with the position of the responsible person>

**Sub: Changes to the Contract Clauses – Request for Proposal for Implementation of ERP solution at MMTC.**

Sir,

We request you to consider the following changes to the Contract Clauses:

S No.	Reference	Page number	Original text	Suggested Change	Reason for change
1.					
2.					
3.					
4.					

Yours faithfully,

On behalf of *[System Integrator's Name]*

Authorized Signature [In full and initials]:

Name and Title of Signatory:

Name of Firm:

Address:

Seal/Stamp of System Integrator:

---

**Annexure - IV - Commercial proposal forms**

---

**Form D.1: Commercial proposal Covering letter**

---

[On letter head of the bidder's Company]

[Date]

To

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

Dear Sir,

Ref: RFP: Implementation of ERP system at MMTC

Having examined the Bid Document, the receipt of which is hereby duly acknowledged, we, the undersigned, offer to provide the implementation service for implementing the ERP system at MMTC to meet such requirements and to provide services as set out in the bid document following is our quotation summarizing our Commercial proposal.

We attach hereto the Commercial proposal as required by the Bid document, which constitutes our proposal.

We undertake, if our proposal is accepted, to provide all the services to implement the OEM solution as put forward in Volume 1 of the RFP or such modified requirements as may subsequently be mutually agreed between us and MMTC or its appointed representatives.

If our proposal is accepted, we will obtain a performance bank guarantee in the format given in the bid document issued by any Nationalized Banks or scheduled bank in India, acceptable to MMTC for a sum equivalent to 10% of the total agreement value for the due performance of the agreement.

We agree for unconditional acceptance of all the terms and conditions in the bid document and also agree to abide by this bid response for a period of TWELVE MONTHS from the date fixed for opening the Commercial bid and it shall remain binding upon us, until within this period a formal agreement is prepared and executed, this bid response, together with your written acceptance thereof in your notification of award, shall constitute a binding agreement between us.

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

We agree that you are not bound to accept the lowest or any bid response you may receive. We also agree that you reserve the right in absolute sense to reject all or any if the products/ service specified in the bid response without assigning any reason whatsoever.

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

Dated this                      Day of                      **2015**

(Signature)

(In the capacity of)

Duly authorized to sign the Bid Response for and on behalf of:

(Name and Address of Company)

Seal/Stamp of bidder

**CERTIFICATE AS TO AUTHORISED SIGNATORIES**

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

Signature for and on behalf of:

Name of the signatory

(Name and Address of Company)

Seal/Stamp of bidder

## Form D.2: Pricing Summary

Sl. No	Description	Form	Total Price	Taxes and Other Duties	Total Amount in INR	Total Amount in Words
1	ERP product user Licenses – including cost of ATS for initial twelve months	Form D.3	INR 0.00	INR 0.00	INR 0.00	
2	Audit and Quality Assurance Services from OEMs	Form D.4	INR 0.00	INR 0.00	INR 0.00	
3	Implementation, Integration, Customization and Testing	Form D.5	INR 0.00	INR 0.00	INR 0.00	
4	Software/Hardware Cost	Form D.6	INR 0.00	INR 0.00	INR 0.00	
5	Data Conversion and Migration	Form D.7	INR 0.00	INR 0.00	INR 0.00	
6	Training & Change Management	Form D.8	INR 0.00	INR 0.00	INR 0.00	
7	Cost of Stabilization Services	Form D.9	INR 0.00	INR 0.00	INR 0.00	
8	Other components	Form D.10	INR 0.00	INR 0.00	INR 0.00	
	Total Cost for Supply and System Integration Services		INR 0.00	INR 0.00	INR 0.00	
9	Operations and Maintenance Cost for 5 years	Form D.11	INR 0.00	INR 0.00	INR 0.00	
	Total Cost of Operations and Maintenance		INR 0.00	INR 0.00	INR 0.00	

<b>10</b>	Blended Person Month Cost (for implementing change requests beyond Go-Live ) for 50 person Man month	Form D.12	INR 0.00	INR 0.00	INR 0.00	
	Total Cost of Blended Person Month Cost		INR 0.00	INR 0.00	INR 0.00	
	<b>Sub Total</b>		<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>	
Total Cost (TC) of the Project *					<b>INR 0.00</b>	

*Note: Bidder is required to provide the details of taxes & duties considered along with the details*

*The commercial evaluation will be carried out which is exclusive of taxes however the bidder needs to fill the applicable taxes provided in the price bid format.*

## Form D.3: ERP product user licenses

Software Licenses including the cost of ATS for 12 months									
Sl.No	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
1	<b>Core ERP Solution</b>								
	Module 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module 2				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module 3				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module .....n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
2	<b>Advanced ERP Modules</b>								
	Module 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module 2				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module 3				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module .....n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
3	<b>Third Party Solutions</b>								
	Module 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module 2				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module 3				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Module .....n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
4	<b>Database</b>								



	Please insert details as required				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
5	<b>Operating System</b>									
	Please insert details as required				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
6	<b>Other Please insert other components as required)</b>				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	Others 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	Others 2				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
Total cost of Software licenses including 12 months ATS								<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words										

## Form D.4: Audit and Quality Assurance Services from OEMs

Audit and Quality Assurance Services from OEMs									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
1	<b>Audit and Quality Assurance Services</b>				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Please insert details as required								
Total Cost of Audit and Quality Assurance Services							<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words									

## Form D.5: Implementation, Integration, Customization and Testing

Implementation, Integration, Customization and Testing									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
1	<b>Implementation, Integration, Customization and Testing services</b>				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Please insert details as required								
Total Cost of Implementation, Integration, Customization and Testing							<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words									

## Form D.6: Software and Hardware Cost

Software and Hardware Cost									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
<b>1</b>	<b>List of Software</b>								
	Software 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Software ...n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
<b>2</b>	<b>List of Hardware</b>								
	Hardware 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Hardware...n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
Total Cost of Software and Hardware							<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words									

## Form D.7: Data Conversion and Migration Cost

Data Conversion and Migration								
Sl. No	Description	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I
1	<b>Data Conversion and Migration</b>			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Provide Details							
Total cost of Data Conversion and Migration						<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words								

## Form D.8: Training and Change Management

Training and Change Management								
Sl. No	Description	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I
<b>1</b>	<b>Training and Change Management</b>							
	Sensitization Workshop			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Management Dashboard Training			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	ERP Training for Champions			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Core Functional User Training			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Technical Administration Training			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Any other training proposed by SI							
	Other Training 1			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Other Training ...N			INR 0.00	0	INR 0.00	INR 0.00	INR 0.00

---

Total cost of Training and Change Management	<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words			

## Form D. 9: Service for Stabilization

Service for Stabilization									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
<b>1</b>	<b>List of Services</b>								
	Service 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Service ...n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
Total Cost of Services for stabilization							<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words									



## Form D.10: Other Components

Other Components									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
<b>1</b>	<b>List of Other Components</b>								
	Component 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Component..n				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
Total Cost of Other Components							<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words									

## Form D.11: Operations and Maintenance Cost

Operations and Maintenance Cost									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
<b>1</b>	<b>Support Services</b>								
	ATS				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	AMS				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Other services				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
<b>2</b>	<b>O&amp;M services</b>								
	O&M for 1st Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	O&M for 2nd Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00

	O&M for 3rd Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	O&M for 4th Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	O&M for 5th Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
<b>3</b>	<b>Other Services</b>									
	Service 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	Services .. N				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
Total Cost of O & M Services								<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words										

## Form D.12: Blended Person Month Cost

Blended Person Month Cost							
Sl. No.	Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	F	G	H	I	J
1	<b>Blended Person Month Cost</b>	Person Month	INR 0.00	50	INR 0.00	INR 0.00	INR 0.00
Total Cost of 50 Blended Person Months Cost					<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words							

Form D.13: Cost of operations and maintenance services for extendable to 3 (three) further terms of 2 (two) years each

Operations and Maintenance Cost									
Sl. No.	Description	Original Supplier	Item Description	Unit of Measurement	Price per Unit	Number of Units	Total Price	Taxes and Other Duties	Total Amount in INR
A	B	C	D	E	F	G	H	I	J
<b>1</b>	<b>Support Services</b>								
	ATS				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	AMS				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	Other services				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
<b>2</b>	<b>O&amp;M services</b>								
	O&M for 6 <sup>th</sup> Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00
	O&M for 7 <sup>th</sup> Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00

	O&M for 8 <sup>th</sup> Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	O&M for 9 <sup>th</sup> Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	O&M for 10 <sup>th</sup> Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	O&M for 11 <sup>th</sup> Year				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
<b>3</b>	<b>Other Services</b>									
	Service 1				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
	Services .. N				INR 0.00	0	INR 0.00	INR 0.00	INR 0.00	
Total Cost of O & M Services								<b>INR 0.00</b>	<b>INR 0.00</b>	<b>INR 0.00</b>
Total Amount in Words										

## Form E.1: Performance Bank Guarantee

### Performance Guarantee Performs. (Rs. 100 Non Judicial Paper)

No. \_\_\_\_\_

Date \_\_\_\_\_

To,  
MMTC Limited,  
Core-1, Scope Complex 7 Lodhi Road  
New Delhi -110003

WHEREAS \_\_\_\_\_, (supplier name & address) (here in after referred to as the Seller) have entered into a contract with M/s. MMTC Limited, Core-1. Scope Complex, New Delhi, (hereinafter called the "MMTC") bearing Contract No. \_\_\_\_\_ dated \_\_\_\_\_ for the supply of \_\_\_\_\_ (items) for a value of Rs. \_\_\_\_\_ (total purchase Order value) (Rupees \_\_\_\_\_ (in words) and whereas the Seller has agreed to supply the ERP System strictly as per the description. Specification and delivery schedule as mentioned in the aforesaid contract no. \_\_\_\_\_ dated \_\_\_\_\_.

AND WHEREAS the seller is required to furnish a bank guarantee of the value of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_) being 10% of the total value) for the due performance of the contract in favour of the said MMTC. We, \_\_\_\_\_ (name of the bank & address (hereinafter called the bank) do hereby irrevocably and unconditionally guarantee and undertake to pay to MMTC merely on demand in writing an amount not exceeding Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ (in words) without any demur, contestation, protest or reference to the seller or any other party if the seller fails to perform all or any of his obligations, or commit any breach of his obligation as described in the aforesaid contract. The decision of MMTC communicated in writing that the Seller has defaulted in performance of his obligations under the contract, shall be final and binding on us notwithstanding any contestation or protest by the seller. However, our Liability under this guarantee shall be restricted to an amount not exceeding Rs \_\_\_\_\_ (in words).

We, \_\_\_\_\_ (banker's name and address) further agree that, the guarantee here in contained shall remain irrevocable and continue in full force and effect up to \_\_\_\_\_ and that it shall continue to be enforceable till all the dues of MMTC under or by virtue of the said contract have been fully paid and its claims satisfied or discharged till MMTC certifies that the obligations

of the said contract have been fully and properly carried out by the seller and accordingly discharge the guarantee. MTC will have the right to file its claim under this contract for a further period of three months after the expiry of the validity of this guarantee.

We, \_\_\_\_\_ (bank name & address) further agree that MMTC shall have the fullest liberty without our consent and without affecting in any manner our obligations herein to vary any of the terms and conditions of the said contract, or to extend time of performance by the seller from time to time or postpone for any time or from time to time any of the powers exercisable by MMTC against the seller and forbear or enforce any of the terms and conditions relating to the said contract and we shall not be relieved from our liability by reasons of any such variations or extensions being granted to the seller or for any forbearance, act of omission on the part of MMTC or any indulgence by MMTC to the seller, or by any letter or thing whatsoever, which under the law relating to the sureties would, but for this provision have the effect of so relieving us.

We, \_\_\_\_\_ (bank name & address) also undertake not to revoke the guarantee during its currency except with the previous consent of MMTC in writing. We, \_\_\_\_\_ (bank name & address) hereby undertake and guarantee to pay any money so demanded notwithstanding any dispute(s) raised by the said seller in any suite or proceeding pending before any court or tribunal relating there to. Our liability under this premises being absolute and unequivocal. The payment so made by us under this guarantee shall be a valid discharge of our liability for payment thereunder and that the said Seller has no claim against us for making such payment.

Our liability under this guarantee is restricted to an amount of Rs. \_\_\_\_\_ (10% of PO value) (Rupees \_\_\_\_\_ (in words)). The guarantee shall remain valid up to unless a demand or claim under this guarantee is made on us in writing within three months thereafter. We shall be discharged from all liabilities under this guarantee thereafter. We further agree that this guarantee will not be affected in any manner whatsoever due to any change in the constitution of the Seller or the bank. We lastly undertake not to revoke this guarantee during its currency except with the previous consent in writing from MMTC,

Witness: 1. \_\_\_\_\_  
2. \_\_\_\_\_

(Authorized Signatory)  
(Signed with stamp & seal, of the bank)



**Annexure – V- E-tendering guidelines**

---

The Bidders are required to submit their bids (documents as mentioned in the tender notification table) through e-tendering portal of MMTC i.e. through <https://mmtc.eproc.in>. The file size should not exceed 10 MB. The bidder should possess class III digital signature for bidding purpose.

**Any Clarification regarding online participation, Bidders may please refer to the FAQ's / Help line provided in the portal.**

**Annexure –VI- All Mandatory Undertakings**

Criteria	Form Number	Compliance (Yes/No)	Page no (of bidder's proposal)
<b>Bid Formats</b>			
1.	A1		
2.	A2		
3.	A3		
<b>Pre-Qualification</b>			
1.	B.1		
2.	B.2		
3.	B.3		
4.	B.4		
5.	B.5		
6.	B.6		
7.	B.7		
8.	B.8		
9.	B.9		
10.	B.11		
11.	B.12		
12.	B.13		
13.	B.14		
14.	B.15		
<b>Mandatory Requirements</b>			
1.	B.16		
2.	B.17		
3.	B.18		
4.	B.19		
5.	B.20		
6.	B.21		
7.	B.22		
8.	B.23		
9.	B.24		

<b>10.</b>	B.25		
<b>11.</b>	B.26		

***End of Volume II***

# Request for Proposal for implementation of Enterprise Resource Planning System at MMTC Limited

Tender Reference No: MMTC/CO/COMP/ERP/RFP/2015-16/1 dated 29.10.2015  
Volume III Master Service Agreement and Service Level Agreement



**A Govt. of India Enterprise**

(Core-1, SCOPE Complex, 7, Institutional Area, Lodi Road)

New Delhi – 110 003 (India)

---

## Disclaimer

---

This Request for Proposal (**RFP**) for Selection of ERP product and its implementation partner is issued by MMTC Limited (referred in the document as MMTC) which is under the administrative control of Ministry of Commerce, Government of India.

Whilst the information in this RFP has been prepared in good faith, it is not and does not purport to be comprehensive or to have been independently verified. Neither MMTC, nor its employees, nor any of their advisers nor consultants accept any liability or responsibility for the accuracy, reasonableness or completeness of the information contained in the RFP, or for any errors, omissions or misstatements, negligence or otherwise, relating to the proposed ERP Project, or makes any representation or warranty, express or implied, with respect to the information contained in this RFP or on which this RFP is based or with respect to any written or oral information made or to be made available to any of the recipients or their professional advisers and, so far as permitted by law and except in the case of fraudulent misrepresentation by the party concerned, and liability therefore is hereby expressly disclaimed.

The information contained in this RFP is selective and is subject to updating, expansion, revision and amendment at the sole discretion of MMTC. It does not, and does not purport to, contain all the information that a recipient may require for the purposes for making a decision for participation in this process. Each Party must conduct its own analysis of the information contained in this RFP, to correct any inaccuracies therein and is advised to carry out its own investigation into the proposed ERP Project, the regulatory regime which applies thereto and by and all matters pertinent to this Project and to seek its own professional advice on the legal, financial and regulatory consequences of entering into any agreement or arrangement relating to this Project. MMTC shall not be responsible for any direct or indirect loss or damage arising out of or for use of any content of the RFP in any manner whatsoever.

This RFP includes certain statements, projections, targets and forecasts with respect to the Project. Such statements, projections, targets and forecasts reflect various assumptions made by the management, officers, employees, consultants, and experts of MMTC, which (the assumptions and the base information on which they are made) may or may not prove to be correct. No representation or warranty is given as to the reasonableness of forecasts or the assumptions on which they may be based and nothing in this RFP is, or should be relied on as, a promise, representation or warranty.

MMTC shall be the sole and final authority with respect to qualifying a bidder through this RFP. The decision of MMTC in selecting the System Integrator (SI) who qualifies through this RFP shall

be final and MMTC reserves the right to reject any or all the bids without assigning any reason thereof.

MMTC may terminate the RFP process at any time without assigning any reason and upon such termination, MMTC shall not be responsible for any direct or indirect loss or damage arising out of such a termination.

## Table of Contents

1.	Master Services Agreement .....	7
1.1.	Definitions and Interpretation .....	8
1.1.1.	Definitions.....	8
1.1.2.	Interpretation .....	8
2.	Scope of Work .....	10
3.	Term and Duration of the Agreement.....	10
4.	Obligations under Service Level Agreement (SLA) .....	10
5.	Change of Control.....	11
6.	Roles and Responsibilities of SI .....	12
7.	Representations and Warranties .....	12
7.1.	Representations and warranties of the SI .....	12
7.2.	Representations and warranties of MMTC .....	14
8.	Obligations.....	14
8.1.	Obligations of MMTC.....	14
8.2.	Obligations of the SI .....	15
9.	Approvals and Required Consents .....	15
10.	Use of Assets by the SI .....	16
11.	Access to MMTC Locations.....	17
12.	Implementation Phase .....	17
12.1.	Governance .....	17
12.2.	Security and Safety.....	17
12.3.	Cooperation.....	18
13.	Financial Matters.....	18
13.1.	Terms of Payment .....	18
13.2.	Invoicing and Settlement.....	19
13.3.	Liquidated Damages / Penalties.....	20
14.	Termination .....	21
14.1.	Termination for breach etc.: .....	21
14.2.	Termination on other grounds:.....	21
14.3.	Termination for Convenience by MMTC .....	22
14.4.	Obligations during the termination period .....	22
14.5.	Effects / Consequences of termination .....	22
15.	Indemnification & Limitation of Liability.....	23
16.	Force Majeure .....	25

17. Confidentiality .....	26
18. Audit, Access and Reporting.....	27
19. Intellectual Property Rights.....	27
20. Product/service Warranty .....	29
20.1. Standard .....	29
21. Insurance Cover.....	30
21.1. Obligation to maintain insurance.....	30
21.2. Non-compliance .....	30
22. Miscellaneous.....	30
22.1. Assignment.....	30
22.2. Notices.....	31
22.3. Variations / Amendment and Further Assurance .....	32
22.4. Severability and Waiver.....	32
22.5. Compliance with Applicable Law.....	32
22.6. Professional Fees.....	32
22.7. Ethics .....	33
22.8. Entire Agreement .....	33
22.9. Independent Parties .....	33
23. Governing Law and Dispute Resolution .....	33
1. Schedule – I – Definitions .....	36
2. Schedule – II – Change Request Schedule.....	39
3. Schedule – III - Exit Management Schedule .....	41
3.1. Purpose.....	41
3.2. Transfer of Assets.....	41
3.3. Cooperation and Provision of Information .....	42
3.4. Confidential Information, Security and Data.....	42
3.5. Transfer of Certain Agreements.....	42
3.6. Rights of Access to Premises .....	43
3.7. General Obligations of the SI.....	43
3.8. Exit Management Plan .....	43
4. Schedule – IV - Audit, Access and Reporting.....	44
4.1. Purpose.....	44
4.2. Audit Notice and Timing.....	44
4.3. Audit Rights .....	44
4.4. Reporting.....	45



4.5.	Action and Review .....	45
5.	Schedule – V - Governance Schedule .....	45
5.1.	Purpose.....	45
5.2.	Governance Structure .....	46
5.3.	Governance procedures .....	47
6.	Schedule – VI - Terms of Payment Schedule .....	48
7.	Annexure – A – Format for Change Request Notice .....	50
8.	Annexure – B - List of Services Provided By the SI .....	52
9.	Annexure – C - Bid .....	52
10.	Non-Disclosure Agreement .....	53
10.1.	Definitions .....	54
10.2.	Confidential Information and Protection .....	54
10.3.	The Undertakings in Clause 2 shall not apply to any Confidential Information which: .....	56
10.4.	No Commitments, Warranties or Solicitation .....	56
10.5.	Return of Confidential Information.....	57
10.6.	Indemnity; No Waiver; Specific Performance .....	57
10.7.	Relationship of Parties.....	58
10.8.	No Grant of Property Rights .....	58
10.9.	General Provisions.....	58
10.10.	Term and Termination.....	58
10.11.	Consequences of Termination.....	59
10.12.	Governing Law .....	59
10.13.	Entire Agreement .....	59
10.14.	Dispute Resolution .....	59
10.15.	Severability .....	59
10.16.	Notices.....	60
11.	Service Level Agreement .....	61
11.1.	Definitions and Interpretations.....	62
11.2.	Commencement and Duration of SLA.....	63
11.3.	Priority of agreements.....	63
11.4.	Terms of Payment .....	63
11.5.	Annexure A.....	65
	<i>Introduction.....</i>	<i>65</i>
	<i>Definitions .....</i>	<i>65</i>
	<i>Measurement and Monitoring .....</i>	<i>66</i>
	<i>Annual Reviews .....</i>	<i>67</i>

<i>Penalties</i> .....	67
<i>Availability &amp; Performance Report</i> .....	67
<i>Service levels Description</i> .....	67

## 1. Master Services Agreement

---

This Agreement together with all its Schedules/Appendices (hereinafter referred to as the “**Agreement**”, as defined hereinafter) is made and signed at New Delhi on the \_\_\_\_\_ day of \_\_\_\_\_ 2015.

**Between,**

**MMTC Limited**, a Government of India Enterprise, having its registered office at **Core -1, "SCOPE COMPLEX, 7 Institutional Area, Lodhi Road, New Delhi – 110003**, (hereinafter referred as “**MMTC**” which expression shall unless repugnant to the context or meaning thereof, shall mean and include its successor-in-office and assigns) represented through Shri. [●please insert], [●please insert designation], who is duly authorized to execute this Agreement, being the Party of the First Part.

**AND**

< Company name with address \*\*\*>, a company incorporated under the Companies Act, 1956, having its registered office at <\*\*\*> and having its place of business at [●please insert] (hereinafter referred as “**SI**” which expression shall unless repugnant to the context or meaning thereof, shall mean and include its successor-in-office and assigns) represented through Shri. [●please insert], [●please insert designation], who is duly authorized vide a board resolution dated [●please insert date] passed by its Board of Directors to execute this Agreement, being the Party of the Second Part.

(The MMTC and the SI are collectively referred to as the ‘**Parties**’ and individually as a ‘**Party**’)

**WHEREAS**

- a) MMTC is desirous to implement the project for supply, installation, implementation, operation & maintenance of ERP System on a turnkey basis for its corporate office, Regional office and other locations (hereinafter referred to as “**Project**”, defined hereinafter).
- b) In furtherance of the same, MMTC undertook the selection of a suitable SI through a competitive bidding process for implementing the Project and in this behalf issued Request for Proposal (RFP) dated 29.10.2015.
- c) The SI has been selected as the successful bidder, to undertake and implement the Project as mentioned in the RFP and desired service levels, on the basis of its proposal dated [●please insert date] submitted by the SI.

- d) The SI having represented to MMTC that it possesses and has the required professional skills, personnel and technical resources to deliver the Services and have offered to provide the Services, on the terms and conditions set forth in this Agreement.
- e) The MMTC has agreed to accord the SI, the mandate to undertake and implement the Project in order to achieve the defined objectives and scope of work mentioned in RFP and SI in pursuance of its Proposal undertakes to implement the Project on the terms and conditions set forth below.

**NOW THEREFORE**, in consideration of the mutual covenants, promises, assurances, representations and provisions set forth herein, the Parties hereto agree as follows:

## 1.1. Definitions and Interpretation

---

### 1.1.1. Definitions

---

The RFP and all other documents related to the RFP prior to the Agreement executed will prevail. The Agreement include agreed Scope, Schedule and the SLA . Terms and expressions used in this Agreement (including the Introduction) shall have the meanings as set out in Schedule I.

### 1.1.2. Interpretation

---

In this Agreement, unless otherwise specified:

- a) references to Clauses, Sub-Clauses, Paragraphs, Schedules and Annexures are to clauses, sub-clauses, paragraphs, schedules and annexures to this Agreement;
- b) use of any gender includes the other genders and the words importing the singular shall include plural and vice versa;
- c) any reference to a 'day' shall, unless otherwise specified herein, mean a calendar day;
- d) a reference to any other document referred to in this Agreement is a reference to that other document as amended, varied, novated or supplemented at any time;
- e) All headings and titles are inserted for convenience only. They are to be ignored in the interpretation of this Agreement.
- f) The Recitals contained herein form an integral part of this Agreement.
- g) Ambiguity and Discrepancy: In case of ambiguities or discrepancies within the Agreement, the following shall apply:
  - i. Between Articles of the RFP and Schedules, the latter shall prevail;
  - ii. Between RFP and corrigendum and between two corrigendum, the latest shall prevail;
  - iii. Between the proposal of SI and the RFP, the RFP shall prevail;

- iv. Between two Articles of the Agreement, the provisions of specific clause relevant to the issue under consideration shall prevail over those in a general clause;
- v. Between any value written in numerals and that in words, the latter shall prevail.

## 2. Scope of Work

---

- 2.1. The SI shall be required to provide the Services of supply, installation, implementation, stabilization and operation & maintenance of ERP System as per the scope defined in the RFP for the Term (as defined hereinafter), on the terms and conditions set out below.
- 2.2. The SI shall provide the Services and/or Deliverables to MMTC as per the technical specification and requirements as set out in the SLA and RFP. The provision of Services to MMTC with certainty and speed as detailed in SLA and/or RFP is the essence of the Agreement between the Parties.
- 2.3. In addition to the deliverables, report and recommendation as set out in SLA and RFP, the SI shall at no further cost, expense or fees, provide various reports as desired by MMTC from time to time. The SI understands, undertakes and agrees that all such data, report shall be used by MMTC and it shall never claim any sort of intellectual or other forms of rights in such data.
- 2.4. The SI shall perform the Services (a) in a good professional manner commensurate with the highest industry and technical standards which are in effect for such projects and innovations pursuant there on similar to those contemplated by the Agreement, (b) so as to comply with the applicable service levels/specifications as detailed SLA and/or RFP in accordance with the terms set out in this Agreement.

## 3. Term and Duration of the Agreement

---

- 3.1. This Agreement shall come into effect on <\*\*\*> 2015 (hereinafter the '**Effective Date**') and shall remain effective and in force for a period of 5 (five) years from the Final Go-Live Date unless terminated earlier in accordance with this Agreement (hereinafter referred to as "**Term**").
- 3.2. That after completion of the Term of the Agreement, MMTC at its sole discretion may renew this Agreement for 3 (three) further terms of 2 (two) years each. In the event, MMTC does not renew this Agreement; this Agreement shall stand expired at the end of the Term.

## 4. Obligations under Service Level Agreement (SLA)

---

- 4.1. The SLA shall be a separate contract executed between MMTC and SI along with this Agreement and shall, unless terminated earlier in accordance with its terms or unless

otherwise agreed by the Parties, expire on the date on which this Agreement expires or terminates for any reason.

- 4.2. The SLA shall operate as a legally binding services agreement specifying terms which apply to the provision of the Services by the SI to MMTC under this Agreement and the SLA. The Parties hereby expressly agree that for the purpose of giving full and proper effect to this Agreement, the Agreement and SLA shall be read together and construed harmoniously. In the event of any conflict between the Agreement and SLA, the provisions contained in the Agreement shall prevail over SLA.
- 4.3. In relation to any future SLA entered into between the Parties; each of the Parties shall observe and perform the obligations set out therein.

## **5. Change of Control**

---

- 5.1. In the event of a change of control of the SI during the Term, the SI shall promptly notify MMTC of the same in the format set out as Annexure A of this Agreement.
- 5.2. In the event that the net worth of the surviving entity is not less than that of the SI prior to the change of control, MMTC may within 30 days of becoming aware of such change in control, require a replacement of existing Performance Bank Guarantee furnished by the SI from a guarantor acceptable to MMTC. However, if the net worth of the surviving entity is less than that of the SI prior to the change of control, then MMTC has the right to terminate the Agreement by serving a thirty (30) days written notice to SI.
- 5.3. If such a guarantee is not furnished within 30 days of MMTC requiring the replacement, MMTC may exercise its right to terminate the SLA and/ or this Agreement within a further 30 days by written notice, to become effective as specified in such notice.
- 5.4. Pursuant to termination, the effects of termination as set out in Clause 14.2 of this Agreement shall follow.
- 5.5. For the avoidance of doubt, it is expressly clarified that the internal reorganization of the SI shall not be deemed an event of a change of control for purposes of this Clause unless the surviving entity is of less net worth than the predecessor entity.

## 6. Roles and Responsibilities of SI

---

### 6.1. Final testing and certification

The Project shall be governed by the mechanism of acceptance and testing of finished ERP system to be put into place by MMTC and SI as under:

- a) Acceptance and testing criteria will lay down a set of guidelines following internationally accepted norms and standards for acceptance and testing for all aspects of technical and functional specifications given in the RFP and this Agreement;
- b) Acceptance and testing criteria will be applicable on finished ERP system supplied. Final testing and certification criteria will be finalized from the configuration stage to ensure that the guidelines are being followed and to avoid large scale modifications pursuant to testing done after the ERP system is fully developed;
- c) Acceptance and testing criteria will establish appropriate processes for notifying the SI of any deviations from the norms, standards or guidelines at the earliest instance after taking cognizance of the same to enable the SI to take corrective action; etc.

6.2. Each Party shall ensure that the range of the Services under the SLA shall not be varied, reduced or increased except with the prior written agreement between MMTC and SI in accordance with the Change Control Schedule set out in Schedule II of this Agreement. Save for the express terms of the Terms of Payment Schedule set out as Schedule VI of this Agreement, MMTC and its users may purchase any particular category of Services that may become necessary as per the Change Request Schedule set out in Schedule II of this Agreement, without the need to go for a separate procurement process.

## 7. Representations and Warranties

---

### 7.1. Representations and warranties of the SI

---

The SI represents and warrants to MMTC that:

- a) It is duly organized and validly existing under the laws of India, and has full power and authority to execute and perform its obligations under this Agreement and other agreements and to carry out the transactions contemplated hereby;
- b) It possesses and has the required professional skills, personnel and technical resources to deliver the Services and have offered to provide the Services, on the terms and conditions set forth in this Agreement;
- c) It is a competent provider of a variety of IT services and it has taken all necessary corporate and other actions under laws applicable to its business to authorize the



- execution and delivery of this Agreement and to validly exercise its rights and perform its obligations under this Agreement;
- d) This Agreement is executed by a duly authorized representative of the SI.
  - e) From the Effective Date, it will have the financial standing and capacity to undertake the Project in accordance with the terms of this Agreement;
  - f) In providing the Services, it shall use reasonable endeavours not to cause any unnecessary disruption to MMTC's normal business operations;
  - g) This Agreement has been duly executed by it and constitutes a legal, valid and binding obligation, enforceable against it in accordance with the terms hereof, and its obligations under this Agreement shall be legally valid, binding and enforceable against it in accordance with the terms hereof;
  - h) The information furnished in the tender documents and as updated on or before the date of this Agreement is to the best of its knowledge and belief true and accurate in all material respects as at the date of this Agreement;
  - i) The execution, delivery and performance of this Agreement shall not conflict with, result in the breach of, constitute a default by any of the terms of its Memorandum and Articles of Association or any Applicable Laws or any covenant, contract, agreement, arrangement, understanding, decree or order to which it is a party or by which it or any of its properties or assets is bound or affected;
  - j) There are no material actions, suits, proceedings, or investigations pending or, to its knowledge, threatened against it at law or in equity before any court or before any other judicial, quasi-judicial or other authority, the outcome of which may result in the breach of this Agreement or which individually or in the aggregate may result in any material impairment of its ability to perform any of its material obligations under this Agreement;
  - k) It has no knowledge of any violation or default with respect to any order, writ, injunction or decree of any court or any legally binding order of any Government Instrumentality which may result in any Adverse Effect on its ability to perform its obligations under this Agreement and no fact or circumstance exists which may give rise to such proceedings that would adversely affect the performance of its obligations under this Agreement;
  - l) It has complied with Applicable Laws in all material respects and has not been subject to any fines, penalties, injunctive relief or any other civil or criminal liabilities which in the aggregate have or may have an Adverse Effect on its ability to perform its obligations under this Agreement;
  - m) No representation or warranty by it contained herein or in any other document furnished by it to MMTC, in relation to the Required Consents contains or shall contain

- any untrue or misleading statement of material fact or omits or shall omit to state a material fact necessary to make such representation or warranty not misleading;
- n) No sums, in cash or kind, have been paid or shall be paid, by it or on its behalf, to any person by way of fees, commission or otherwise for entering into this Agreement or for influencing or attempting to influence any officer or employee of MMTC in connection therewith.
  - o) It will discharge its obligations under this Agreement with due skill, care and proper diligence; and
  - p) All its rights and interests in the Project or the Project Assets that are to be transferred to MMTC, pursuant to this Agreement shall pass to and vest in MMTC on the last day of the Term free and clear of all liens, claims and encumbrances, without any further act or deed on its part or that of MMTC.

## 7.2. Representations and warranties of MMTC

---

MMTC represents and warrants to SI that:-

- a) It has full power and authority to execute, deliver and perform its obligations under this Agreement and to carry out the transactions contemplated herein and that it has taken all actions necessary to execute this Agreement, exercise its rights and perform its obligations, under this Agreement and carry out the transactions contemplated hereby.
- b) The execution, delivery and performance of this Agreement shall not conflict with, result in the breach of, constitute a default under, or accelerate performance required by any of the Applicable Laws or any covenant, contract, agreement, arrangement, understanding, decree or order to which it is a party or by which it or any of its properties or assets is bound or affected.
- c) Upon the SI performing the covenants herein, it shall not at any time during the Term hereof, interfere with peaceful exercise of the rights and discharge of the obligations by the SI, in accordance with this Agreement.

## 8. Obligations

---

### 8.1. Obligations of MMTC

---

Without prejudice to any other undertakings or obligations of MMTC under this Agreement, MMTC shall perform the following:

- a) To provide any support through personnel to test finished ERP system supplied;

- b) To provide any support through personnel and/or test data for any changes/enhancements in the system whenever required due to scope change that may arise due to business, delivery or statutory/regulatory reasons;
- c) MMTC shall provide the data (including in electronic form wherever available) to be migrated;
- d) To authorize the SI to interact for implementation of the Project with external entities such as the state treasury, authorized banks, trademark database etc. as required.

## 8.2. Obligations of the SI

---

Without prejudice to any other undertakings or obligations of the SI under this Agreement, the SI shall perform the following:

- a) It shall provide to MMTC, the Deliverables as set out in the SLA and/or RFP.
- b) It shall perform the Services as set out in Clause 2 of this Agreement and in a good and workmanlike manner commensurate with industry and technical standards which are generally in effect for international projects and innovations pursuant thereon similar to those contemplated by this Agreement, and so as to comply with the applicable Service Levels set out with this Agreement.
- c) It shall ensure that the Services are being provided as per the Project Timelines set out as Service levels as defined in the SLA / RFP.

## 9. Approvals and Required Consents

---

- a) The SI shall obtain all such consents, permissions, approvals, licenses, etc., as may be necessary or required for any of the purposes of this Agreement or for the conduct of its own business under any Applicable Law, Government regulation/guidelines and shall keep the same valid and in force during the Term and shall also promptly obtain all such future approvals and consents from various departments as may be required in future under any amendments in law or notifications issued by the Government (hereinafter the "Required Consents") necessary for the SI to provide the Services, and in the event of any failure or omission to do so, shall indemnify, keep indemnified, hold harmless, defend, protect and fully compensate MMTC from and against all claims or demands of liability and all consequences that may occur or arise for any default or failure on its part to conform or comply with the above and all other statutory obligations arising there-from. The costs of such Approvals shall be borne by the SI.
- b) MMTC shall use reasonable endeavours to assist SI to obtain the Required Consents or vice versa, depending on the scope of work defined in the RFP provided that the SI

shall not be relieved of its obligations to provide the Services and to achieve the Service Levels until the Required Consents are obtained.

## 10. Use of Assets by the SI

---

During the Term the SI shall:

- a) take all reasonable and proper care of the Assets in proportion to their use and control of such Assets;
- b) keep all the tangible Assets in as good and serviceable condition (reasonable wear and tear excepted) as at the date the SI takes control of and/or first uses the Assets and during the entire Term of the Agreement.
- c) ensure that any instructions or manuals supplied by the manufacturer of the Assets for use of the Assets and which are provided to the SI will be followed by the SI and/or any person on its behalf who will be responsible for the use of the Assets;
- d) take such steps as may be properly recommended by the manufacturer of the Assets and notified to the SI or as may, in the reasonable opinion of the SI, be necessary to use the Assets in a safe manner;
- e) All the manuals, drawings, details, functional and technical recommendations, study results, and any other outcomes of current engagement are considered as MMTC's proprietary. Upon completion of Term, SI shall forthwith return to MMTC all manuals, drawings, details, specifications, the schedules and other documents.
- f) ensure that the Assets that are under the control of the SI, are kept suitably housed and in conformity with Applicable Law;
- g) procure permission from MMTC and or any persons duly authorized by them to enter any land or premises on which the Assets are for the time being sited so as to inspect the same, subject to any reasonable third party requirements;
- h) not knowingly or negligently use or permit any of the Assets to be used in contravention of any statutory provisions or regulation or in any way contrary to Applicable Law;
- i) Use the Assets exclusively for the purpose of providing the Services as appropriate;
- j) Not sell, offer for sale, assign, mortgage, pledge, sub-let or lend out any of the Assets;
- k) Use the Project Assets only in accordance with the terms of this Agreement and those contained in SLA; and
- l) At its own cost and expense and without prejudice to its liability to indemnify MMTC, obtain and/ or maintain standard forms of comprehensive insurance policy including liability insurance, system and facility insurance and any other insurance for the personnel, Assets, data, software, etc. to be used for the Project. The SI shall deposit

the original policies with MMTC. All insurances covers mentioned above shall be kept alive during the Term of this Agreement.

## 11. Access to MMTC Locations

---

- 11.1. Subject to Clause 11.2 below, MMTC will provide to the SI's authorised personnel such access to the Premises as is necessary for the SI to perform the Services. For the purpose of this Clause SI's authorised personnel shall mean the employees / consultant of the SI who has been authorised in writing by the SI and carry proper ID card issued by the SI in this respect.
- 11.2. MMTC shall always have the right to refuse admittance to, or order the removal from its premises of any person employed by or acting on behalf of the SI who, in its opinion is not fit, or a proper person to be on the premises. The decision of MMTC refusing admittance shall be final and such action of MMTC shall however not relieve the SI of its obligations under the Agreement.
- 11.3. Access to locations, office equipment's and services shall be made available to the SI on an "as is, where is" basis by MMTC. The SI agrees to ensure that its employees, agents and contractors shall use the location, Services and equipment referred to in for only bonafide purposes and shall not misuse the facilities for any other activities, like the following:
- a) for the transmission of any material which is defamatory, offensive or abusive or of an obscene or menacing character; or
  - b) in a manner which constitutes a violation or infringement of the rights of any person, firm or company (including but not limited to rights of copyright or confidentiality) etc.

## 12. Implementation Phase

---

### 12.1. Governance

---

The review and management process of this Agreement shall be carried out in accordance with the Governance Schedule set out in Schedule V of this Agreement and shall cover all the management aspects of the Project.

### 12.2. Security and Safety

---

- a) The SI shall comply with the technical requirements of the relevant security, safety and other requirements specified in the regulations issued by Dept. of IT (wherever

- applicable), IT Security Manual of MMTC or as per best practices and standards prevalent in the industry and those stated in the RFP, in so far as it applies to the provision of the Services.
- b) Each Party to the SLA/Agreement shall also comply with MMTC's IT security standards and policies in force from time to time at each location of which MMTC make the SI aware in writing insofar as the same apply to the provision of the Services.
  - c) The Parties to the SLA/Agreement shall use reasonable endeavours to report forthwith in writing to each other all identified attempts (whether successful or not) by unauthorized persons (including unauthorized persons who are employees of any Party) either to gain access to or interfere with MMTC's data, facilities or Confidential Information.
  - d) The SI shall upon reasonable request by MMTC or its nominee(s) participate in regular meetings when safety and information technology security matters are reviewed.
  - e) As per the provisions of the SLA or this Agreement, the SI shall promptly report in writing to MMTC, any act or omission which they are aware that could have an adverse effect on the proper conduct of safety and information technology security at the facilities of MMTC at any of the Project locations.
  - f) The SI undertakes to meet the laid down security requirements/stipulations. All the matters related to the Agreement will be treated as classified and highly confidential and shall not be communicated to anybody (except for the purpose of this Agreement) or published/advertised without the consent of MMTC.

### 12.3. Cooperation

---

Except as otherwise provided elsewhere in this Agreement or the SLA, each Party to this Agreement or to the SLA undertakes promptly to provide the other Party with all such information and co-operation reasonably required without compromising confidentiality and security.

## 13. Financial Matters

---

### 13.1. Terms of Payment

---

- a) In consideration of the Services to be delivered by the SI and subject to the provisions of this Agreement and of the SLA, MMTC shall pay the SI for the Services rendered in pursuance of this Agreement, in accordance with the Terms of Payment Schedule set out as Schedule VI of this Agreement.

- b) The SI shall submit invoices along with supporting documents as per the payment milestones / service levels listed in SLA and / or Schedule VI of this Agreement. The payment for the undisputed raised invoice shall be payable within 30 (thirty) days from the date of receipt of the invoice. MMTC shall release the payment to SI only if SI is able to achieve the service levels / Payment milestones as specified in SLA. In case SI is unable to achieve the service levels within the specified time, MMTC shall be entitled to charge penalties and liquidated damages as provided for in this Agreement and the SLA.
- c) Save and except as otherwise provided for herein or as agreed between the Parties in writing, MMTC shall not be required to make any payments in respect of the Services other than those covered in Schedule VI of this Agreement. For the avoidance of doubt, it is expressly clarified that the payments shall be deemed to include all ancillary and incidental costs and charges arising in the course of delivery of the Services including consultancy charges, infrastructure costs, project costs, implementation and management charges and all other related costs notwithstanding the increase in prices of the material, labour, taxes, levies, etc. except for VAT and Service Tax.
- d) All payments to be made to SI in terms of this Agreement shall be subject to the deduction of tax at source (TDS), wherever applicable, as per provisions of the Income Tax Act, 1961 and MMTC shall provide SI with the TDS certificates for any such deductions.

### 13.2. Invoicing and Settlement

---

- a) Subject to the specific terms of the SLA, the SI shall submit its invoices in accordance with the following principles:
  - i. Invoice must be provided, showing all the necessary entries thereon to make it a valid invoice for tax purposes; and in particular it must show the amount of taxes charged separately. ; and
  - ii. In respect of the Assets which the SI will be procuring from outside Vendor, agency/OEM. SI will purchase the items in their name and in turn will raise VAT invoice on MMTC and will ensure that the proper guarantee/warranty on the Assets shall stand transferred to MMTC. Third party invoice will not be acceptable to MMTC.
  - iii. Invoices shall be accurate and all adjustments to or changes in the terms of payment as stated in Schedule VI of this Agreement shall be applied to the next payment invoice.

- iv. MMTC shall be entitled to delay or withhold payment of any invoice or part of it delivered by the SI under this Agreement where MMTC disputes such invoice or part of it provided that such dispute is bona fide. The withheld amount shall be limited to that which is in dispute. The disputed amount shall be settled in accordance with the escalation procedure as set out in Schedule V of this Agreement. Any exercise by MMTC under this Clause shall not entitle the SI to delay or withhold provision of the Services.
- v. The Parties shall cooperate to enable each Party to accurately determine its own tax liability and to minimize such liability to the extent legally permissible and acceptable to MMTC.

### 13.3. Liquidated Damages / Penalties

---

- a) If SI fails to complete/achieve the payment milestones/service levels as provided for in this Agreement and the SLA before the scheduled date or the extended date for various specified activities, MMTC, at its discretion, may without prejudice to any other right or remedy available to MMTC under the Agreement, deduct or recover from the System Integrator a sum of 0.5% of the contract value for every month of delay, in the form of Liquidated Damages and no further proof regarding loss would be required, subject to the maximum value of the Liquidated Damages being not higher than 10% of the total contract value to be made to SI in pursuant to this Agreement.
- b) In the event, the SI fails to meet the minimum service levels / project responsibilities including target performance metrics as stipulated in the SLAs or any damages caused by SI to the MMTC's properties, personnel, data etc., the SI shall be liable for penalty stipulated in the SLAs and MMTC shall deduct the amount of penalties related to the severity of violation, calculated as per SLA / RFP from the payments to be made to SI in pursuant to this Agreement.
- c) MMTC may without prejudice to its right to affect recovery by any other method, deduct the amount of liquidated damages/penalties from any money belonging to the SI in its hands or which may become due to the SI. Any such recovery or Liquidated Damages shall not in any way relieve the SI from any of its obligations to complete the works or from any other obligations and liabilities under this Agreement.
- d) MMTC shall without prejudice to its other rights and remedies, reserve the rights to invoke the entire Performance Bank Guarantee and even terminate the Agreement if SI fails to perform the responsibilities and obligations as set out in the RFPs.



---

## 14. Termination

---

### 14.1. Termination for breach etc.:

---

- a) **Material Breach:** In the event that the SI is in material breach of its obligations under this Agreement or the SLA or the RFP, MMTC may terminate this Agreement upon notice to the SI. Any notice served pursuant to this Clause shall give reasonable details of the material breach, which could include the following events:
  - i. If there is breach, which translates into default in providing Services by the SI pursuant to the Agreement continuously for more than one week, then MMTC, will serve a thirty days' notice to SI for curing such breach. In case the breach continues after the notice period, MMTC will have the option to terminate the Agreement at the end of the notice period.
  - ii. Because time is the essence of the Agreement, in case, for reasons prima facie attributable to the SI, if there is a delay of more than 6 weeks in the Project Implementation or Go-Live, MMTC may terminate this Agreement after affording a reasonable opportunity of being heard to the SI.

However, if the SI, having been notified, fails to remedy the defect(s) within the specified period in the Agreement, MMTC may proceed to take such reasonable remedial action as may be necessary, at the SI's risk and expense and without prejudice to any other rights.

### 14.2. Termination on other grounds:

---

14.2.1. Without prejudice to any other rights and remedies available to MMTC, MMTC may serve written notice on SI at any time to terminate this Agreement in the following events:

- a) With immediate effect, in the event the SI has merged, amalgamated such that the net worth of the surviving entity is less than that of SI prior to such merger or amalgamation.
- b) It is clarified that in case of events set out in Clause 5.2 and Clause 5.3, MMTC may, as instead of terminating the Agreement, at its sole discretion, require a full Performance Bank Guarantee of the obligations of the SI by a guarantor acceptable to MMTC. If such a Performance Bank Guarantee cannot be procured within 30 days of MMTC's demand therefore, MMTC shall terminate this Agreement in accordance with this Clause by giving 15 days further written notice to the SI.
- c) In the event of a reasonable apprehension of bankruptcy of the SI:

SI shall in the event of an apprehension of bankruptcy immediately inform MMTC well in advance (at least 3 months) about such a development. Conversely if MMTC apprehends a similar event regarding the SI, it can exercise the right of termination in the manner stated hereinabove.

#### 14.3. Termination for Convenience by MMTC

---

MMTC, may, by prior written notice of three (3) months to the SI terminate the Agreement, in whole or in part at any time for its convenience. The notice of termination shall specify that termination is for MMTC's convenience, the extent to which performance of work under the Agreement is terminated, and the date upon which such termination becomes effective. In such eventuality:

- a) MMTC shall take over the assets.
- b) SI is liable to get paid for all the payment due till date of termination.
- c) All expenses related to transfer of assets shall be borne by MMTC.

#### 14.4. Obligations during the termination period

---

During Termination Period, SI shall, subject to where applicable to the provisions of this Clause, continue to perform its obligations under this Agreement, failing which the SI shall compensate MMTC for any loss or damage occurred or suffered on account of the underlying failure/breach.

#### 14.5. Effects / Consequences of termination

---

In the event of termination or expiration of this Agreement:

- a) In the event that MMTC terminates this Agreement pursuant to failure on the part of the SI to comply with the terms of RFP / SLA or this Agreement and depending on the event of default, Performance Bank Guarantee furnished by SI may be forfeited.
- b) In the event that MMTC, terminates this Agreement pursuant to Clause 5.2 and 5.3, compensation will be decided in accordance with the Terms of Payment Schedule (Schedule VI of this Agreement) and Performance Bank Guarantee furnished by SI may be forfeited.
- c) Upon termination of this Agreement, the Parties will comply with the Exit Management Schedule set out as Schedule III of this Agreement.
- d) On termination of this Agreement for any reason, the SLA shall automatically terminate forthwith and MMTC will decide the appropriate course of action.

## 15. Indemnification & Limitation of Liability

---

15.1. Subject to Clause 15.2 below, SI (the "**Indemnifying Party**") undertakes to indemnify MMTC (the "**Indemnified Party**") from and against all Losses on account of bodily injury, death or damage to tangible personal property arising in favour of any person, corporation or other entity (including the Indemnified Party) attributable to the Indemnifying Party's performance or non-performance under this Agreement or the SLA. If the Indemnified Party promptly notifies Indemnifying Party in writing of a third party claim against the Indemnified Party that any Service provided by the Indemnifying Party infringes a copyright, trade secret or patents of any third party, Indemnifying Party will defend such claim at its own expense and will pay any costs or damages that may be finally awarded against Indemnified Party. Indemnifying Party will not indemnify the Indemnified Party, however, if the claim of infringement is caused by (a) Indemnified Party's misuse or modification of the Service; (b) Indemnified Party's failure to use corrections or enhancements made available by the Indemnifying Party; (c) Indemnified Party's use of the Service in combination with any product or information not owned or developed by Indemnifying Party; (d) Indemnified Party's distribution, marketing or use for the benefit of third parties of the Service; or (e) information, direction, specification or materials provided by Indemnified Party or any third party contracted to it. If any Service is or likely to be held to be infringing any third party intellectual property rights, Indemnifying Party shall at its expense and option either (i) procure the right for Indemnified Party to continue using it, (ii) replace it with a non-infringing equivalent, (iii) modify it to make it non-infringing. The foregoing remedies constitute Indemnified Party's sole and exclusive remedies and Indemnifying Party's entire liability with respect to infringement.

- 15.2. The indemnities set out in Clause 15.1 shall be subject to the following conditions:
- a) the Indemnified Party as promptly as practicable informs the Indemnifying Party in writing of the claim or proceedings and provides all relevant evidence, documentary or otherwise;
  - b) the Indemnified Party shall, at the cost of the Indemnifying Party, give the Indemnifying Party all reasonable assistance in the Defence of such claim including reasonable access to all relevant information, documentation and personnel provided that the Indemnified Party may, at its sole cost and expense, reasonably participate, through its attorneys or otherwise, in such Defence;
  - c) if the Indemnifying Party does not assume full control over the Defence of a claim as provided in this Clause, the Indemnifying Party may participate in such Defence at its sole cost and expense, and the Indemnified Party will have the right to defend the claim in such manner as it may deem appropriate, and the cost and expense of the

- Indemnified Party will be included in Losses;
- d) the Indemnified Party shall not prejudice, pay or accept any proceedings or claim, or compromise any proceedings or claim, without the written consent of the Indemnifying Party;
  - e) all settlements of claims subject to indemnification under this Clause will:
    - i. be entered into only with the consent of the Indemnified Party, which consent will not be unreasonably withheld and include an unconditional release to the Indemnified Party from the claimant or plaintiff for all liability in respect of such claim; and
    - ii. include any appropriate confidentiality agreement prohibiting disclosure of the terms of such settlement;
  - f) the Indemnified Party shall account to the Indemnifying Party for all awards, settlements, damages and costs (if any) finally awarded in favour of the Indemnified Party which are to be paid to it in connection with any such claim or proceedings;
  - g) the Indemnified Party shall take steps that the Indemnifying Party may reasonably require to mitigate or reduce its loss as a result of such a claim or proceedings; and
  - h) In the event that the Indemnifying Party is obligated to indemnify an Indemnified Party pursuant to this Clause, the Indemnifying Party will, upon payment of such indemnity in full, be subrogated to all rights and defences of the Indemnified Party with respect to the claims to which such indemnification relates.

15.3. The liability of SI, subject to provisions of Clause 15.4, for any claim in any manner related to this Agreement, including the work, Deliverables or Services covered by this Agreement, shall be limited to 100% of the value of this Agreement, arrived at as the sum of Capital Expenditure (Capex) incurred by the SI till the relevant date on which such liability is to be calculated and Operational Expenditure (OpEx) for a year, the Capex being determined on the basis of the original purchase value of all the Assets being considered for Capex calculation less depreciation and OpEx being determined in accordance with the market rate, prevailing as on the relevant date, for all service elements being considered for OpEx calculation. The SI will provide the list of Capex and OpEx items with their respective costs when asked by MMTC for the same and MMTC will have the right to get that list verified by any Third Party Agency before accepting it. The liability cap given under this Clause 15.3 shall not be applicable to the indemnification obligations set out in Clause 15.1 and breach of Clause 17 relating to confidentiality.

Notwithstanding anything contrary mentioned in this Agreement, there shall be no limitation of liability of the SI case of (i) any damages for bodily injury (including death) and damage to real

property and tangible personal property (ii) willful fraud and/or (iii) the intellectual property infringement claims under this Agreement or SLA.

15.4. In no event shall either Party be liable for any consequential, incidental, indirect, special or punitive damage, loss or expenses (including but not limited to business interruption, lost business, lost profits, or lost savings) nor for any third party claims (other than those set forth in Clause 15.1) even if it has been advised of their possible existence.

15.5. Neither this Agreement nor the SLA grants or creates any rights, benefits, claims, obligations or causes of action in, to or on behalf of any person or entity (including any third party) other than between the respective Parties to this Agreement or the SLA, as the case may be.

15.6. MMTC shall be entitled to claim the remedy of specific performance under this Agreement or the SLA.

## **16. Force Majeure**

---

For the purpose of this agreement, 'Force Majeure' shall mean an event that is unforeseeable, beyond the control of both parties and not involving the parties' wilful fault or negligence. Such events may include but not limited to acts of God not confined to the premises of the Party claiming the Force Majeure, flood, drought, lightning or fire, earthquakes, strike, lock-outs beyond its control, labour disturbance not caused at the instance of the Party claiming Force Majeure, acts of government or other competent authority, war, terrorist activities, military operations, riots, epidemics, civil commotions etc.

Neither Party to this Agreement or to the SLA shall be liable to the other for any loss or damage which may be suffered by the other (directly) due to the extent and for the duration of a Force Majeure event. No failure, delay or other default of any contractor sub-contractor to either Party shall entitle such Party to claim Force Majeure under this Clause. For the avoidance of doubt, it is further clarified that any negligence in performance of Services which directly causes any breach of security like hacking aren't the forces of nature and hence wouldn't be qualified under the definition of "Force Majeure". In so far as applicable to the performance of Services, SI will be solely responsible to complete the risk assessment and ensure implementation of adequate security hygiene, best practices, processes and technology to prevent any breach of security and any resulting liability there from (wherever applicable).

The Party as above seeking to rely on Force Majeure shall promptly, within seven (7) days, notify the other Party of the occurrence of a Force Majeure event as a condition precedent to the availability of this defense with particulars detailed in writing to the other Party and shall demonstrate that it has taken and is taking all reasonable measures to mitigate the events of Force Majeure.

Either Party reserves the right to terminate this Agreement, without any additional liabilities to other Party, if the force majeure period continues for more than 30 days. However, when the situation arising out of Force Majeure comes to an end in the assessment of MMTC, SI shall resume normal activities under the Agreement within 7 days. MMTC, if it considers it necessary, may grant an extension of time to the SI for resuming normal activities under this Agreement. If the SI does not resume normal activities immediately or within the extended period, if any, granted by MMTC will have the option to invoke the Performance Bank Guarantee, levy liquidated damages, obtain substitute performance from an alternate supplier at the cost of SI and/or terminate this Agreement.

Notwithstanding the terms of this Clause, the failure on the part of the SI under the Agreement or terms under the SLA to implement any disaster contingency planning and back-up and other data safeguards against natural disaster, fire, sabotage or other similar occurrence shall not be an event of Force Majeure.

## **17. Confidentiality**

---

- 17.1. MMTC shall allow the SI to review and utilize confidential records and the SI shall maintain the highest level of secrecy, confidentiality and privacy with regard thereto.
- 17.2. Additionally, the SI shall keep confidential all the details and information with regard to the Project, including systems, facilities, operations, management and maintenance of the systems/facilities.
- 17.3. Subject to the rights in its proprietary information and unless specifically stated in this Agreement, the SI shall be prohibited from using the Project related data in whatever manner, for purposes other than for the Project. The SI shall undertake, on behalf of its agents and employees, that no Project related data shall be copied in any manner (paper, electronic, or human memory) and transferred to any entity (human or machine) other than that being through the Project for delivering job responsibilities defined for each individual.

- 17.4. MMTC shall retain all rights to prevent, stop and if required take the necessary punitive action against the SI regarding any forbidden disclosure of the Confidential Information.
- 17.5. The SI shall ensure that all its employees and agents etc. execute individual non-disclosure agreements, which have been duly approved by MMTC with respect to this Project. Sub-Contracting for the implementation of the solution is NOT allowed
- 17.6. For the avoidance of doubt, it is expressly clarified that the aforesaid provisions shall not apply to the following information:
- a) information already available in the public domain;
  - b) information which has been developed independently by the SI;
  - c) information which has been received from a third party who had the right to disclose the aforesaid information;
  - d) Information which has been disclosed to the public pursuant to a court order / furnished to regulatory authority.
- 17.7. To the extent the SI shares its confidential or proprietary information with MMTC for effective performance of the Services, the provisions of the Clause 17.1 to 17.3 shall apply mutatis mutandis on MMTC.

## **18. Audit, Access and Reporting**

---

The SI shall allow access to MMTC to all information which is in the possession or control of the SI and which relates to the provision of the Services as set out in the Audit, Access and Reporting Schedule and which is reasonably required by MMTC to comply with the terms of the Audit, Access and Reporting Schedule set out as Schedule IV of this Agreement.

## **19. Intellectual Property Rights**

---

- 19.1. Except to the extent otherwise expressly provided in this Agreement, MMTC, shall retain exclusively all right, title and interest in the trademark, patents, copyrights, trade secrets, operating practices/ procedures or other intellectual property rights ("**Intellectual Property Rights/IPR**") relating to the Project Assets and related solutions, including but not limited to the application software, portal infrastructure, database, forms and the compilations any

computer code, web-based services etc. and any derivatives of the foregoing to which MMTC has ownership rights and nothing herein shall or will be construed or deemed to grant to the SI any right, title, license, sub-license, proprietary right or other claim against or interest in, to or under (whether by estoppels, by implication or otherwise) to the aforesaid rights.

19.2. All IPR including the source code and materials developed or otherwise obtained independently of the efforts of a Party under this Agreement (“**Pre-existing Work**”) including any enhancement or modification thereto shall remain the sole property of that Party. During the performance of the Services for this Agreement, each Party grants to the other Party (and their sub-contractors as necessary) a non-exclusive license to use, reproduce and modify any of its pre-existing work provided to the other Party solely for the performance of such services for duration of the Term of this Agreement.

19.3. The Intellectual Property Rights of all the assets exclusively purchased and/or used for MMTC and /or created during the term of this Agreement shall always remain vested with MMTC. All the rights, title, interest and ownership of the Deliverables and their Intellectual Property Rights provided to MMTC by the SI during the course of its performance under this Agreement, and/or the SLA which includes but is not limited to hardware / software shall vest in MMTC immediately on creation. To the extent that the SI’s proprietary information is incorporated within the Deliverables, SI and its employees engaged hereby grant to MMTC a worldwide, perpetual, irrevocable, non-exclusive, transferable, paid-up right and license to use, copy, modify (or have modified), transport to MMTC and prepare from them, use and copy derivative works for the benefit of and internal use of Project, of such SI proprietary information. MMTC’s rights pursuant to the preceding sentence include the right to disclose such SI proprietary information to third party contractors solely for use on the Project provided that all such third party contractors execute, deliver and comply with any customary confidentiality and non-disclosure agreements reasonably required by MMTC.

19.4. In respect of SI’s usage of third party Intellectual Property Rights, the SI undertakes to secure such consents or licenses from such third parties as are necessary to enable MMTC to receive services substantially equivalent to the Services hereunder. The obligations of the SI under this Clause shall be considered part of the services performed by the SI under the Exit Management Services as set forth in Schedule III of this Agreement. SI will provide all third party components if any solely on a pass-through basis in accordance with the relevant third party terms and conditions.

19.5. In no event shall SI be precluded from independently developing for itself, or for others, anything, whether in tangible or non-tangible form, which is competitive with, or similar to, the Deliverables, set-out in this Agreement or Annexure.



19.6. Neither Party may use the trademarks of the other Party without the prior written consent of the other Party except that SI may, upon completion, use the Project as a reference for credential purpose. Except as required by law or the rules and regulations of each stock exchange upon which the securities of one of the Parties is listed, neither Party shall publish or permit to be published either alone or in conjunction with any other person any press release, information, article, photograph, illustration or any other material of whatever kind relating to this Agreement, the SLA or the business of the Parties without prior reference to and approval in writing from the other Party, such approval not to be unreasonably withheld or delayed provided however that SI may include MMTC or its MMTC lists for reference to third parties subject to the prior written consent of MMTC not to be unreasonably withheld or delayed. Such approval shall apply to each specific case and relate only to that case.

## 20. Product/service Warranty

---

### 20.1. Standard

---

- a) The SI warrants that the Project, including all the system(s) and other Services provided, shall be free from any defect or deficiency in the material, design, engineering, and performance that prevent the Project and/or any of its systems(s) from fulfilling the technical requirements or that limit in a material fashion the performance, reliability, or extensibility of the Project and/or any of its system(s) as per the performance guarantee / Warranty Period defined in the Schedule I. If during the Warranty Period any defect or deficiency is found in the material, design and performance of the Project and other Services provided by the SI, the SI shall promptly, in consultation and agreement with MMTC, and at the SI's sole cost repair, replace, or otherwise make good such default, defect or deficiency as well as any damage to the Project caused by such default, defect or deficiency, forthwith without any cost to MMTC within a reasonable time not exceeding 14 days. Any defective product that has been replaced by the SI shall remain the property of the SI. If the Project or any of its System cannot be used by reason of such default, defect or deficiency and/or making good of such default, defect or deficiency, the Warranty Period for the Project shall be extended by a period equal to the period during which the Project or any of its system could not be used by MMTC because of such defect and/or making good of such default, defect or deficiency.
- b) When in the opinion of MMTC any defects, bad workmanship or other faults which are to be made good as per above Clause, are eventually made good, then, MMTC upon being satisfied shall issue a certificate to that effect specifying the nature of defects and rectifications made thereof; provided that, issuance of such certificate shall not (under any laws or equity) waive

or release the SI in respect of any other or subsequent defects which may get reported during the Warranty Period.

## **21. Insurance Cover**

---

### **21.1. Obligation to maintain insurance**

---

In connection with the provision of the Services, the SI must have and maintain for the Term of the Agreement, valid and enforceable insurance coverage for:

- a) public liability;
- b) either professional indemnity or errors and omissions;
- c) product liability;
- d) workers' compensation as required by law; and
- e) Any additional types as required.

Further, for two years following the expiry or termination of the Agreement, these insurance policies should be kept valid and enforceable. The SI may be asked to provide MMTC with evidence of insurance before signing this Contract or any time during the Term of this Contract. It is however clarified that for the length of the Term, SI shall cause MMTC to be included as an "additional insured" on all relevant insurance policies that provide coverage of any kind relating to or regarding the Services provided by the SI in accordance with the terms of this Agreement. All insurances covers mentioned above shall be kept alive during the Term of the Agreement.

### **21.2. Non-compliance**

---

MMTC may, at its own discretion, terminate this Agreement upon the failure of SI, or notification of such failure, to maintain the required insurance coverage. Inadequate insurance coverage for any reason shall not relieve SI of its obligations under this Agreement.

## **22. Miscellaneous**

---

### **22.1. Assignment**

---

- a) All terms and provisions of this Agreement shall be binding on and shall inure to the benefit of MMTC and their respective successors and permitted assigns.
- b) Subject to Clause 6, the SI shall not be permitted to assign its rights and obligations under this Agreement to any third party.
- c) MMTC may assign or novate all or any part of this Agreement and Schedules/Annexures, and the SI shall be a party to such novation, to any third party contracted to provide outsourced services to MMTC or any of its nominees.

## 22.2. Notices

---

- a) Any notice or other document which may be given by either Party under this Agreement or under the SLA shall be given in writing in person or by pre-paid recorded delivery by speed/registered post, email or by facsimile transmission.
- b) In relation to a notice given under this Agreement, any such notice or other document shall be addressed to the other Party's principal or registered office address as set out below:

General Manager (System)  
MMTC LIMITED  
Corporate Office  
Core -1, "SCOPE COMPLEX"  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003 INDIA

For SI  
Address:  
Tel:  
Fax:  
Email:  
Contact:

In relation to a notice given under the Agreement / SLA, a Party shall specify the Parties' address for service of notices, any such notice to be copied to the Parties at the addresses set out in this Clause.

- a) Any such notice or other document shall be deemed to have been given to the other Party (or, if relevant, its relevant associated company) when delivered (if delivered in person) if delivered between the hours of 10.00 am and 05.00 pm at the address of the other Party set forth above or if sent by fax, provided the copy fax is accompanied by a confirmation of transmission, or on the next working day thereafter if delivered outside such hours, and 7 days from the date of posting (if by letter by speed / registered post).
- b) Either Party to this Agreement or to the SLA may change its address, telephone number, facsimile number and nominated contact for notification purposes by giving the other reasonable prior written notice of the new information and its effective date.

---

### 22.3. Variations / Amendment and Further Assurance

---

- a) No amendment, variation or other change to this Agreement or the SLA shall be valid unless authorized in accordance with the change control procedure as set out in the Change Control Schedule set out in Schedule II of this Agreement. Such amendment shall be made in writing and signed by the duly authorized representatives of the Parties to this Agreement or the SLA.

---

### 22.4. Severability and Waiver

---

- a) If any provision of this Agreement or the SLA, or any part thereof, shall be found by any court or administrative body of competent jurisdiction to be illegal, invalid or unenforceable the illegality, invalidity or unenforceability of such provision or part provision shall not affect the other provisions of this Agreement or the SLA or the remainder of the provisions in question which shall remain in full force and effect. The relevant Parties shall negotiate in good faith in order to agree to substitute for any illegal, invalid or unenforceable provision a valid and enforceable provision which achieves to the greatest extent possible the economic, legal and commercial objectives of the illegal, invalid or unenforceable provision or part provision.
- b) No failure to exercise or enforce and no delay in exercising or enforcing on the part of either Party to this Agreement or the SLA of any right, remedy or provision of this Agreement or the SLA shall operate as a waiver of such right, remedy or provision in any future ERP System nor shall any single or partial exercise or enforcement of any right, remedy or provision preclude any other or further exercise or enforcement of such right, remedy or provision or the exercise or enforcement of any other right, remedy or provision.

---

### 22.5. Compliance with Applicable Law

---

Each Party to this Agreement accepts that its individual conduct shall (to the extent applicable to its business like the SI as an information technology service provider) at all times comply with all laws, rules and regulations of government and other bodies having jurisdiction over the area in which the Services are undertaken provided that changes in such laws, rules and regulations which result in a change to the Services shall be dealt with in accordance with the Change Control Schedule set out in Schedule II of this Agreement.

---

### 22.6. Professional Fees

---

All expenses incurred by or on behalf of each Party to this Agreement and the SLA, including all fees of agents, legal advisors, accountants and actuaries employed by either of the Parties in

connection with the negotiation, preparation and execution of this Agreement or the SLA shall be borne solely by the Party which incurred them.

#### 22.7. Ethics

The SI represents, warrants and covenants that it has given no commitments, payments, gifts, kickbacks, lavish or expensive entertainment, or other things of value to any employee or agent of MMTC in connection with this agreement and acknowledges that the giving of any such payment, gifts, entertainment, or other things of value is strictly in violation of MMTC standard policies and may result in cancellation of this Agreement, or the SLA.

#### 22.8. Entire Agreement

This Agreement and the SLA with all schedules & annexures appended thereto and the contents and specifications of the RFP constitute the entire agreement between the Parties with respect to their subject matter, and as to all other representations, understandings or agreements which are not fully expressed herein, provided that nothing in this Clause shall be interpreted so as to exclude any liability in respect of fraudulent misrepresentation.

#### 22.9. Independent Parties

Nothing in this Agreement shall be construed as establishing or implying any partnership or joint venture between the Parties to this Agreement and, except as expressly stated in this Agreement, nothing in this Agreement shall be deemed to constitute any Parties as the agent of any other Party or authorizes either Party:

- a) To incur any expenses on behalf of the other Party,
- b) To enter into any engagement or make any representation or warranty on behalf of the other Party,
- c) To pledge the credit of or otherwise bind or oblige the other Party,
- d) To commit the other Party in any way whatsoever without in each case obtaining the other Party's prior written consent.

### 23. Governing Law and Dispute Resolution

23.1. This Agreement shall be governed by and construed in accordance with the laws of India.

23.2. Any dispute arising out of or in connection with this Agreement or the SLA shall in the first instance be dealt with in accordance with the escalation procedure as set out in the Governance Schedule set out as Schedule V of this Agreement.

23.3. In case the escalations do not help in resolution of the problem within 3 weeks of escalation, the same shall be referred to arbitration.

23.4. Any dispute or difference whatsoever arising between the parties out of or relating to the construction, meaning, scope, operation or effect of this contract or the validity or the breach thereof shall be settled by arbitration by a sole arbitrator to be nominated by Chairman cum Managing Director (CMD) of MMTC. The provisions of Arbitration and Conciliation Act, 1996 shall apply to such arbitration proceedings. The seat of arbitration shall be New Delhi.

Signed by -----

For and on behalf of  
MMTC Limited

For and on behalf of  
System Integrator

(....., )  
[Authorized Representative]

(....., )  
[Authorized Representative]

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Designation: \_\_\_\_\_

Address:  
Core -1, Scope Complex  
7 Institutional Area, Lodhi Road,  
New Delhi - 110003

Address:  
<Address of the Company >

In presence of  
(Witnesses)

In presence of  
(Witnesses)

- (i)
- (ii)

- (i)
- (ii)

# SCHEDULES

## 1. Schedule – I – Definitions

Adverse Effect / Material Adverse Effect	means adverse effect on (a) the ability of the SI to exercise any of its rights or perform/discharge any of its duties/obligations under and in accordance with the provisions of this Agreement and/or (b) the legal validity, binding nature or enforceability of this Agreement;
Agreement	means this Master Services Agreement, together with all Articles, Annexures, Schedules and the contents and specifications of the RFP;
Applicable Law(s)	means any statute, law, ordinance, notification, rule, regulation, judgment, order, decree, bye-law, approval, directive, guideline, policy, requirement or other governmental restriction or any similar form of decision applicable to the relevant party and as may be in effect on the date of the execution of this Agreement and during the subsistence thereof, applicable to the Project;
Assets	shall mean the hardware and software, network or any other information technology infrastructure components used for the Project and other facilities leased / owned / operated by the SI exclusively in terms of ensuring their usability for the delivery of the Services as per this Agreement.
Confidential Information	means all information including MMTC Data (whether in written, oral, electronic or other format) which relates to the technical, financial and business affairs, dealers, suppliers, products, developments, operations, processes, data, trade secrets, design rights, know-how, plans, budgets and personnel of each Party and its affiliates which is disclosed to or otherwise learned by the other Party in the course of or in connection with this Agreement (including without limitation such information received during negotiations, location visits and meetings in connection with this Agreement);
Deliverables	means the products, infrastructure and services agreed to be delivered by the SI in pursuance of the agreement as defined more elaborately in the RFP, Implementation and the Maintenance phases and includes all documents related to the user manual, technical manual, design, process and operating manuals, service mechanisms, policies and guidelines (such as security related, data migration related), inter alia payment



	and/or process related etc., source code and all its modifications;
Effective Date	shall have the same meaning ascribed to it in Clause 3;
MMTC Data / MMTC Data	means all proprietary data of MMTC generated out of operations and transactions, and related information including but not restricted to user data which the SI obtains, possesses or processes in the context of providing the Services to the users pursuant to this Agreement;
Force Majeure	shall have the same meaning ascribed to it in Clause 16;
Gol	mean Government of India;
Indemnifying Party	shall have the same meaning ascribed to it in Clause 15.1;
Indemnified Party	shall have the same meaning ascribed to it in Clause 15.1;
Intellectual Property Rights	shall have the same meaning ascribed to it in Clause 19.1 of this Agreement;
Insurance Cover	Shall have the meaning as ascribed in Clause 21 of this Agreement.
Material Breach	means a breach by either Party (MMTC or SI) of any of its obligations under this Agreement which has or is likely to have an Adverse Effect on the Project which such Party shall have failed to cure;
Performance Guarantee / Performance Bank Guarantee	Means the guarantee provided by SI and issued by a nationalized bank in favour of MMTC. The amount of Performance Bank Guarantee shall be 10% of the overall cost of the Project. This performance security shall be valid till six months after the completion of the Project i.e. 5 years from the date of signing of Agreement or for such time as is required under this Agreement;
Project Implementation	means Project Implementation as per the testing standards and acceptance criteria prescribed by MMTC ;
Project Management Unit (PMU)	shall be constituted by MMTC to monitor the activities, Deliverables and progress of the Project. PMU will be comprised of the staff members of MMTC and external experts as MMTC may deem fit;
Project Timelines	shall have the same meaning ascribed in the RFP Volume I;
Replacement System Integrator /Replacement SI	means any third party that MMTC appoint to replace SI upon expiry of the Term or termination of this Agreement to undertake the Services or part thereof;
Required Consents	shall have the same meaning ascribed to it in Clause 8.

RFP or Request for Proposal	means the documents containing the Technical, Functional, Operational, Commercial and Legal specifications for the implementation of the Project, issued in 3 volumes (referred to as Volume I, Volume II and Volume III) and includes the clarifications, explanations, corrigendum and amendments issued by MMTC from time to time.
Services	means the services to be performed by the SI in pursuant to the Agreement more elaborately provided in the RFP including but not limited to the services to be rendered during the Project Implementation, Operation and Management Phase and the services to be delivered to the Stakeholders using the tangible and intangible assets created, procured, installed, managed and operated by the SI including the tools of information and communications technology.
Service Level	means the level of service and other performance criteria which will apply to the Services delivered by the SI and more specifically detailed in the SLA and/or RFP;
SLA	means the Service Level Agreement, executed by and between the SI and MMTC, in terms of the Service Level requirements which will apply to the Services delivered by the SI.
Stakeholders	means MMTC and its employees, vendors, customers, franchise, investors, concerned organizations and citizens;
Term	shall have the same meaning ascribed to it in Clause 3;
Third Party Systems	means systems (or any part thereof) in which the Intellectual Property Rights are not owned by MMTC or SI and to which SI has been granted a license to use and which are used in the provision of Services;
Warranty Period	Means the defect liability period of 7 years from the Effective Date;

## **2. Schedule – II – Change Request Schedule**

---

This Schedule describes the procedure to be followed in the event of any proposed change to the Agreement, Project Implementation Phase, SLA and scope of work. Such change shall include, but shall not be limited to, changes in the scope of services provided by the SI and changes to the terms of payment as stated in the Terms of Payment Schedule.

MMTC and SI recognize that frequent change is an inevitable part of delivering services and that a significant element of this change can be accomplished by re-organizing processes and responsibilities without a material effect on the cost. The SI will endeavor, wherever reasonably practicable, to effect change without an increase in the terms of payment as stated in the Terms of Payment Schedule and MMTC will work with the SI to ensure that all changes are discussed and managed in a constructive manner. This Change Control Schedule sets out the provisions which will apply to all the changes to this Agreement and other documents except for the changes in SLAs for which a separate process has been laid out in Clause 11 of the SLA.

This Change Control Schedule sets out the provisions which will apply to changes to the Agreement.

### **CHANGE MANAGEMENT PROCESS**

#### **a) CHANGE REQUEST NOTE ("CRN")**

- i. Change requests in respect of the Agreement, the Project Implementation, the operation, the SLA or Scope of work specifications will emanate from the Parties' respective Project Manager who will be responsible for obtaining approval for the change and who will act as its sponsor throughout the Change Control Process and will complete Part A of the CRN attached as Annexure A hereto. CRNs will be presented to the other Party's Project Manager who will acknowledge receipt by signature of the CRN.
- ii. The SI and MMTC, during the Project Implementation Phase and during the Operations and Management Phase and while preparing the CRN, shall consider the change in the context of the following parameter, namely whether the change is beyond the scope of Services including ancillary and concomitant services required and as detailed in the RFP. It is hereby also clarified here that any change of control suggested beyond 25 % of the value of this Project will be beyond the scope of the change control process and

will be considered as the subject matter for a separate bid process and a separate contract. It is hereby clarified that the 25% of the value of the Project as stated in herein above is calculated on the basis of bid value submitted by the SI and accepted by MMTC or as decided and approved by MMTC. For arriving at the cost / rate for change up to 25% of the project value, the payment terms and relevant rates as specified in Annexure C shall apply.

**b) Quotation**

- i. The SI shall assess the CRN and complete Part B of the CRN, in completing the Part B of the CRN the SI shall provide as a minimum:
  - i. a description of the change
  - ii. a list of Deliverables required for implementing the change;
  - iii. a time table for implementation;
  - iv. an estimate of any proposed change
  - v. any relevant acceptance criteria
  - vi. an assessment of the value of the proposed change;
  - vii. Material evidence to prove that the proposed change is not already covered within the Agreement and the scope of work.
- ii. Prior to submission of the completed CRN to MMTC, the SI will undertake its own internal review of the proposal and obtain all necessary internal approvals. As a part of this internal review process, the SI shall consider the materiality of the proposed change in the context of the agreement and the Project Implementation affected by the change and the total effect that may arise from implementation of the change.

**c) Costs**

Each Party shall be responsible for its own costs incurred in the quotation, preparation of CRNs and in the completion of its obligations described in this process provided the SI meets the obligations as set in the CRN. In the event the SI is unable to meet the obligations as defined in the CRN then the cost of getting it done by third party will be borne by the SI.

**d) Obligations**

The SI shall be obliged to implement any proposed changes once approval in accordance with above provisions has been given, with effect from the date agreed for implementation and within an agreed timeframe. SI will not be obligated to work on a change until the parties agree in writing upon its scope, price and/or schedule impact.

### 3. Schedule – III - Exit Management Schedule

---

#### 3.1. Purpose

---

- a) This Schedule sets out the provisions, which will apply on expiry or termination of this Agreement.
- b) It sets out the provisions which will ensure that MMTC will be able to offer the Services to its Stakeholders without any interruptions on expiry or termination of the Agreement.
- c) It is the prime responsibility of SI to ensure continuity of Services at all times of the Agreement including exit management period and in no way any facility/service shall be affected/degraded. Further, SI is also responsible for all activities required to train and transfer the knowledge to the Replacement SI / MMTC to ensure similar continuity and performance of the Services post expiry of the Agreement. The SI will be required to carry out a gap analysis of the facilities and arrangements made by the Replacement SI and specifically inform MMTC. The Parties shall ensure that their respective associated entities carry out their respective obligations set out in this Exit Management Schedule.

#### 3.2. Transfer of Assets

---

- a) MMTC shall be entitled to serve notice in writing on the SI at any time during the exit management period as detailed hereinabove requiring the SI to provide MMTC with a complete and up to date list of the Assets within 30 days of such notice. MMTC shall then be entitled to serve notice in writing on the SI at any time prior to the date that is 90 days prior to the end of the exit management period requiring the SI to sell the Assets, if any, to be transferred to MMTC at book value as determined as of the date of such notice in accordance with the provisions of relevant laws.
- b) In case of contract being terminated by MMTC, MMTC reserves the right to ask SI to continue running the project operations for a period of 6 months after termination orders are issued.
- c) Upon service of a notice under this Clause the following provisions shall apply:
  - i. All risk in and title to the Assets to be transferred / to be purchased by MMTC pursuant to this Clause shall be transferred to MMTC, on the last day of the exit management period.
  - ii. Payment to the outgoing SI shall be made to the tune of last set of completed services / deliverables, subject to SLA requirements.
  - iii. The outgoing SI will pass on to MMTC and/or to the Replacement SI, the subsisting rights in any leased properties/ licensed products on terms not less favorable to MMTC/ Replacement SI, than that enjoyed by the outgoing SI.

### 3.3. Cooperation and Provision of Information

---

- a) During the exit management period:
  - i. The SI will allow MMTC access to information reasonably required to define the then current mode of operation associated with the provision of the services to enable MMTC to assess the existing services being delivered;
  - ii. Promptly on reasonable request by MMTC, the SI shall provide access to and copies of all information held or controlled by them which they have prepared or maintained in accordance with this agreement relating to any material aspect of the services provided by the SI. MMTC shall be entitled to copy of all such information. Such information shall include details pertaining to the services rendered and other performance data. The SI shall permit MMTC to have reasonable access to its employees and facilities as reasonably required by MMTC to understand the methods of delivery of the services employed by the SI and to assist appropriate knowledge transfer.

### 3.4. Confidential Information, Security and Data

---

- a) The SI will promptly on the commencement of the exit management period supply to MMTC the following:
  - i. all current and updated data as is reasonably required by MMTC for the purposes of transitioning the services to its Replacement SI in a readily available format. ;
  - ii. all other information (including but not limited to documents, records and agreements) relating to the services reasonably necessary to enable MMTC , or its Replacement SI to carry out due diligence in order to transition the provision of the Services to MMTC , or its Replacement SI (as the case may be).
  - iii. All Intellectual Property Rights related to the Project and /or documentation relating to Project's Intellectual Property Rights.
  - iv. Project Data and Confidential Information.
- b) Before the expiry of the exit management period, the SI shall deliver to MMTC all new or up-dated materials from the categories set out in Schedule above and shall not retain any copies thereof, except that the SI shall be permitted to retain one copy of such materials for archival purposes only.

### 3.5. Transfer of Certain Agreements

---

On request by MMTC ,the SI shall effect such assignments, transfers, licenses and sub-licenses as MMTC may require in favour of MMTC or its Replacement SI in relation to any equipment lease, maintenance or service provision agreement between SI and third party lessors, vendors, and

which are related to the services and reasonably necessary for the carrying out of replacement services by MMTC or its Replacement SI.

### 3.6. Rights of Access to Premises

---

- a) At any time during the exit management period, where Assets if any are located at the SI's premises, the SI will be obliged to give reasonable rights of access to (or, in the case of Assets located on a third party's premises, procure reasonable rights of access to) MMTC and/or any Replacement SI in order to make an inventory of the Assets.
- b) The SI shall also give MMTC or any Replacement SI right of reasonable access to the SI's premises and shall procure MMTC and any Replacement SI rights of access to relevant third party premises during the exit management period and for such period of time following termination or expiry of the agreement as is reasonably necessary to migrate the services to MMTC or a Replacement SI.

### 3.7. General Obligations of the SI

---

- a) The SI shall provide all such information as may reasonably be necessary to effect as seamless a handover as practicable in the circumstances to MMTC or its Replacement SI and which the SI has in its possession or control at any time during the exit management period.
- b) For the purposes of this Schedule, anything in the possession or control of any SI, associated entity, is deemed to be in the possession or control of the SI.
- c) The SI shall commit adequate resources to comply with its obligations under this Exit Management Schedule.

### 3.8. Exit Management Plan

---

- a) The SI shall provide MMTC with a recommended exit management plan ("Exit Management Plan") which shall deal with at least the following aspects of exit management in relation to the Agreement as a whole and in relation to the Project Implementation, and the Operation and Management SLA.
  - i. A detailed program of the transfer process that could be used in conjunction with a Replacement SI including details of the means to be used to ensure continuing provision of the services throughout the transfer process or until the cessation of the services and of the management structure to be used during the transfer;
  - ii. plans for the communication with such of the SI's, suppliers and any related third party (if applicable) as are necessary to avoid any material detrimental impact on MMTC's operations as a result of undertaking the transfer;
  - iii. Plans for provision of contingent support to MMTC , and Replacement SI for a reasonable period after transfer.

- b) The SI shall re-draft the Exit Management Plan annually thereafter to ensure that it is kept relevant and up to date.
- c) Each Exit Management Plan shall be presented by the SI to MMTC and approved by MMTC.
- d) This Exit Management plan shall be furnished in writing to MMTC within 90 days from the Effective Date of this Agreement.

#### **4. Schedule – IV - Audit, Access and Reporting**

---

##### **4.1. Purpose**

---

This Schedule details the audit, access and reporting rights and obligations of MMTC and the SI.

##### **4.2. Audit Notice and Timing**

---

- a) As soon as reasonably practicable after the Effective Date, the Parties shall use their best endeavors to agree to a timetable for routine audits during the Project Implementation Phase and Maintenance Phase. On such timetable MMTC shall conduct routine audits in accordance with such agreed timetable and shall not be required to give the SI any further notice of carrying out such audits.
- b) MMTC may conduct non-timetabled audits at his/ her own discretion if it reasonably believes that such non-timetabled audits are necessary as a result of an act of fraud by the SI, a security violation, or breach of confidentiality obligations by the SI and SI shall give all due support during this process to MMTC.
- c) MMTC shall endeavor to conduct such audits with the lowest levels of inconvenience and disturbance practicable being caused to the SI. Any such audit shall be conducted by with adequate notice of 2 weeks to the SI.
- d) In addition to the above, there may be audits conducted by statutory bodies (e.g. CAG) as and when they are required to do it. Notwithstanding any condition given in the Agreement, SI will have to provide these statutory bodies access to all the facilities, infrastructure, documents and artifacts of the Project as required by them and approved by MMTC, in writing.

##### **4.3. Audit Rights**

---

- a) MMTC shall have the right to audit and inspect suppliers, agents and third party application ( if any as detailed in the RFP), data centers, documents, records, procedures and systems relating to the provision of the services, but only to the extent that they relate to the provision of the services, as shall be reasonably necessary to verify:



- i. The security, integrity and availability of all data processed, held or conveyed by MMTC and documentation related thereto;
- ii. That the actual level of performance of the services is the same as specified in the SLA;
- iii. That the SI has complied with the relevant technical standards, and has adequate internal controls in place; and
- iv. The compliance of the SI with any other obligation under the Agreement and SLA.

#### 4.4. Reporting

---

The SI will provide quarterly reports to MMTC regarding any specific aspects of the Project and in context of the audit and access information as required by MMTC.

#### 4.5. Action and Review

---

- a) Any discrepancies identified by any audit pursuant to this Schedule shall be immediately notified to MMTC and the SI Project Manager who shall determine what action should be taken in respect of such discrepancies in accordance with the terms of the agreement.
- b) Any change or amendment to the systems and procedures of the SI where applicable arising from the audit report shall be agreed within thirty (30) calendar days from the submission of the said report.
- c) SLA by the SI pursuant to this Schedule.

### 5. Schedule – V - Governance Schedule

---

#### 5.1. Purpose

---

The purpose of this Schedule is to:

- a) establish and maintain the formal and informal processes for managing the relationship between the Parties (including the outputs from other Schedules to this Agreement;
- b) define the principles that both Parties wish to follow to ensure the delivery of the Services;
- c) ensure the continued alignment of the interests of the Parties;
- d) ensure that the relationship is maintained at the correct level within each Party;
- e) create the flexibility to revise and maintain the relationship and this Agreement during the Term;
- f) set out the procedure for escalating disagreements; and
- g) enable contract administration and performance management.

## 5.2. Governance Structure

---

- a) The Program Governance Structure to be put in place by MMTC and will have the following units:
  - i. Steering Committee (SC)
  - ii. Project Operations Committee
  - iii. Program Management Unit (PMU)

The composition of each of the above units will be in line with the approach described in Section 16 of Volume I of the RFP or as decided by MMTC.

- b) Project Director: The relationship under this Agreement will be operated by the Project Director appointed by each Party, who will provide the interface between the executive management of the respective Parties.
  - i. Before signing of this agreement, MMTC shall each appoint a Project Director. In the case of Project, the Project Manager will be an individual who is appointed by the Project Director. In the case of the SI, the Project Manager will be an individual who is an organizational peer of Project Manager. In the event that either Party wishes to substitute its Project Manager it will do so in the manner in which the original appointment is made and notify the other Party of such substitution as soon as reasonably practicable but at the latest within fourteen days of the substitution.
- c) The Project Directors shall have responsibility for maintaining the interface and communication between the Parties.
- d) The Project operations Committee of the ERP project shall be constituted to monitor day to day progress of the project, provide approvals, suggest changes and provide dispute resolution for smooth Implementation and Operations of the project and shall be chaired by Director – MMTC. Chairman of the Project operations Committee shall also be heading the Disputes Resolution Board (DRB) consisting of members that shall include Director – MMTC, Experts from IT department and one expert that shall be a special invitee based on the relevant dispute matter such as finance, commodity, legal etc. The Project operations Committee will meet formally on, at least, a monthly basis at a time and location to be agreed between them. These meetings will cover, as a minimum, the following agenda items: (i) consideration of monthly Performance Reports; (ii) consideration of matters arising out of the Change Control Schedule; (iii) issues escalated in accordance with the escalation procedure as set out in this Schedule; and (iv) any other issue which either Party wishes to add to the agenda.

- e) In the event that there is any material factors affecting delivery of the Services or the terms of payment as stated in the Terms of Payment Schedule (Schedule VI of this Agreement), the Parties agree to discuss in the Committee any appropriate amendment to the Agreement or any Service Level Agreements or Statement of Works including any variation to the terms of payment as stated in the Terms of Payment Schedule. Any variation so agreed shall be implemented through the change control procedure as set out in the Change Request Schedule (Schedule II of this Agreement).

\*Note: Functional head refers to Single Point of Contact for that function

### 5.3. Governance procedures

---

The SI shall document the agreed structures in a procedures manual.

- a) Meetings will be held at various levels (as per the Governance structure) between the SI and MMTC to facilitate smooth implementation and operations of the entire project.
- b) All meetings and proceedings will be documented; such documents to be distributed to the Parties and copies shall be kept as a record. All actions, responsibilities and accountabilities arising out of any meeting shall be tracked and managed.
- c) The Parties shall ensure as far as reasonably practicable that both parties shall resolve the issues and resolve the objectives placed before them and that members representing that Party are empowered to make relevant decisions or have easy access to empowered individuals for decisions to be made to achieve this.
- d) Any unresolved issue(s) would be escalated to the next higher level as per the Project governance structure.
- e) In the event that there is any material factor which affects the delivery of the Services or the terms of payment as stated in the Terms of Payment Schedule, the Parties agree to any appropriate amendment to the Agreement or any Service Level Agreements or Statement of Works including any variation to the terms of payment as stated in the Terms of Payment Schedule. Any variation so agreed shall be implemented through the change control procedure as set out in the Change Control Schedule.
- f) In order formally to submit a Disputed Matter to the aforesaid for a, one Party ("Claimant") shall give a written notice ("Dispute Notice") to the other Party. The Dispute Notice shall be accompanied by (a) a statement by the Claimant describing the Disputed Matter in reasonable detail and (b) documentation, if any, supporting the Claimant's position on the Disputed Matter.
- g) The other Party ("Respondent") shall have the right to respond to the Dispute Notice within 7 days after receipt of the Dispute Notice. In the event that the parties are unable to resolve the Disputed Matter within a further period of 7 days, it shall refer the

Disputed Matter to next level of the dispute resolution for action as per the process mentioned in Clause 9.

- h) All negotiations, statements and / or documentation pursuant to these Articles shall be without prejudice and confidential (unless mutually agreed otherwise).
- i) If the Disputed Matter is having a material effect on the operation of the Services (or any of them or part of them) the Parties will use all their respective reasonable endeavors to reduce the elapsed time in reaching a resolution of the Disputed Matter.

## **6. Schedule – VI - Terms of Payment Schedule**

---

As per the schedule given in the Volume II of this RFP document.

# ANNEXURE

## 7. Annexure – A – Format for Change Request Notice

Change Request Note		CRN Number:
Part A: Initiation		
Title:		
Originator:		
Date of Initiation:		
Details of Proposed Change		
Authorized by MMTC		Date:
Name:		
Signature:		Date:
Received by the SI		
Name:		
Signature:		
Change Request Note		CRN Number:
Part B : Evaluation of Change		
Brief Description of Solution:		
Impact:		
Deliverables:		
Timetable:		

Charges for Implementation: (including a schedule of payments)	
Other Relevant Information: (including value-added and acceptance criteria)	
Authorized by the SI	Date:
Name:	
Signature:	

Change Request Note	CRN Number :
Part C : Authority to Proceed	
Implementation of this CRN as submitted in Part A, in accordance with Part B is: (tick as appropriate)	
Approved	

Rejection Requires Further Information (as follows, or as Attachment etc.)	
For MMTC	For the SI
Signature	Signature
Name	Name

---

Title	Title
Date	Date

#### **8. Annexure – B - List of Services Provided By the SI**

---

The SI will provide services as per detailed Scope of Work in the Volume I of this RFP.

#### **9. Annexure – C - Bid**

---

1. Technical Bid Response – As per the Template given in the RFP Volume II
2. Financial Bid Response - As per the Template given in the RFP Volume II
3. Summary Of Cost Components -Cost components submitted by Vendor as per the template given in the RFP Volume II.



## 10. Non-Disclosure Agreement

---

This Non-Disclosure Agreement ("The Agreement") is signed on \_\_\_\_\_ day of \_\_\_\_\_ 2015, by and between

< **Company name** > **having** its offices at <address of company > (hereinafter referred to as "SI" which expression shall include its successors, and assigns which expression unless it be repugnant to the context or meaning thereof includes its successors, representatives and permitted assigns)

and

**MMTC Limited** having its office at Core-1, SCOPE Complex, 7 Institutional Area, Lodhi Road, New Delhi-110003 ("MMTC" which expression unless repugnant to the context or meaning thereof includes its successors, representatives and assigns).

WHEREAS:

- A. < Company name> is engaged in the business of, inter-alia, providing IT services.
- B. MMTC is India's leading international trading company, with a turnover of over US\$ 5.5 billion. MMTC is the largest non-oil importer in India. MMTC's diverse trade activities encompass Third Country Trade, Joint Ventures, Link Deals - all modern day tools of international trading. .
- C. MMTC, pursuant to its Tender dated < >, declared <COMPANY NAME> as successful Bidder for its appointment as SI (SI). Pursuant to appointment of < Company Name> as SI, certain Confidential Information relating to MMTC's business may be disclosed by MMTC to < Company Name> which shall be subject to the terms and conditions contained in this Agreement.
- D. Both Parties agrees that the security of IT infrastructure of MMTC is critical and the IT architecture/environment/reports needs to be analyzed and reviewed to ensure that MMTC's IT infrastructure remains secured to the best possible extent. Therefore <Company Name> has agreed to observe and be bound by the restrictions and obligations relating to its use of such Confidential Information.

**THEREFORE IN CONSIDERATION OF THE PREMISES AND OBLIGATIONS SET FORTH HEREIN, IT IS AGREED AS FOLLOWS:**

### 10.1. Definitions

---

In this Agreement, unless the context otherwise requires,

- a) The term "Confidential Information" includes data, reports, drawings, records, correspondence, notes, compilations, studies, in the form of samples, models and other information/documentation given or disclosed by MMTC to <COMPANY NAME> or any of their Representative(s) relating to or in any way connected and relating to any of MMTC's business activities actual or proposed, IT Infrastructure, systems, marketing plans, agreements, methods, techniques, processes, theories, formulas, know-how, techniques, applications, systems, components, improvements, technology, market projections, sales records, software programs, test data, customers, customer lists, or any other information relating to MMTC that <COMPANY NAME> becomes aware of whether or not disclosed by MMTC and whether such information is in tangible, writing, oral, electronic, printed, human or in machine readable form, regardless of the media or form transmitted or stored in, or any information ascertainable by inspection, or any other information designated as Confidential Information at the time of disclosure.
- b) "Agreement" means the Agreement for implementing ERP to be entered into between MMTC and <COMPANY NAME> pursuant to the award letter dated < > declaring <COMPANY NAME> as successful Bidder for its appointment as IT Security Consultant.
- c) "Representatives" mean directors/partners, officers, agents, advisors, consultants or employees or respective shareholders or ultimate parent company, as the case may be of <COMPANY NAME>.

### 10.2. Confidential Information and Protection

---

- a) MMTC may, from time to time, disclose Confidential Information to <COMPANY NAME> and/or their Representatives for performance by <COMPANY NAME> of the Agreement entered into between MMTC and <COMPANY NAME>.
- b) The <COMPANY NAME> understands and acknowledges that the Confidential Information is proprietary and confidential information of MMTC which has been created, developed or obtained by MMTC by investment of significant time, substantial effort and expense. The Confidential Information is a valuable, special and unique asset of MMTC which gives significant competitive advantage to MMTC and that protection of Confidential Information is of the highest importance to MMTC. Therefore <COMPANY NAME> acknowledges and undertake:
  - i. To keep the Confidential Information in strict confidence for the entire duration of the Agreement and for a period of ten years thereafter.

- ii. without the prior written consent of MMTC, <COMPANY NAME> will not disclose Confidential Information furnished to it to anyone other than its Representatives expressly approved by MMTC;
- iii. <COMPANY NAME> shall procure that its approved Representatives will not communicate with any third party, copy, publish, disclose or otherwise deal with any Confidential Information, otherwise than for the performance of their obligations under the Contract.
- iv. In case the Confidential Information is disclosed to any of <COMPANY NAME> approved Representatives, <COMPANY NAME> shall further enter into agreements with its Representatives binding them to the same obligations to which <COMPANY NAME> is bound under this Agreement, and ensure compliance of this Agreement by its approved Representatives and make them liable for any breach by them of such obligations.
- v. to inform its approved Representatives to whom any Confidential Information may be disclosed of their obligations of confidentiality pursuant to this Agreement, to ensure compliance with its terms and to be liable for any breach by them of such obligations; and
- vi. To keep separate all Confidential Information from all documents and other records of the Parties and shall mark all such Confidential Information received from MMTC as “Confidential”.
- vii. the Confidential Information which may be disclosed to <COMPANY NAME> will contain proprietary assets, designs and other intellectual property rights with respect to the MMTC’s Products which are the exclusive property of MMTC and are critical for the business of the MMTC and its profitability, <COMPANY NAME> agrees not to do anything which may, in any manner, whether directly or indirectly, affect the above proprietary rights, interest, business and profitability of MMTC.
- viii. The <COMPANY NAME> will not copy or modify any Confidential Information without the prior written consent of MMTC. Any permitted reproduction of Confidential Information must contain all confidential or proprietary legends which appear on the original. <COMPANY NAME> shall immediately notify the disclosing party in the event of any loss or unauthorised disclosure or use of the Confidential Information.
- ix. <COMPANY NAME> shall notify MMTC promptly of any material unauthorised possession, use or knowledge, or attempt thereof, of the MMTC’s Confidential Information by any person or entity other than MMTC and its Authorised Representatives

- x. promptly furnish to MMTC full details of the unauthorised possession, use or knowledge, or attempt thereof;
- xi. use reasonable efforts to assist MMTC in investigating or preventing the recurrence of any unauthorised possession, use or knowledge, or attempt thereof, of Confidential Information;
- xii. use reasonable efforts to cooperate with MMCT in any litigation and investigation against third parties deemed necessary by MMTC to protect its proprietary rights; and
- xiii. promptly use all reasonable efforts to prevent a recurrence of any unauthorized possession, use or knowledge of Confidential Information

#### 10.3. The Undertakings in Clause 2 shall not apply to any Confidential Information which:

- a) at the time of its disclosure to <COMPANY NAME> is in the public domain;
- b) In the event that <COMPANY NAME> is required or requested by any court, legislative or administrative body to disclose any Confidential Information, then it shall prior to disclosure promptly notify MMTC or its any of its Representative so that an appropriate protective order and/or any other action can be taken if possible.

In the event that such protective order is not, or cannot be, obtained, then <COMPANY NAME> may disclose to the appropriate body that portion of the Confidential Information that it is legally required to disclose and shall use reasonable efforts to obtain assurances that confidential treatment will be accorded to the Confidential Information; and

#### 10.4. No Commitments, Warranties or Solicitation

- a) The Confidential Information disclosed by MMTC to <COMPANY NAME> shall be used by <COMPANY NAME> strictly for the purposes expressly authorized by MMTC.
- b) No representations or warranties, express or implied, are made by MMTC concerning the accuracy or completeness of the Confidential Information supplied under this Agreement and neither MMTC nor any of its Representatives shall be liable in any way to <COMPANY NAME> for receipt or use of such Confidential Information and MMTC expressly disclaims any such liability whether in negligence or otherwise.
- c) MMTC shall not be under any obligation or commitment to enter into discussions or any further agreement merely by reason of the execution of this Agreement or the disclosure, evaluation or inspection of Confidential Information and this Confidentiality Agreement shall not constitute nor should it be construed to constitute an offer or commitment by MMTC with regard to the Tender.

- d) MMTC shall not be precluded from entering into any agreement or obligation with any other party relating to the Agreement or the Confidential Information merely by reason of the execution of this Agreement or the disclosure, evaluation or inspection of Confidential Information.
- e) Without prejudice to the generality of the above, nothing herein shall grant to <COMPANY NAME> the right to make representations and/or commitments of any kind on behalf of MMTC without the prior written consent of MMTC.

#### 10.5. Return of Confidential Information

---

- a) Upon the written request of MMTC, the <COMPANY NAME> shall return to MMTC all Confidential Information that is in tangible form (including, without limitation, Confidential Information contained on computer disks) furnished, together with any copies or extracts thereof. <COMPANY NAME> shall also deliver to MMTC written statements signed by the receiving party certifying that all materials have been returned within fifteen (15) days of receipt of the request.
- b) Upon specific request by MMTC, <COMPANY NAME> shall destroy all analyses, compilations, drawings, or other documents which have been prepared and which reflect any Confidential Information.

#### 10.6. Indemnity; No Waiver; Specific Performance

---

- a) <COMPANY NAME> shall indemnify, defend and hold harmless MMTC against any losses, liabilities, claims, damages, costs, and expenses including reasonable legal fees and other expenses and disbursements in connection therewith and interest charges thereon suffered or incurred by MMTC which arise out of, result from, or may be payable by virtue of any breach of any representation, warranty, covenant or agreement made or obligation required to be performed under this Agreement by <COMPANY NAME>.
- b) <COMPANY NAME> acknowledge that damages alone would not be an adequate remedy for any breach of the terms and conditions of this Agreement and MMTC shall be entitled to the remedies of injunction, specific performance or other equitable relief. Such remedy shall be in addition to and not in lieu or limitation of other remedies available to MMTC at law or in equity.
- c) Failure by MMTC in exercising any right, power or privilege hereunder shall not act as a waiver, nor shall any single or partial exercise thereof preclude any further exercise of any right, power or privilege.

---

### 10.7. Relationship of Parties

---

MMTC has no obligation under this Agreement to purchase any service or item from <COMPANY NAME>, or commercially offer any products using or incorporating the Confidential Information. This Agreement is intended to facilitate only the exchange of Confidential Information and is not intended to be, and shall not be construed to create a teaming agreement, joint venture association, partnership, or other business organization or agency arrangement and <COMPANY NAME> shall have the authority to bind MMTC without the separate prior written agreement thereof.

---

### 10.8. No Grant of Property Rights

---

<COMPANY NAME> recognizes and agrees that, except as expressly and specifically set forth in this Agreement, nothing herein shall be construed as granting any property right, by license, implication, estoppels or otherwise, to any of MMTC's Confidential Information, or to any invention or any patent right that has issued or that may issue based on such Confidential Information. All Information disclosed is provided "as is" without any warranties of any kind.

---

### 10.9. General Provisions

---

- a) MMTC has no obligation to supply Confidential Information hereunder and has no obligation to enter into any Agreement with <COMPANY NAME> and it has no right to offer for sale products or services using or incorporating the Confidential Information.
- b) This Agreement shall not be assigned by <COMPANY NAME>, and it shall not delegate its duties under this Agreement, without prior written consent of the other.

---

### 10.10. Term and Termination

---

- a) This Agreement shall enter into force on the date first above mentioned and shall remain in force till the validity of the Agreement and for a further period of five years thereafter.
- b) Notwithstanding Clause 10 above, MMTC may terminate this Agreement by giving a 30 days prior written notice to the other Party.

---

### 10.11. Consequences of Termination

---

- a) Upon termination of this Agreement, <COMPANY NAME> shall return all Confidential Information that is in tangible form (including, without limitation, Confidential Information contained on computer disks) furnished, together with any copies or extracts thereof; and
- b) Termination will not affect MMTC's right to claim damages, in case of breach of any of the terms and conditions of this Agreement by <COMPANY NAME> or its Representatives.
- c) <COMPANY NAME> shall cease use of any Confidential Information after the termination of this Agreement. This Clause shall survive termination of this Agreement.

---

### 10.12. Governing Law

---

This Agreement shall be governed by laws of India.

---

### 10.13. Entire Agreement

---

This Agreement constitutes the entire agreement of the parties with respect to the subject matter thereof and supersedes any and all prior communications understandings and agreements between the parties, whether written, oral, express or implied relating thereto. No amendment or modification to this Agreement shall be valid unless in writing and signed by a duly authorised Representative of each of the parties.

---

### 10.14. Dispute Resolution

---

Any dispute or difference whatsoever arising between the parties out of or relating to the construction, meaning, scope, operation or effect of this contract or the validity or the breach thereof shall be settled by arbitration by a sole arbitrator to be nominated by Chairman & Managing Director (CMD) of MMTC. The provisions of Arbitration and Conciliation Act, 1996 shall apply to such arbitration proceedings. The seat of arbitration shall be New Delhi.

---

### 10.15. Severability

---

If any term or provision of this Agreement is found by a court of competent jurisdiction or by a duly appointed Arbitrator under Clause 13 of this Agreement, to be invalid, illegal or otherwise unenforceable, such term or provision shall not affect the other terms or provisions of this Agreement or this Agreement as a whole, (which shall continue to remain valid, binding and enforceable by and against the parties notwithstanding any such finding) but such term or provision shall be deemed modified or deleted to the extent necessary, to render such term or provision enforceable. Upon such modification, the rights and obligations

of the parties shall be construed and enforced in accordance with such modification, preserving to the fullest permissible extent the intent and agreements of the parties set forth in this Agreement.

10.16. Notices

Any notices to be given hereunder by either party to the other shall be in English and sent by registered letter, courier or facsimile to the other party at the addresses stated below:

- (a) MMTC LIMITED  
Core-1, SCOPE Complex,  
7 Institutional Area, Lodhi Road,  
New Delhi-110 003
- (b) < Name & Address of System Integrator (SI)>

Any notice shall be effective only upon actual receipt at the above mentioned address unless change in the address is notified by a party by giving 10 days advance notice.

**IN WITNESS WHEREOF** this Agreement has been executed by the duly authorised Representatives of the parties the day and year first above written.

1. Signed and delivered by:

\_\_\_\_\_

MMTC LIMITED  
Core-1, SCOPE Complex,  
7 Institutional Area, Lodhi Road, New Delhi-110 003

2. Signed and delivered by:

\_\_\_\_\_

< Name & Address of System Integrator (SI)>

In the presence of the following witnesses:

1. \_\_\_\_\_

2. \_\_\_\_\_



## 11. Service Level Agreement

---

This Service Level Agreement together with all its annexures (hereinafter referred as “SLA”) is made and signed at New Delhi on the <XXX> day of <XX> 2015.

**Between,**

MMTC Limited, a Government of India Enterprise, having its registered office at Core -1, "SCOPE COMPLEX, 7 Institutional Area, Lodhi Road, New Delhi – 110003, (hereinafter referred as “MMTC” which expression shall unless repugnant to the context or meaning thereof, shall mean and include its successor-in-office and assigns) represented through Mr. [●please insert], [●please insert designation], who is duly authorized to execute this Agreement, being the Party of the First Part

**AND**

< Company name with address \*\*\*>, a company incorporated under the Companies Act, 1956, having its registered office at <\*\*\*> and having its place of business at [●please insert] (hereinafter referred as “SI” which expression shall unless repugnant to the context or meaning thereof, shall mean and include its successor-in-office and assigns) represented through Mr. [●please insert], [●please insert designation], who is duly authorized vide a board resolution dated [●please insert date] passed by its Board of Directors to execute this Agreement, being the Party of the Second Part.

(The MMTC and the SI are collectively referred to as the ‘Parties’ and individually as a ‘Party’)

**WHEREAS:**

- a) MMTC is desirous to implement the project for supply, installation, implementation, operation & maintenance of ERP System on a turnkey basis for its corporate office, Regional office and other locations (hereinafter referred to as “Project”, defined hereinafter).
- b) In furtherance of the same, MMTC undertook the selection of a suitable SI through a competitive bidding process for implementing the Project and in this behalf issued Request for Proposal (RFP) dated XX/XX/2015.
- c) The SI has been selected as the successful bidder, to undertake and implement the Project as mentioned in the RFP and desired service levels, on the basis of its proposal dated [●please insert date] submitted by the SI.
- d) The SI having represented to the MMTC that it possesses and has the required professional skills, personnel and technical resources to deliver the Services and have

offered to provide the Services, on the terms and conditions set forth in this Agreement.

- e) The MMTC has agreed to accord the SI, the mandate to undertake and implement the Project in order to achieve the defined objectives and scope of work mentioned in RFP and SI in pursuance of its Proposal undertakes to implement the Project on the terms and conditions set forth below.

**NOW THEREFORE**, in consideration of the mutual covenants, promises, assurances, representations and provisions set forth herein, the Parties hereto agree as follows:

### 11.1. Definitions and Interpretations

---

In this SLA, unless otherwise specified:

- a) references to Clauses, Sub-Clauses, Paragraphs, Schedules and Annexures are to clauses, sub-clauses, paragraphs, schedules and annexures to this SLA;
- b) use of any gender includes the other genders and the words importing the singular shall include plural and vice versa;
- c) any reference to a 'day' shall, unless otherwise specified herein, mean a calendar day;
- d) a reference to any other document referred to in this SLA is a reference to that other document as amended, varied, novated or supplemented at any time;
- e) All headings and titles are inserted for convenience only. They are to be ignored in the interpretation of this SLA.
- f) The Recitals contained herein form an integral part of this SLA.
- g) Ambiguity and Discrepancy: In case of ambiguities or discrepancies within the SLA, the following shall apply:
  - i. Between Articles of the RFP and Schedules, the latter shall prevail;
  - ii. Between RFP and corrigendum and between two corrigendum, the latest shall prevail;
  - iii. Between the proposal of SI and the RFP, the RFP shall prevail;
  - iv. Between two Articles of the SLA, the provisions of specific clause relevant to the issue under consideration shall prevail over those in a general clause;
  - v. Between any value written in numerals and that in words, the latter shall prevail.

- h) Terms and expressions used in this SLA (including the Introduction) shall have the same meanings set out in Schedule I of the MSA.
- i) All Appendices and other attachments to this SLA are hereby incorporated as a part of this SLA by this reference
- j) This SLA shall operate as a legally binding services agreement specifying terms which apply to the Parties and to the provision of the Services by the SI to MMTC under this SLA and the MSA.
- k) SI shall provide the Service Levels in accordance with the performance metrics as more particularly described in Annexures of this SLA. Further this SLA shall govern the provision of the contracted professional services to MMTC after the Effective Date.

#### 11.2. Commencement and Duration of SLA

---

Service Levels during the operations and maintenance period which comprise of a period of five (5) years from the date of final go live

- a) The Service Levels defined in Annexure A shall be the applicable Service Levels during this period.
- b) If this SLA is extended further the agreed SLA's shall be applicable to the extended period also.

#### 11.3. Priority of agreements

---

The Parties hereby expressly agree that for the purpose of giving full and proper effect to this SLA, the MSA and this SLA shall be read together and construed harmoniously. Apart from the provisions as set out hereinabove, the terms and conditions stated in the MSA shall apply mutatis mutandis to this SLA. In the event of any conflict between the MSA and this SLA, the provisions contained in the MSA shall prevail over this Agreement.

#### 11.4. Terms of Payment

---

- a) In consideration of the Services to be delivered by the SI and subject to the provisions of this Agreement and of the SLA, MMTC shall pay the SI for the Services rendered in pursuance of this SLA, in accordance with the Terms of Payment Schedule set out as Schedule VI of the Agreement.
- b) The SI shall submit invoices along with supporting documents as per the payment milestones / service levels listed in SLA and / or Schedule VI of the Agreement. The payment for the undisputed raised invoice shall be payable within 30 (thirty) days from the date of receipt of the invoice. MMTC shall release the payment to SI only if

SI is able to achieve the service levels / Payment milestones as specified in SLA. In case SI is unable to achieve the service levels within the specified time, MMTC shall be entitled to charge penalties and liquidated damages as provided for in this Agreement and the SLA.

- c) Save and except as otherwise provided for herein or as agreed between the Parties in writing, MMTC shall not be required to make any payments in respect of the Services other than those covered in Schedule VI of this Agreement. For the avoidance of doubt, it is expressly clarified that the payments shall be deemed to include all ancillary and incidental costs and charges arising in the course of delivery of the Services including consultancy charges, infrastructure costs, project costs, implementation and management charges and all other related costs notwithstanding the increase in prices of the material, labour, taxes, levies, etc except the VAT and Service Tax.
- d) All payments to be made to SI in terms of this SLA shall be subject to the deduction of tax at source (TDS), wherever applicable, as per provisions of the Income Tax Act, 1961 and MMTC shall provide SI with the TDS certificates for any such deductions.
- e) It is clarified here that MMTC will also calculate a financial sum and debit the same against the terms of payment as defined in the Terms of Payment Schedule of the agreement as a result of the failure of the SI to meet the Service Level under the affected SLA, such sum being determined in accordance with the terms of the SLA.

**IN WITNESS WHEREOF THE PARTIES HAVE EXECUTED AND DELIVERED THIS AGREEMENT AS OF THE DATE FIRST ABOVE WRITTEN.**

SIGNED, SEALED AND DELIVERED

For and on behalf of the SI by:

SIGNED, SEALED AND DELIVERED

For and on behalf of MMTC Chairman  
Cum Managing Director through:

(Signature)

(Signature)

(Name)

(Name)

(Designation)

(Designation)

(Address)

(Address)

(Fax No.)

(Fax No.)

In the presence of:

- 1.
- 2.

### 11.5. Annexure A

---

Service Levels applicable for five (5) years , after completion of the Term of the Agreement, MMTC at its sole discretion may renew this Agreement for 3 (three) further terms of 2 (two) years each. In the event, MMTC does not renew the Agreement; the Agreement shall stand expired at the end of the Term.

#### Introduction

---

This Annexure describes the service levels to be established for the Services offered by the SI to MMTC. The SI shall monitor and maintain the stated service levels to provide quality service to MMTC.

#### Definitions

---

- a) "Scheduled Maintenance Time" shall mean the time that the System is not in service due to a scheduled activity. Scheduled maintenance time is planned downtime with the prior permission of MMTC, during non-business hours. The Scheduled Maintenance time within 10 hours a quarter as agreed shall not be considered for SLA Calculation.
- b) "Scheduled operation time" means the scheduled operating hours of the System for the month. All scheduled maintenance time on the system would be deducted from the total operation time for the month to give the scheduled operation time. The total operation time for the systems and applications within the Primary DC and DRC will be 24X7X365.
- c) "System or Application downtime" means accumulated time during which the System is inoperable within the Scheduled Operation Time but outside the scheduled maintenance time and measured from the time MMTC and/or its employees and/or stakeholders log a call with the SI team of the failure or the failure is recorded in the EMS Tool to the time when the System is returned to proper operation.
- d) "Availability" means the percentage of time for which the services and facilities are available for conducting operations on MMTC system including application and associated infrastructure. Availability is defined as:  
$$\left\{ \frac{\text{Scheduled Operation Time} - \text{System Downtime}}{\text{Scheduled Operation Time}} \right\} * 100\%$$

- e) "Incident" refers to any event / abnormalities in the functioning of the Data Centre and Data Recovery centre Equipment / Services that may lead to disruption in normal operations of the Data Centre and Disaster Recovery centre, System or Application services.

### Measurement and Monitoring

---

- a) The SLA parameters shall be monitored on a quarterly basis as per the individual SLA parameter requirements. However, if the performance of the system/services is degraded significantly at any given point in time during the Agreement and if the immediate measures are not implemented and issues are not rectified to the complete satisfaction of MMTC, then MMTC will have the right to take appropriate actions as per the SLA's including termination of the Agreement.
- b) Overall Availability and Performance Measurements will be on a monthly basis for the purpose of Service Level reporting. An "Availability and Performance Report" will be provided by the SI on monthly basis in the format suggested by MMTC and a review shall be conducted based on this report. A monthly Availability and Performance Report shall be provided to MMTC at the end of every month containing the summary of all incidents reported and associated SI performance measurement for that period. The monthly Availability and Performance Report will be deemed to be accepted by MMTC upon review and signoff by both SI and MMTC.
- c) EMS system as specified in this RFP shall play a critical role in monitoring the SLA compliance and hence will have to be customized accordingly. The 3rd party testing and audit of the system shall put sufficient emphasis on ensuring the capability of EMS system to capture SLA compliance correctly and as specified in this RFP. The selected SI must deploy EMS tool and develop additional scripts (if required) for capturing the required data for SLA report generation in automated way. This tool should generate the SLA Monitoring report in the end of every quarter which is to be shared with MMTC on a quarterly basis. The tool should also be capable of generating SLA reports for each quarter.
- d) MMTC shall have full access to the EMS solution (and any other tools / solutions deployed for SLA measurement and monitoring) to extract data (raw, intermediate as well as reports) as required during the project. MMTC will also audit the tool and the scripts on a regular basis.
- e) The measurement methodology / criteria / logic will be reviewed by MMTC.
- f) In case of default on any of the service level metric, the SI shall submit performance improvement plan along with the root cause analysis for MMTC's approval.
- g) For SLA related payments, the SLA measurement will be measured and computed on a quarterly basis.

---

### Annual Reviews

---

- a) During the contract period, it is envisaged that there could be changes to the SLA, in terms of measurement methodology / logic / criteria, addition, alteration or deletion of certain parameters, based on mutual consent of both the parties, i.e. MMTC and SI.
- b) MMTC and SI shall each ensure that the range of the Services under the SLA shall not be varied, reduced or increased except by the prior written agreement of MMTC and SI in accordance with the Change Control Schedule.
- c) The SLAs may be reviewed on an annual basis by MMTC in consultation with the SI and other agencies

---

### Penalties

---

- a) SI is expected to provide the following service levels. In case these service levels cannot be achieved at service levels defined in the tables below, it shall invoke the performance related penalties. Payments to the SI are linked to the compliance with the SLA metrics laid down in the tables below.
- b) The penalties will be computed and calculated as per the computation explained in this Section.
- c) The matrix specifies three levels of performance, namely, Baseline, Low, and Breach
- d) Payment of 40% of the equated quarterly payment is linked to the compliance with the SLA metrics. The positive and negative points earned during each quarter will be added to compute the net score out of 100. This percentage will be applied to the 40% of the quarterly payment to arrive at the amount payable to the operator for that quarter
  - I. The SI will get 100% of 40% of the quarterly payment if the baseline performance metrics are complied.
  - II. In case of lower performance on all the metrics, the SI will get 36% of the 40% of Quarterly Payment
  - III. In case of Breach of performance on all metrics, the SI will get 0% of the 40% of quarterly payment.
  - IV. In case if sum of the totals is negative and/ or if the calculated % of the score is negative then the SI will get 0% of the 40% of quarterly payment.

---

### Availability & Performance Report

---

<<To be filled up after the finalization of the bidder>

---

### Service levels Description

---

S. No.	Description	Measurement Methodology	Targets	Credits
<b>Application Performance</b>				
SLA 1	Time to load (simulated transactions) login page or any other page (other than home page) of the portal that can be viewed by the users without logging into the system	<p>The time includes the cumulative time of sending the request from the dedicated MMTC machine over internet to the Data Center to the time the page fully loads on MMTC machine.</p> <p>The pages will be defined by MMTC based on the criticality and number of visits to the page.</p>	<p>Baseline: &gt;=95% of the transactions take less than or equal to 2 seconds</p> <p>Lower Performance: &lt;95% and &gt;=90% of the transactions take less than or equal to 2 seconds</p> <p>Breach: &lt;90% of the transactions take less than or equal to 2 seconds</p>	<p>Baseline: 5</p> <p>Lower: 2</p> <p>Breach: -2</p>



<p>SLA 2</p>	<p>Request-Response Time for Form submission related services used by users through portal</p>	<p>The time is the elapsed time between the time requests (submission of Form including attachments) is submitted to the time the response (acknowledgement) is sent back.</p> <p>Irrespective of the transaction type, Payment Gateway and any external agency transaction times will be subtracted from the total elapsed time.</p> <p>Measurement will be on real time transactions. The response time will be measured within the data center environment between the first entry and last exit point.</p>	<p>Baseline: &gt;=95% of the transactions take less than or equal to 8 seconds</p> <p>Lower Performance: &lt;95% and &gt;=90% of the transactions take less than or equal to 8 seconds</p> <p>Breach: &lt;90% of the transactions take less than or equal to 8 seconds</p>	<p>Baseline: 10 Lower: 4 Breach: -5</p>
--------------	--	--	--	---

<p>SLA 3</p>	<p>Request-Response Time for services accessed by users (e.g., login (with or without the digital signature) and loading the index page, Search, view applicant details, Establishment &amp; Finance functions,)</p>	<p>The time is the elapsed time between the time requests is submitted to the time the response is received at MMTC.</p> <p>The services exclude workflow and document retrieval related transactions that are measured under separate SLAs. Irrespective of the transaction type, any transaction times will be subtracted from the total elapsed time.</p> <p>Measurement will be on real time transactions. The response time will be measured at MMTC workstations at MMTC Offices (ROs, SROs, MMTC-CO)</p>	<p>Baseline: &gt;=95% of the transactions take less than or equal to 3 seconds</p> <p>Lower Performance: &lt;95% and &gt;=90% of the transactions should be less than or equal to 3 seconds</p> <p>Breach: &lt;90% of the transactions take less than or equal to 3 seconds</p>	<p>Baseline: 8 Lower: 4 Breach: -4</p>
--------------	--	---	---	--

<p>SLA 4</p>	<p>Request-Response Time for workflow interaction / workflow based transactions (e.g., retrieval of work items,..) of the services accessed by users</p>	<p>The time is the elapsed time between the time requests is submitted to the time the response is received at MMTC.</p> <p>Irrespective of the transaction type any external agency transaction times will be subtracted from the total elapsed time.</p> <p>Measurement will be on real time transactions. The response time will be measured at MMTC workstations at MMTC Offices (ROs, SROs, MMTC-CO)</p>	<p>Baseline: &gt;=95% of the transactions should be less than or equal to 3 seconds</p> <p>Lower Performance: &lt;95% and &gt;=90% of the transactions should be less than or equal to 3 seconds</p> <p>Breach: &lt;90% of the transactions take less than or equal to 3 seconds</p>	<p>Baseline: 8 Lower: 4 Breach: -4</p>
<p>SLA 5</p>	<p>Request-Response Time for transactions with document retrieval and rendering services through portal for users</p>	<p>This is the elapsed time between request submitted to the time the first page of the document is retrieved and rendered at MMTC location</p> <p>Measurement will be on real time transactions. The response time will be measured at MMTC workstations at MMTC Offices (ROs, SROs, MMTC-CO)</p>	<p>Baseline: &gt;=95% of the transactions should be less than or equal to 10s</p> <p>Lower Performance: &lt;95% and &gt;=90% of the transactions should be less than or equal to 10s</p> <p>Breach: &lt;90% of the transactions take less than or equal to 10s</p>	<p>Baseline: 6 Lower: 2 Breach: -4</p>
<p>Application &amp; Infrastructure Availability</p>				

SLA 6	Recovery Time Objective (RTO)	Measured during the regular planned / unplanned (MMTC at its discretion can ask SI to do a drill) DC-DR Drill or an DC / DR outage	Baseline: <= 4 hours Breach: Default of the Baseline	Baseline: 5 Breach: -1 * per every additional four hours of downtime
SLA 7	Availability of Services for users	Measured as availability of select set of end-to-end services that when executed, cover the underlying solution and infrastructure components (e.g., servers, database, content management, forms)  The services shall be measured on 24X7X365.	Baseline: >= 99.5%  Lower Performance: <99.5% and >= 99% Breach: <99%	Baseline: 10 Lower: 4 Breach: -5
Support Performance				

<p>SLA 8</p>	<p>Resolution of Tickets logged by MMTC users (Excludes Tickets for generation of ad-hoc reports)</p>	<p>Measurement of resolution time from the ticket is logged to the time it is resolved. The tickets include turnaround time for repairs or replacements, infrastructure and also incident reporting of application mal function</p> <p>Level 1: Operational Issues / show stopper                  Level 2: Workaround available                  Level 3: Modifications or bug fixes</p>	<p>Baseline:</p> <p>a. &gt;=95% of Level 1 tickets should be resolved within 4 working hours, remaining 5% within One Working Day;</p> <p>b. &gt;=95% of Level 2 tickets should be resolved within 2 working days, remaining 5% within Four Working Days; and</p> <p>c. &gt;=95% of Level 3 tickets should be resolved within 4 working days and remaining 5% within Five Working Days;</p> <p>Breach: Default of the Baseline</p>	<p>Baseline: 4                  Breach: 2</p>
<p>Key Measurements</p>				

SLA 9	Key Measurements	As required for each metric.	Metrics	
			<p>Availability (on 24X7X365) of non-critical applications(EMS , Helpdesk, Email) &gt;= 99%</p> <p>Complete Response (Change Request Note) from the date of receiving approval for the same from MMTC on the Change Requests Initiated by MMTC &lt;= 15 days</p> <p>Change Requests should be completed within 15 days from the date of approval from MMTC (or as accepted by MMTC) * of the Change Request Note</p> <p>Baseline: No Default on any of the above metrics</p> <p>Lower Performance: Default on any one of the above metrics</p> <p>Breach: Default on &gt;1 of the above metrics</p> <p>*N.B.: The commercial implications, if any, of the change request will be determined as per the scope of work defined in the RFP.</p>	<p>Baseline: 5</p> <p>Lower: 2</p> <p>Breach: -4</p>

1

***End of Volume III***

# Request for Proposal for implementation of Enterprise Resource Planning System at MMTC Limited

Tender Reference No: : MMTC/CO/COMP/ERP/RFP/2015-16/1 dated 29.10.2015  
Volume I Annexures



**A Govt. of India Enterprise**

(Core-1, SCOPE Complex, 7, Institutional Area, Lodi Road)

New Delhi – 110 003 (India)



## Annexure II

---

### Functional Requirement Specifications

### Functional Requirement Specifications for Implementation of ERP at MMTC

Please indicate your response as one of the following for each specification.

Sup - Functionality available as a standard package feature including Supporting the requirements via modifications (screen configurations, reports, GUI tailoring, etc.)

3rd- Supported via a third party solution

Cus - Functionality not available. It would be customized to meet the requirements i.e. changes to source code

Ns- Functionality not supported

#### Response Value Table

	Score
<b>Sup</b>	1
<b>Cus</b>	0.75
<b>3rd</b>	0.5
<b>Ns</b>	0
<b>Component</b>	Required Solution Component/s (with version where necessary).
<b>Comment</b>	Indicate the section & page number in your proposal where you are complying to the given criteria

#### Instructions

Complete the worksheet by placing an **X** in the appropriate column for each criterion. The **X**'s should represent the current state of a particular product or service.

General Requirements	Responses Table	
This section of Functional Requirements takes care of the General system requirements	Sup	Supported
	Cus	Customization
	3rd	Third Party
	Ns	Not Supported

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	The Proposed System should						
1	support Bi Lingual Eg: English and Hindi						
2	support multiple currency (with base currency as INR)						
3	support multi location						
4	support multi organization structure						
5	support solution architecture that shall be platform and vendor independent						
6	be based on multi-tiered architectures						
7	allow infrastructure simplicity and standardization						
8	capable of supporting disaster recovery						
9	support SSL and digital certificates, biometric, OTP etc. for authentication						
10	have the ability to scale up as and when the new business applications and services are added without compromising the performance of the overall solution						
11	interoperable in nature and design and development should be based on Service Oriented Architecture (SOA) supporting web services						
12	be modular and support addition / removal of one or more modules as and when required						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
13	support interfacing with PDA, Smart Card readers, RF devices, data acquisition system, biometric devices etc.						
14	support standard interfaces such as adapters, APIs to interface with standard application and legacy applications and support user exits						
15	support real-time data updates and interfaces with software from other vendors						
16	support for the up gradation without affecting the current version						
17	support data conversion tools						
18	Support imaging and archiving.						
19	support the upload and download of multiple types of documents into the document management system that include office documents, image files and engineering drawings						
20	support e-mail integration/interface						
21	support porting of data from legacy systems						
22	support sharing of same master files across all modules						
23	ensure validation of the master file values ( e.g. supplier code, item number) in all types of data entry						
24	have a provision to input all data on-line						
25	have a provision to accept data in batch and validate it through in-built routines						
26	allow up to 3 decimal places for input, calculation and reporting						
27	have provision for reference files to be used by all validation programs(e.g. a single master parts file for validation of part numbers and associated transactions)						
28	have a provision to display error messages that adequately describe the cause of the error and the recommended course of action						
29	have a provision for error messages						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
30	have a provision for validation rules to be changed easily by the user without program changes						
31	Have controls to ensure the same transaction is not processed twice Eg. Vendor payment transaction, salary transaction for same employee						
32	provide transaction level security based on the users authorized access profile						
33	provide work flows for the transactions						
34	have a provision to generate default data						
35	display default data during input						
36	allow the default data to be tailored to individual user specifications						
37	permit for over writing of default data						
38	allow users to customize menus and screens without requiring programming changes						
39	have a provision to periodically archive						
40	allow user definable retention and archiving of data, i.e. number of years of history to be maintained						
41	Ensure data integrity in the event of a software or hardware failure.						
42	provide control mechanism to check if all data processing is happening correctly						
43	allow purging old data with the required user authorization						
44	have screen formats within each module that are consistent in the way they ask for and present information						
45	have the database system that contain both transaction and period balance data of all the modules so that the report writer and inquiries can accumulate balances quickly rather than add up all the relevant transactions						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
46	allow for the simple addition of new fields to records or provide space for additional fields in the database and application that will be required						
47	provide a user friendly graphical user interface (GUI)						
48	Provide user friendly and simple navigation screens.						
49	provide the facility to capture the pictures/drawings of the items/properties etc.						
50	have provision for generating reminders for time critical activities (as per user definitions)						
51	have provision for office automation system for:						
52	- File movement						
53	- File Tracking						
54	- Access restrictions to file sections based on role						
55	have provision to define multiple workflows for office automation system based on different department needs						
56	have provision to define different workflows for office automation system for different organizations						
57	support defining of Delegation of Authority/ Power for various activities:						
58	- Purchase Order Approvals						
59	- Vendor Approvals						
60	- Various Sanctions						
61	- Payment Approvals						
62	- Other user defined activities						
63	enable role based access at:						
64	- Module Level						
65	- Screen Level						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
66	- Field Level						
67	enable segregation of duties based on role based access						
68	have provision for pre-audit of transactions such as:						
69	- Salary Bills						
70	- Vendor Payments						
71	- Purchase Order releases						
72	- Purchase Agreements						
73	- Sanctions						
74	- Other user defined processes						
75	have provision to restrict transactions from being posted unless the pre-audit is completed, if a pre-audit is built as part of the process						
76	enable release of departmental circulars to be released through system screen						
77	have provision to maintain the record of all circulars released over a period of time						
78	enable searching of circulars by:						
79	- Department						
80	- Date of release						
81	- Effective date of the circular						
82	- Topic						
83	enable recording and tracking of institutional memberships taken by MMTC						
84	enable maintenance of standard formats for forms						
85	enable automated posting of transactions to financial accounts						
86	not have any restrictions in creating number of horizontal and vertical layers while mapping the organization						
87	have Single-sign-on facility to logon to the system ( Debate)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
88	be accessible on web browser						
89	Not permanently delete any data from the system.						
90	Support workflow management system. The workflows should be mapped with the email id's for sending out automated alerts and notifications						
91	System should maintain the log of all the transactions for audit purpose						
92	have role based security access						
93	Generate alerts, reports. The time taken for generating a simple employee personal information report should not be more than 3 seconds						
94	enable administrator to rename fields						
95	should be able to sort and sequence the reports						
96	have the ability to provide mailing labels and also send out both automate emails ( like salary slip generated) and manual emails						
97	Allow import and export of data. It should support all commonly used formats like. .doc, .docs, xls etc.						
98	The system should provide the ability to schedule batch jobs.						
99	The system should provide the ability to backup, recover, restart, and cancel jobs.						
100	The system should contain date/time stamp and user information reflecting an audit trail on every data element.						
101	The system should provide the ability to maintain separate development, testing & production environments.						
102	The system should be accessible both through WAN and internet. The system should provide a provision for centralized updates.						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
103	The system should require standard Internet connection and TCP/IP protocol to access all user interfaces						
104	The system's access requirements through firewalls must be clearly identified and follow standard port designations.						
105	The system's database management system should be ODBC and/or OLE DB compliant.						
106	The system should support web-enabled interface.						
107	The system database should run on any of the leading RDBMS (latest version)						
108	The system should provide access from outside of the firewall by non-domain external users in accordance with generally accepted security standards.						
109	The system should provide self service capabilities in order to allow vendors, customers and employees to inquire on and update their current information. Users would be able to login remotely using a web browser to view/change their information.						
110	The system should contain toolsets to accommodate the following:						
111	API maintenance						
112	Database maintenance						
113	End-user interface design						
114	System upgrade administration and patches						
115	System security.						
116	The proposed solution should offer a full suite of utility tools required to execute various system maintenance functions including:						
117	Backup management						
118	Multiple monitoring sessions						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
119	Storage archival and retrieval						
120	Performance monitoring (application and system)						
121	Ability to monitor executing jobs						
122	Batch monitors						
123	Database optimization						
124	The system should allow for the assignment of or automatic document numbering.						
125	The system should track system uptime and transaction response times in order to demonstrate operation within acceptable levels.						
126	The system should provide the ability for the database to run its backup.						
127	The system should provide automated transaction back-out/roll-back should the system fail during transaction processing and/or a transaction fails to reach normal processing completion.						
128	The system should provide for and support the ability to control the priority of batch jobs based upon multiple user-defined criteria.						
129	The system should support decentralized data entry.						
130	Should support load balancing and clustering						
131	The system should support extensive search capabilities including wild cards, any field or any combination of fields.						
132	The system user manual should be provided in electronic format.						
133	The system's comprehensive technical systems documentation and technical manuals designed for IT personnel should be available for the system.						
134	System help should contain a complete data dictionary for all system tables and data fields terminology.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
135	The system should allow the setup of error messages so they can be defined to allow override or block/no-override ability.						
136	The system should indicate "Mandatory" fields in each screen to facilitate data entry						
137	The system should provide for integration with other software's /tools and tools to easily export data						
138	The system should support standard Internet security including, but not limited to Secure Hypertext Transfer Protocol (HTTPS).						
139	The system should support latest versions of multiple leading browsers like IE, Firefox, Chrome etc.						
140	The system should provide enterprise application integration (EAI) functionalities.						
141	The system should support data-transfer via flat files (i.e.: ASCII, variable and/or fixed length, comma-delimited, etc.)						
142	The system should provide the ability to interface or integrate with LDAP and support a single user sign on.						
143	The system should have the ability to interface or integrate with the existing messaging solutions.						
144	The system should provide users for customizations and integration Software Development Kit (SDK) that allows the technical staff to enhance and integrate the system.						
145	The system should provide the ability to AutoFill on any field, i.e. auto completion of one field based on prior data entry						
146	The system should provide user-defined executive dashboard (financial information, key performance indicators, etc.) based on user profile						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
147	The system should support the input of values into fields without the use of a drop down box by typing in first few letters until valid value appears in box.						
148	System error messages should appear in a consistent format across all system modules and should be customizable.						
149	The system should allow transactions to be selected by any combination of date range, transaction type, User ID, etc.						
150	The system should have a built in calendar allowing in processing and transaction dates for holidays, weekends, etc.						
151	The system should provide the capability to store, retrieve, display and print imaged documents. The solution must provide the capability to receive scanned documents from document scanners having industry-standard connection protocols (SCI, TCP/IP, etc.)						
152	The system should be able to accept scanned or electronic documents in any format (pdf, xls, doc, ppt) and link them to a data record.						
153	The system should provide transaction logging or journalizing at the data base level. The system should be able to be recover all on-line transactions from the transaction log.						
154	The system should provide migration paths for new fields during software upgrades						
155	The system should be scalable to accommodate potential increase in the number of users.						
156	The system should allow the online creation of new user-defined data fields for miscellaneous data tracking, alteration of database structure, and update of a global data dictionary with these elements through proper security and audit mechanism.( rework)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
157	The system should use appropriate rules and constraints to enforce and maintain referential integrity.(rework)						
158	The system should be able to run on servers in a cluster environment.						
159	The system should support server "virtualization"						
160	The system should provide a log for rejected or unposted transactions.						
161	The system should provide the use of electronic approvals in order to capture required digital signatures for electronic documents.						
162	The system should provide the use of digitized signatures in order to print electronic signatures.						
163	The system should provide the ability to electronically interface with other applications and systems						
164	The system should synchronize LDAP users to facilitate a single sign on.						
165	The system should synchronize LDAP groups to facilitate security controls.						
166	The system should track the use of the system by authorized users.						
167	They system should provide a "forget password" reset process.						
168	The system should provide the ability for users to change their own password.						
169	The system should have the ability to report attempts by unauthorized users to use the system.						
170	The system should have the ability to suspend after "x" attempts to access the system with an incorrect password if authentication is internal to the system.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
171	The system should have a single log-on to provide access to all modules/functions						
172	The system's Ad Hoc/Query/Reporting should be subject to application security.						
173	The system should support data encryption.						
174	System audit trails should distinguish between administrative and/or financial actions.						
175	The system should retain audit trail information for the following:						
176	System activity (system logins)						
177	Document and data changes, including approvals						
178	User name, ID, time, date, revised amount, and before and after update results						
179	The system should have the ability to define user access based on:						
180	Departments/Organizations						
181	Roles						
182	Individuals						
183	Application						
184	File or document type						
185	User ID and administratively-defined groups.						
186	Menu						
187	Module						
188	Report						
189	Screen						
190	Transaction type						
191	The system should have the ability to define user access based on:						
192	Databases						
193	Tables						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
194	Documents						
195	Data Elements						
196	The system should have the ability to define and lookup a user based on:						
197	User Name						
198	Role						
199	User ID						
200	Organization Name/Number						
201	Date user was created						
202	Last login						
203	The system should allow users to review security transaction history in a report.						
204	The system should allow multiple security roles to be assigned to the same user						
205	The system should provide for a secure database environment available only to defined processes						
206	The system should provide the ability to define security profiles to authorize users to view, update and approve data.						
207	The system should provide the ability to configure User ID/password rules such as length, alpha/numeric, upper/lower case, password definition and expiration period.						
208	The system should support role inheritance, so system administrator can combine roles, and modify the parent role to form a new role.						
209	The system should provide ability to view or obtain security reports showing:						
210	Security breaches or attempts						
211	Authorized system use						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
212	Changes to security profiles						
213	Security snapshot on a specific time period specified by the user						
214	Audit trails for all transactions which alter data anywhere in the application (add, update, delete)						
215	Audit trail to contain- Date stamps, login user ID, context of transaction, fields affected and before and after data values (please specify the contents of Audit Trail record)						
216	Archiving of old audit trail logs						
217	System to support the Interfaces/Integration with other applications						
218	Support integration of bulk load of flat files						
219	Should support verification of data integrity before the data is loaded into the package tables.						
220	In case of errors, it should identify list of rows that have produced errors and should not load any rows from the flat file, till all the rows are error free.						
221	Application Programming Interface (API) based integration						
222	Should support XML based messages.						
223	Should support standard transport protocols like http, https, ftp, ftps, imap and smtp.						
224	Should support BPEL, SOAP, WSDL, HTTP and UDDI						
225	System to support Tracking document & files within and across locations						
226	System to support in-built Document Viewer to view various document formats such as TIFF, PDF, JPG, PDF a, MS Office documents, emails, faxes etc.						
227	System to support						
228	Annotations						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
229	Access security for view, change & delete with a role-specific viewing of details						
230	System should support Data Archiving, which allows removal of data from the database and storing it in a consistent and secure manner. The archived data should be stored in a file system and from there it can be moved to other, more cost efficient storage media.						
231	System should support restore functions for the archived data						
232	System should support "search" function on the archived data						
233	System should be able to archive and retrieve linked business documents so that there is data consistency while archiving & retrieval						
234	System should provide tool to view linked business documents in the archive						
235	Peripherals Integration with devices like bar code, printers mobile devices, etc.						

Finance & Accounts	Responses Table	
This section of Functional Requirements takes care of the Finance and accounts	Sup	Supported
	Cus	Customization
	3rd	Third Party
	Ns	Not Supported

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<b>Central Accounts</b>						
	<b>General</b>						
1	The system to support the definition of multiple company codes / entities.						
2	The system to club multiple company codes into a group						
3	The system to support the definition of multiple units and sub-units. (Units are accounting units- Corporate office, Regional Office Sub Regional office, Field Offices, Project Offices etc.						
4	The system to record company details like the name, registration number, transaction currency, SEZ Status etc.						
5	The system to control the transaction processing with rules defined for each of the company code / units:						
	<ul style="list-style-type: none"> <li>Set-up of transaction types for a unit</li> </ul>						
	<ul style="list-style-type: none"> <li>Set-up of processing and accounting rules along with GL account code for each transaction</li> </ul>						
	<ul style="list-style-type: none"> <li>Rules for mandatory fields for inputs</li> </ul>						
	<ul style="list-style-type: none"> <li>Rules for overrides and workflows</li> </ul>						
6	The system to support the extension of GL masters i.e. account codes, customer and vendor master for use by more than one company code						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
7	The system to provide for segmental reporting based on different geographies and business segments.						
	<b>Transaction Accounting - General Requirements</b>						
8	The system to generate an output of all accounting entries for a user specified period						
9	The system to identify, distinguish between realized and unrealized gain and loss (G/L) in the system and report on the items						
10	The system to support rounding (up, down, nearest)						
11	The system to process, track, account and report on for the necessary range of currencies across all the modules						
12	The system to permit entry of free format text (e.g. in the case where the accounting personnel wants to provide additional information during posting of Journal entries, vouchers etc.)						
13	The system to support the user definable fiscal years with following capabilities:						
	<ul style="list-style-type: none"> <li>splitting a fiscal year into multiple user-definable accounting period</li> </ul>						
	<ul style="list-style-type: none"> <li>allow for multiple accounting periods to be "open" at any given time</li> </ul>						
	<ul style="list-style-type: none"> <li>restrict posting to specific accounting periods based on authorizations &amp; allow for posting to prior periods based on authorizations</li> </ul>						
	<ul style="list-style-type: none"> <li>not allow for posting to prior fiscal years which have been closed at corporate level</li> </ul>						
14	The system to have voucher processing controls with following capabilities:						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<ul style="list-style-type: none"> <li>provides for directly posting any voucher to the ledger or keeping it "on-hold"</li> </ul>						
	<ul style="list-style-type: none"> <li>should not allow for modifications of any voucher posted to the ledger</li> </ul>						
	<ul style="list-style-type: none"> <li>should allow modifications of details on a voucher kept "on-hold"</li> </ul>						
	<ul style="list-style-type: none"> <li>provides for automatically reversing any voucher:</li> </ul>						
	<ul style="list-style-type: none"> <li>Individually</li> </ul>						
	<ul style="list-style-type: none"> <li>Collectively batch wise</li> </ul>						
15	The system to process voucher in faster ways and ease of data entry; in the following ways:						
	<ul style="list-style-type: none"> <li>Provision to provide reference to an existing voucher with an option for copy and modify few details as required before posting.</li> </ul>						
	<ul style="list-style-type: none"> <li>Should provide for voucher templates</li> </ul>						
	<ul style="list-style-type: none"> <li>Should provide for recurring vouchers</li> </ul>						
16	The system to support multiple sub-ledger of main ledger/General Ledger with following requirements						
17	The system to support assignment of accounting details for the sub-ledgers and its components like Customer, Purchase Vendor/ Supplier/ Contractor, Employee, Asset, Inventory, Work Order, Investment, Loans, Project, Borrowings, Deposits, Govt. Bodies (Taxes) etc. with segregation of its type whether asset or liability.						
18	The system to automatically post and update general ledger control / main account whenever a sub-ledger account is posted.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
19	The system to maintain only balances for control accounts in the General ledger till closure; further details of such transactions would be available in the respective sub-ledgers.						
20	The system not to allow direct postings to main / control accounts in general ledger.						
21	The system to provide an option to match debits and credit when a voucher is posted						
22	The system to automatically issue warning for duplicate vouchers based on same dates, same references, same accounts, same party etc.						
23	The system to record the dates of the event, accounting, preparation of the voucher, authorization of the voucher, changes, if any, reference document, rectification, if any etc. on each voucher						
24	The system to support memo transactions for reporting.						
25	The system to automatically convert any of the memo transactions into regular transactions for processing.						
26	The system to keep track of all inter-related transactions e.g. Purchase order to Goods Receipt to Vendor invoice to Payment						
27	The system to support reporting for user-definable accounting periods or a period range for all reports						
28	The system to allow printing documents / reports on pre-printed stationery.						
29	The system to allow mapping of Chart of Account Codes with the one as prescribed by the Corporation & Schedules						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
30	The system to integrate with other modules as and when introduced without much customization/modification to the existing module.						
	<b>General reporting requirement</b>						
31	The system to print / publish reports; and save them as viewable files in PDF, TXT, MS-Excel, XBRL and XML formats.						
32	The system to export and extract data and graphical reports to spreadsheets / databases/ text/ presentations, etc for analysis and reporting.						
33	The system to support customizations of reports to company's needs, as per the details listed below:						
	<ul style="list-style-type: none"> <li>Ability to allow users to specify the exact layout of the required report including location of the fields, header, footer, page numbering, title etc.</li> </ul>						
	<ul style="list-style-type: none"> <li>Ability to export extracted data and graphical reports to spreadsheets / databases/ presentations</li> </ul>						
34	The system to provide context sensitive help to guide users to form the reports required by them						
35	The system to define a schedule for generation of each report. (e.g.: daily, weekly, monthly)						
36	The system to define users to whom the report needs to be sent. The output format can be a paper or electronic Via email/internet/intranet etc.						
37	The system to be able to isolate and report on errors and exceptions.						
	<b>Reporting</b>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
38	The system to generate financial statements at the various defined levels of the Organization / entities						
39	The system to generate financial statements for multiple groups of organizations / entities via consolidation						
40	The system to support the generation of internal reports and transactional reports for each of the organizational units. It should be able to report at least on the following heads:						
	• By revenue/ expense heads						
	• By Asset/Liability heads						
	• By transaction types						
	• By status in the workflow process like draft, pending						
41	The system to generate profitability reporting across units as well as profitability for the entire organization						
42	The system to support the definition and maintenance of alternative organizational structures for internal and external reporting. (Example grouping/regrouping of entities/units for MIS reporting etc.)						
43	The system to create separate physical segregation of data by organizations / entities						
44	The system to provide statutory financial ratios based on set parameters as required by 3-4 government agencies						
	<b>General Ledger</b>						
45	The system to support entry of description or name of Corporate office, Regional Office, SRO etc. for each location / account Code						
46	The system to maintain group chart of accounts						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
47	The system to support multiple charts of accounts and map the transactions automatically onto the different charts.						
48	The system to add new general ledger codes to the existing chart of accounts						
49	The system to support generation of voucher on serial number maintained for units						
50	The system to define functional / base currencies of the respective companies.						
51	The system to block and delete GL accounts not in use. However deletion to be done with proper authorization						
52	The system to create an audit trail for the GL account created and amended						
53	The system to ensure that only authorized persons are allowed to create general ledger master data.						
54	The system to add new accounts, change descriptive information on existing accounts and delete accounts no longer required.						
55	The system to maintain books of accounts for multiple companies with a single chart of accounts.						
56	The system to capture the following information in accounting for a transaction should : cost center, budget code, project office areas and states etc.,						
57	The system to allow ability to view the Chart accounts as drop down list restricting to that group or near by group.						
	<b>Transaction input</b>						
58	The system to support input of following illustrative fields on transactions:						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<ul style="list-style-type: none"> <li>Voucher series, Transaction reference, Accounting period (to be automatically derived from date) etc. at Header level</li> </ul>						
	<ul style="list-style-type: none"> <li>Account code, Amount, Debit/credit indicator, Quantity (optional), Analysis code etc. at Line level</li> </ul>						
59	The system to support 'park & post' of documents						
60	The system to list the 'parked' documents and option to 'post' them individually or collectively						
61	The system to support automatic accounting entries for accounts payable accounting, fixed asset accounting, accounts receivables , HR,Payroll, Shipping , etc as per business needs of MMTC.						
62	The system to support budget preparation group wise/department wise/ location wise etc.						
63	The system to support accounting for security deposit and calculation of interest on security deposit.						
64	The system to support reversal of vouchers with a reason code.						
65	The system to display individual voucher wise entry for general ledger as well as consolidated total for user specified period for current year as well as prior years.						
66	The system to display all outstanding, still to be cleared from the system separately in the general ledger report						
67	The system to record & report Inter unit / Inter company transactions and to reconcile them periodically.						
68	The system to assist users in routine vouchers entries by creating predefined sample vouchers for frequent use.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
69	The system to identify all predefined provisional voucher, which have not been posted in the books of accounts like rent, electricity etc.						
70	The system to drill down the report upto the user level documents						
71	The system to support posting of expenses identified as 'recurring' on a pre-defined logic and get posted automatically once the program has been executed on a specified date.						
72	The system to support posting of expenses identified as 'deferred entries' on a pre-defined logic						
73	The system to be able to reverse the entry generated be reversed on the specified dates.						
74	The system to support clearing of all outstanding entries in the general ledger						
75	The system to identify separately all outstanding entries pending for clearing and all cleared entries.						
76	The system to facilitate online document approval process at multi levels. (System should allow posting to General ledger only after final approval is received from the reviewing authority						
77	The system to allow the user to review the document before final posting.						
78	The system to allow entry of foreign exchange rates on a periodic basis						
79	The system to calculate foreign exchange fluctuation at the time of financial statement closing process as per the prevailing exchange rate						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
80	The system to support the calculation and accounting of foreign exchange rate variation at the month and year end as per accounting standards applicable						
81	The system to restate the foreign exchange transactions at the prevailing rate at the month end and post entries for foreign exchange rate variation for the purpose of monthly financial statements						
82	The system to reverse the foreign exchange rate variation entries in the following month/or at a specified date/period.						
83	The system to have option of compulsory data entry in selected fields as decided by the company						
84	The system to stop the user from further processing if the required data/field is not entered.						
85	The system to support journal amount(s) entry as debits or credits, mentioning the account code, sub-accounts, Cost center/charge codes, sub-ledgers, line description, header description etc.						
86	The system to support the following types of journals:						
	<ul style="list-style-type: none"> <li>• Accrual and prepayment journals, which automatically reverse themselves in the following period.</li> </ul>						
	<ul style="list-style-type: none"> <li>• Blank journals template where the bulk of the information is pre-coded with account codes and only the date and amounts needs to be entered.</li> </ul>						
	<ul style="list-style-type: none"> <li>• Recurring journals, which are similar to blank journals template but with the values pre entered with capability to modify desired data.</li> </ul>						
	<ul style="list-style-type: none"> <li>• Regular entry of journals</li> </ul>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<ul style="list-style-type: none"> <li>Recurring journals to a set of accounts with varying / same amount.</li> </ul>						
	<ul style="list-style-type: none"> <li>Journals for the prior period items</li> </ul>						
	The system to support clearing accounts and balance them at the transaction completion with following requirements:						
	<ul style="list-style-type: none"> <li>The system automatically generates offsetting entries to specified clearing (memo, off financial statement) accounts</li> </ul>						
	<ul style="list-style-type: none"> <li>Break-up of balance into unsettled transactions should be possible</li> </ul>						
	<b>Sub-ledgers and Integration</b>						
87	The system to consolidate information within and across general ledgers for month end reporting purposes						
88	The system to integrate G/L, accounts payable, accounts receivable with all the sub-ledgers and synchronize with the G/L in on-line, real-time manner. System should facilitate recording of transactions through sub-ledger, e.g. employee wise conveyance, LTA, etc.						
89	The system to support the functionality of financial module to be fully integrated with the logistics and payroll modules thus ensuring that the operational and financial books always reflect the same results.						
90	The system to have a common control account as a link between sub-ledgers detail and general ledger summary						
91	The system to post to control accounts in the general ledger automatically, the postings made to sub-ledgers.						
92	The system to detect any differences between sub-ledgers and control accounts in main general ledger						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
93	The system record and do inter-company / inter-unit accounting for the transactions						
94	The system to report on the inter-company / inter-unit balances						
95	The system to reconcile accounts of the inter-company / inter-units						
96	The system to support multiple levels of approval for a journal voucher before it is posted into General Ledger.						
97	Period-end Closing						
98	The system to track period-end provisions by different voucher series.						
99	The system to automatically keep all provisions till 31st March / FY closing						
100	The system to automatically re-group accounts based on balances (i.e. creditors with a debit balance or debtors with a credit balance).						
101	The system to identify the need of any corrective measures/ items of exceptions with respect to the closing the financial periods; in a scenario of multiple modules (sub-ledgers) to be closed before closing the GL.						
102	The system to ensure that all pending activities are carried out before closure and prompt any alert or notification if some activities are not carried out.						
103	The system to allow post adjustment entries in closed period with proper audit trail and authorization.						
104	The system to make provisions for expenses from the system based on open items at the time of period closing.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
105	The system to create provisions for all open GR before making provisions for the period						
106	The system to keep all provisions made on 31st March						
107	The system to do a periodic and year end closing of accounts as per user defined closing calendar.						
108	The system to carry forward the closing balance of the financial year as opening balance to the next financial year automatically						
109	The system to maintain monthly accounting periods in the financial year followed by the company.						
110	The system to facilitate blocking of entries in a particular general ledger during the opening of the financial period.						
111	The system to monitor closing provisional entries separately.						
112	The system to calculate transaction profit/ translation loss on foreign exchange transactions.						
113	The system to post and view transactions in foreign currency as well as in local currency.						
114	The system to automatically carry forward of balances for balance sheet accounts						
115	The system to automatically reset of all profit and loss accounts for new year						
116	The system to automatically transfer of P&L accounts for closing year to show the balance in the retained earnings for the books						
117	The system to keep the previous year open for a specified period while processing the next year's data						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
118	The to provide additional periods for the adjustment entries i.e. say audit entries on the last day of financial year /month for any outstanding liability/adjustments						
119	The system to allow write off prepaid expenses regularly on a predefined basis						
120	The system to calculate interest as per predefined information.						
	<b>Financial Statements and Reporting</b>						
121	The system to generate Trial balance at periodic intervals.						
122	The system to generate Profit/Loss Account & Balance sheet in accordance with companies act and relevant laws						
123	The system to generate a report on net movement by account, showing opening balance at start of month, net transactions value (or detailed transaction) and closing balance.						
124	The system of system to have a transaction listing based on:						
	• By Account(s)						
	• By Date(s)						
	• By Voucher Number(s)						
	• By Voucher series(s)						
	• By User(s)						
	• By transaction type(s)						
125	The system to allow for generating financial statements at the following levels:						
	• Across Head Quarter units						
	• Across Project units						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<ul style="list-style-type: none"> <li>• Across Cost Centers</li> </ul>						
	<ul style="list-style-type: none"> <li>• Across Profit Centers</li> </ul>						
	<ul style="list-style-type: none"> <li>• Across Divisions/Branches</li> </ul>						
126	The system to handle reporting and disclosure requirements under relevant accounting standards applicable in India.						
126	The system to map sales to the related purchases (For example Facilitate the SEZ purchases and sales linking for taxation purposes)						
126	The system to support books for GAAP compliance.						
126	The system to support books for IFRS compliance when applicable						
126	The system to have the capability of supporting multiple calendars years for reporting purposes.						
126	The system to maintain audit trail of documents created in the system						
126	The system should be able to identify the user who created the document , the user who approved the document, user who edited the document and what all has been edited)						
126	The system to allow ability to retrieve expenditure from inception to till date without transfer to P&L						
126	The system to generate trial balance for any of the units and must allow consolidation						
126	The system to generate Trial Balance showing opening balance, transactions and closing balance						
126	The system to generate Trial Balance for the period/ date range input by the user						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
126	The system to generate Profit/Loss Account & Balance Sheet as per the other books maintained (Example IFRS, GAAP Accounting Standards applicable in India etc.)						
126	The system to generate Profit/Loss & Balance Sheet for the period inputted by the user						
126	The system to allow Quarterly, half yearly and annual consolidation of Financial Statements (Balance Sheet and Profit & Loss statements)						
126	The system to have the ability to do projections for a specified period (Balance Sheet and Profit & Loss statements) as per books( GAAP, IFRS , Accounting Standards applicable in India )						
126	The system to allow for flexible groupings of units to facilitate analysis						
126	The system to provide for building an hierarchy of units						
126	The system to capture a Unit head for each Unit at the lowest level						
126	The system to drill-down from the statement to the original transactions						
126	The system to reconcile with the general ledger on an account-to-account basis						
126	The system to generate any reports, comparing against:						
	• Previous periods						
	• Previous year						
127	The system to calculate contingent liability						
128	The system to generate cash flow as per Accounting Standards applicable in India and system to generate funds flow						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
129	The system to generate capital commitments and approved 'spill overs'						
130	The system to generate reports on government loans, equity etc.						
131	The system to generate government audit report on bank loans etc.						
132	Ability to adhere to the general principles underlying the preparation of financial statements as per Accounting Standards applicable in India						
133	Ability of the system to support multiple classification of expenses to support the analysis of expenses as per Accounting Standards applicable in India						
134	Ability to provide details for the notes to the financial statements as per Accounting Standards applicable in India						
	<b>Corporate Insurance</b>						
135	The system to provide reports for corporate insurance on fire policies, marine policies and other miscellaneous policies.						
136	The system to enable the claims for the insurances						
137	The system to get a report on the status of insurance and claims						
138	The system to get a consolidated report on the status of marine policies						
	<b>Accounts Receivable</b>						
	<b>General</b>						
139	The system to allow Accounts receivables system to be fully integrated to the general ledger and Cashbook.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
140	The system to allow for the following types of transactions:						
	• Customer invoices/ Bills						
	• Adjustment journals						
	• Collections (HO, Branches etc.)						
141	The system to define multiple document series						
142	The system to generate document numbers automatically / manually						
143	The system to generate credit/debit notes to customers based on certain predefined logic						
144	The system to generate credit notes based on sales returns and sales adjustment						
145	The system to support reversal of credit and debit notes raised with appropriate reason codes						
146	The system to provide analytical, summary and standard reports that reflect an accurate picture of the accounts receivables						
147	The system to provide details of discounts, if any, offered to customers						
148	The system to support the functionality of maintaining customer as a vendor						
149	The system to support automatic posting for sales accounting and invoice processing						
150	The system to support the functionality of maintaining credit limits in both period and value and to stop invoicing in case, the outstanding exceeds the credit limits fixed						
151	The system to support the Corporate office and Regional office accounting						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
152	The system to provide the list of billing against a sales order						
153	The system to generate sales/revenue report for the for each of the geographies, that may be identified and defined in the system						
154	The system to record client particulars PAN, TAN etc. in the system						
	<b>Invoice Transactions</b>						
155	The system to invoice the customer in currency other than local/base currency						
156	The system to support item based credit and debit notes						
157	The system to define payment terms						
158	The system to enter the document /reference number against which an invoice is raised						
159	The system to record balances in customer's transacting currencies						
160	The system to check for double billing						
161	The system to generate an ageing analysis at the overall balance level and also at the individual account level						
162	The system to provide customer line item report with a drill down feature to access the transaction level details						
163	The system to record late payment charges, interest, penalty from customers through invoice/ DR memo, Interest bearing advances, testing charges etc.						
164	The system to record discounts and create write offs against customers based on approval						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
165	The system to define aging buckets and perform customer aging through the system						
166	The system to generate dunning letters through the system for customer balances confirmation, payment follow up and TDS certificates						
167	The system to create recurring invoices for fixed and variable expenses						
168	The system to conduct trend analysis of fixed and variable expenses on periodic basis						
169	The system to record the booking amount and payment terms based on period or percentage of completion						
170	The system to record the percentage of completion for revenue recognition purpose						
171	The system to record Item based credit and debit notes						
172	The system to facilitate the definition of payment terms and reason numbers						
173	The system to record the document number against which the note is raised						
174	The system to maintain record item numbers for documents against which the notes are raised						
175	The system to record apply credit notes automatically against pending documents						
176	The system to define multiple document series						
177	Account numbers into which the note amount should be posted is defined						
178	The system to record relevant cost center, analysis and sub-analysis code for each account						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
179	The system to reverse credit and debit notes raised with appropriate reason codes						
180	The system to generate invoices for different types of sales (scrap sales etc.)						
181	The system to stop the generation of invoices beyond the sale order value						
182	The system to handle 'bonding sales' scenario						
183	The system to handle 'retention sales' scenario						
184	The system to enter the invoice type (as per accounting Standards applicable in India) with the option to modify it at a later stage						
	<b>Receipts and Collection</b>						
185	The system to provide for manually posting Debit Notes/Credit Notes to customer accounts						
186	The system to record cash receipts with/without reference to Invoices/ billings						
187	The system to facilitate in adjusting more than one invoice/Credit Note/Debit Note in one collection statement						
188	The system to apply receipts against customer debits (against invoices) and record various types of receipts in the form of cash, bank and credit card (and refunds by the same mode of payments)						
189	The System should also disclose the securities available against outstanding amount without affecting the party balances i.e. B.G/L.C etc. given by the customers						
190	The system to record various types of receipts in the form of cash, bank, credit card etc. and refunds by the same mode of payment						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
191	The system to record receipts from customers at any location and adjust at the customer's AR location						
192	The system to support advance receipts from customers						
193	The system to support bill wise adjustments						
194	The system to support viewing of posting details of a particular receipt						
195	The system to record bank receipts status as realized, unrealized, bounced etc.						
196	The system to reverse bounced or voided receipts						
197	The system to facilitate the definition of different document series for different types of receipts						
198	The system to support the use of manual or system-generated serial number for receipts						
199	The system to facilitate document serial numbers differentiation for receipts deposited in different bank accounts						
200	The system to support the functionality of having an intermediary account to post entries before they are posted to main bank accounts						
201	The system to generate report on the terms and conditions of sales order like freight, LD clause, Packing & Forwarding, delivery clause etc.,						
202	The system to transfer the receipts from one division to another						
203	The system to adjust certain expenditures (claimed by customer) against the invoice and receipts						
	<b>Tax Deducted at Source (TDS) &amp; Other Taxes</b>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
204	The system to meet the requirement of TDS and TCS whichever is applicable , for sale of various commodity products.						
205	The system to generate TDS certificates.						
206	The system to comply with TDS return filing requirements.						
207	The system to calculate Entry Tax						
208	The system to meet Entry Tax reporting requirements as per various State laws.						
	<b>Reports</b>						
209	The system to generate receivables report customer wise, location wise, division wise etc.						
210	The system to generate report on cheque dishonored and amount recovered from customers along with the reason code and amount recoverable from customers						
211	The system to provide for customer ledger balances with report on total invoice value, amount collected, outstanding amounts etc.						
212	The system to generate report on provision made for bad debts on year to date basis						
213	The system to generate the billing statements, including beginning open items, new charges, credits and payments, ending open balance and aging recap on a consolidated basis for various customer categories						
214	The system to generate report on debtors ageing for different parameters						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
215	The system to generate detailed Aging Balance for each customer category showing open invoice and AR activity (e.g. payments, debit and credit memos, write-off, and comments)						
216	The system to generate AR Invoice Register - list of automated and manually entered invoices with control totals						
217	The system to generate Credit/debit Memos Register for all memos generated						
218	The system to generate Cash Receipts Journal, list all payments received each day						
219	The system to generate report on Average age of receivables						
220	The system to generate report on advance payments						
221	The system to generate the report on sales order the related billings, customer wise and location wise						
222	The system to generate the desired customer correspondence, like balance confirmation, payment reminders and the automation of the correspondence						
223	The system to clear the customer open items with the receipt, reversals or debit/credit notes on the basis of predefined rules						
224	The system to download all the reports in various formats excel, PDF, flat file etc.						
225	The system to report on invoice generated during a period						
226	The system to generate report on miscellaneous invoices generation for maintenance and other charges						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
227	The system to report on receipts for cheques received along with delivery address						
228	The system to mail reminder letters (dunning letters) for dues						
229	The system to generate report on customer wise outstanding with aging						
230	The system to generate reports on foreign currency receipts						
231	The system to conduct customer specific profitability analysis						
232	The system to generate report on customer charges for a specific period						
233	The system to generate report on the chapter IDs for the material codes						
	<b>Bills Section</b>						
	<b>General</b>						
234	The system to fully integrate the Accounts payables system with the general ledger, cash book, accounts receivable, fixed asset, purchasing, inventory, Costing and other relevant functions						
235	The system to provide for the following types of transactions:						
	• Vendor invoices						
	• Vendor debit / credit notes						
	• Vendor advances						
	• Adjustment journals						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
236	The system to account for purchases and categorizing the purchases (Example SEZ purchases, Inter-state purchases, Imports etc.)						
237	The system to support direct and purchase order (PO) based invoice entry with payment schedules.						
238	The system to allow to enter invoices for adhoc purchases, regular and service PO						
239	The system to support debit/ credit note for rate differences in transactions						
240	The system to support different tax rates and purchase rates for different line items in the same PO						
241	The system to provide for regular and automatic adjustment of invoices / credit notes with prepayments/ debit notes						
242	The system to allow to track and trace documents through the use of an document numbering scheme						
243	The system to allow workflow for streamlining work processes and alert for the approval, pending items for approval etc						
244	The system to have the ability to transfer vendor balances from one vendor to another						
245	The system to provide details of discounts offered by vendors						
246	The system to check double invoicing						
247	The system to scan external documents and link these to the system generate document						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
248	The system to create unlimited line items in the journal vouchers/purchase orders/sales order/invoices/bills/debit note / credit note						
249	The system to record the liability with the due date of payment and providing date wise outstanding report						
250	Masters						
251	The system to record the following details for each vendor master record:						
252	Vendor Type, Vendor code, Name, Address, Payee name (if different from the vendor), Payment address (if there is a different payee), Telephone number, Fax number, E-mail, Contact person, Payment terms, Payment method, Payment charges to be recovered, Paying Bank details, Vendor Bank details, Sales Tax Numbers, Permanent Account Number, Payment location, Payment lead time, TDS exemption details, SSI details, ECS related information, RTGS related information, dealers, Vendor type etc.						
253	The system to check and stop creation of duplicate vendor master accounts. (The system could check for duplicate address, PAN numbers or bank account details to avoid duplicate vendor master creation).						
254	The system to capture vendor TIN number, NSS and PAN numbers mandatory fields and further provides for type of transactions where such mandatory fields are to be filled up.						
255	The system to view vendor addresses and modifying them						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
256	The system to facilitate the set up of "irregular / one-time vendors" account for processing transactions for rarely used vendors so as to obviate the need to set up individual master file records.						
257	The system to see the identity against each transaction on enquiry on the "irregular / one-time vendors" account(Example: Identification of person/representative person accounted in one time vendors transactions)						
258	The system to classify vendors based on residential status and constitution						
259	The system to provide for the ability to provide different TDS rates for the same vendors						
260	The system to exclude the service tax amount & other specified amounts like reimbursement amounts for calculation of TDS as per prevailing Act/Statute.						
261	The system to not deduct TDS for certain vendors when a certificate of no deduction is given and to comply with relevant reporting requirement in TDS return						
262	The system to deduct TDS for certain vendors at a lesser rate when a certificate of lesser deduction is given and to comply with relevant reporting requirement in TDS return						
263	The system to provide an option to enter the "Exemption No" where no deduction or lesser deduction is made for a vendor						
264	The system to identify 'Vatable' and 'Non vatable' products for claiming input credit for VAT & CCR 2011						
	<b>Invoice Entry</b>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
265	The system to provide an invoice register facility by which invoices can be logged prior to accounting in the general ledgers						
266	The system to provide for the following types of invoice entry:						
	• Against a purchase order or contract only						
	• Against a purchase order or contract and with a goods						
	• Against a purchase order or contract, goods receipt no						
267	The system to support automatic generation of the Debit/Credit notes on the vendor, based on the purchase order, GRN and the quality acceptance note						
268	The system to allow collation of purchase orders in the invoice register by Purchase order type (Material purchase order, Other Central Purchase Orders, Local Purchase order), Purchase order value etc.						
269	The system to provide for Debit/Credit Notes based on proper authorization						
270	The system to generate ageing analysis for the outstanding invoices						
271	The system to reflect invoice wise outstanding for a particular vendor and for group of vendors.						
272	The system to record deductions from invoices under various accounts like cash discount, rebates, charges etc. with reasons for intimating to the vendor / contractor						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
273	The system to support three way checking process for processing of invoices. (Three way check process specifies that goods are received on the basis of purchase order and invoice is accounted on the basis of goods received in the system)						
274	The system to record and account discrepancies arising out of physical verification of inventories						
275	The system to trace for adjustments in accounts for the transfers between units/project sites						
276	The system to support claim management with respect to material loss/ short supply either to the account of supplier or transporter.						
277	The system to record values of foreign currency transactions in both the currencies (foreign currency and the Indian currency)						
278	The system to support automatic generation of accounting entries for PO-based invoices from PO / GRN						
279	The system to provide reference and match PO-based invoices with the PO / GRN						
280	The system to record details of the associated tax and miscellaneous charges						
281	The system to specify if taxes / charges are to be calculated for each item in the invoice or the entire invoice.						
282	The system to define payment schedules for invoices together with associated discounts and penalties.						
283	The system to indicate if discounts are based on individual invoice values or gross invoice value.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
284	The system to specify if payments are to be made to third parties in case of PO-based invoices.						
285	The system to raise item based credit and debit notes.						
286	The system to track over-invoicing, return of good and price variance						
287	The system to record advances against vendor with reference to a general reference, multiple purchase orders or multiple proforma invoices.						
288	The system to support the functionality of maintaining vendor as customer, giving the user the option of transaction set-off						
289	The system to allow for accumulating Debit/Credit notes over a period and processing them in a batch mode						
290	The system to support for each vendor invoice, recording of following information (at invoice header level):						
291	Vendor code, Transaction reference (internal), Vendor transaction reference, Transaction date, Posting period, Transaction value, Order number (to which the invoice relates), Narrative (for purchase ledger entry), Tax codes (Multiple), Tax amounts (Multiple), TDS details, if applicable etc.						
292	The system to assign default status to the transactions entered as say 'authorized for payment', 'Not authorized', 'New', 'Draft' etc.						
293	The system to prompt if any "advance" is outstanding against the vendor while posting the invoice.						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
294	The system to support entering invoices for "pre-paid" expenses and apportion the amount between prepaid accounts and expense accounts on a periodic basis						
295	The system to allow the flexibility to post expenses pertaining to prior periods in the current period and apportion the remaining amounts as pre-paid for the remaining periods						
296	The system to allow manual entering of invoices						
297	The system to support multiple approval hierarchy for invoices as per the delegation of authority of the company.						
298	The system to create invoice template and add Logos / modify fonts as per user requirements.						
299	The system to provide an option as to the gross amount or the net amount on which TDS to be calculated						
300	The system to deduct TDS on invoice, advance payment or payment whichever is earlier						
301	The system to define the tax amount on the partial Invoice/PO where there is a consolidated invoice/PO for (say) materials & service						
302	The system to calculate TDS on foreign transaction as per the exchange rate given applicable on date of accrual in books, which may be different from exchange rate on date of remittance.						
303	The system to provide a warning message in cases of transactions that require tax deduction						
304	The system to facilitate matching invoice with PO and Goods receipt so that data entry is minimal						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
305	The system to perform regular and automatic adjustment of invoices / credit notes with prepayments/ debit notes						
306	The system to account for all types of taxes (excise duty, Service tax, WCT, VAT, CST, ED etc.) where applicable during invoice posting/ advance payment whichever is earlier						
307	The system to generate the TDS certificates in prescribed formats (i.e. form 16 and Form 16A) on annual as well as monthly basis						
308	The system to comply with the e-TDS requirements						
309	The system to generate and automate the TDS return filing process						
310	The system to provide different TDS rates for the same vendors						
311	The system to identify the 'deemed service provider' liability for payment of service tax and availing credit thereof (also retrospectively)						
312	The system to account for bills under Indian Accounting Standards applicable in India						
313	The system to account for bills partially						
314	The system to interface with one or more banks for payment processing.						
315	The system to authorize the vouchers using digital signatures						
316	The system to authorize the vouchers online (using workflow)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
317	The system to exclude the service tax amount & other specified amounts like reimbursement amounts for calculation of TDS as per prevailing Act/Statute.						
318	The system to generate TDS related information in excel, PDF, .txt formats						
319	The system to file a revised TDS return and have the link to the original TDS return						
320	The system to not deduct TDS for certain vendors when a certificate of no deduction is given and to comply with relevant reporting requirement in TDS return						
321	The system to deduct TDS for certain vendors at a lesser rate when a certificate of lesser deduction is given and to comply with relevant reporting requirement in TDS return						
322	The system to provide an option to enter the "NOC No" where no deduction or lesser deduction is made for a vendor						
323	The system to provide an option as to the gross amount or the net amount on which TDS to be calculated						
324	The system to deduct TDS on invoice or payment whichever is earlier						
325	The system to define the tax amount on the partial Invoice/PO where there is a consolidated invoice/PO for (say) materials & service						
326	The system to calculate TDS on foreign transaction as per the exchange rate given applicable on date of accrual in books, which may be different from exchange rate on date of remittance.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
327	The system to meet reporting requirements for foreign payments. For example, generation of form 15CA, etc.						
328	The system to provide a warning message in cases of transactions that required tax deduction						
329	The system to calculate interest / penalty where TDS has not been remitted on time						
330	The system to add UTN (Unique Transaction Number) for each transaction subject						
331	The system to meet TDS requirement while making payments to foreign parties i.e. ability to apply gross up in case of net of tax contracts,						
332	The system to reconcile TDS deducted with income / revenue recognized in the accounts.						
333	The system to generate following forms: (Example)						
	• Form 16A						
	• Form 17						
	• Form 26Q						
	• Form 27Q						
	• Form 24 Q						
334	The system to handle retrospective TDS / surcharge rate changes.						
335	The system to generate a list of all foreign payments made						
336	The system to apply service tax on gross amounts in case of payments to foreign vendors.						
337	The system to manage payments, advances and deductions to vendors.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
338	The system to support receipt of money from vendors (e.g. recoveries, advances) etc.						
339	The system to allow payment of invoices on the "irregular / one-time vendors" account through the automatic payment processing function.						
340	The system to make part payment against an invoice and balance payment process on a subsequent date						
341	The system to make advance payment to a vendor and later link it to vendor specific invoice or invoices received						
342	The system to facilitate centralized payment vouchers for all the purchases made for the various different project from the same vendor						
343	The system to block invoices and vendors for payment along with reason codes						
344	The system to provide for a reporting on payments made to a group of vendors with the statistical reporting on the services or goods supplied. For example, in case of the transporter payments, a report on the payments made to the transporter along with the quantity of goods carried.						
345	The system to provide a list of proposed payments for invoices based on due dates (considering early payment discounts etc.)						
346	The system to be able to be run the proposed payment lists at any time for payment decisions						
347	The system to calculate payment date based on due date, lead time for processing the payment and working calendar						
348	The system to run the payment lists for specific vendor types / classifications.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
349	The system to automatically take account of debit notes in determining the net amount due.						
350	The system to make payments as per schedule payout dates automatically						
351	The system to track different kinds of advance payments made to vendors in the vendor sub-ledger						
352	The system to give advance to vendors on the basis of purchase order and for advance payment against procurement of services. etc.						
353	The system to facilitate payment to vendors after adjusting prepayments and debit notes						
354	The system to calculate payment due as per the terms and conditions in PO						
355	The system to club credit memo with invoices for consolidated payment						
356	The system to monitor that payment to a vendor should not exceed the order value						
357	The system to issue the payment in a different name than the person on the invoice (Alternative Payee)						
358	The system to record retention money along with details like model number, defect liability etc. in the system						
359	The system to record prepayments against vendor with reference to a general reference, multiple purchase orders or multiple proforma invoices						
360	The system to enable payments for invoices for which associated bills have been dishonored ( if invoices are Bills or LC applicable )						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
361	The system to capture details of customers for whom payment is being made to the vendors at the AP invoice line level						
362	The system to facilitate payment to vendors after adjusting prepayments and debit notes						
363	The system to record LC payments through the system						
364	The system to facilitate hold invoices / credit notes from payments, reverse invoices, and process inter-vendor journal vouchers						
365	The system to facilitate hold/release payment to selected vendors depending on information/scheme obtained from the purchasing system						
366	The system to facilitate to setup recurring payments and progressive payments and credit notes (enabled by Electronic Clearance System)						
367	The system to support receipt of money from vendors due to overpayments and advances						
	<b>Reports</b>						
368	The system to provide creditors report showing balances for:						
	• All creditors						
	• User defined range of creditors						
369	The system to provide for optional inclusion of open items, supporting the amount ranges etc.						
370	The system to provide analytical, summary and standard reports that provide an accurate picture of the accounts payable including invoice, tax, payment amount						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
371	The system to generate report on year-to-date payments made to the vendor						
372	The system to generate report on discounts availed by the company						
373	The system to provide the list of invoices against a PO						
374	The system to provide reports on:						
	- The PO's generated						
	- The receipts against PO						
	- The open PO						
	- The rejections related to a PO						
	- Procurement schedule						
	- PO vendor reports						
375	The system to generate creditors report for:						
	- All creditors						
	- User defined range of creditors						
	- Account balances aged over 1 month, 2 months, 3 months						
	- Aged by transaction on date						
	- Aged by due date						
376	The system to have the information on the creditors ageing report at transaction level as well as vendor level						
377	The system to have the transaction ageing periods be user definable						
378	The system to generate the reports by both vendor name as well as payee name						
379	The system to provide for all TDS related reporting						
380	The system to provide for printing vendor statements to be dispatched to vendors						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
381	The system to provide report on TDS returns						
382	The system to report on retention payable vendor wise (LD, TDS, Security Deposit, Other deductions etc.)						
383	The system to report on the foreign payments based on method of payment (Example LC, Wire transfer etc.)						
384	The system to report on the advances paid to the suppliers age wise						
385	The system to report on the list of 'active' vendors						
386	The system to report on status of PO/Work Orders/ Service Contracts at any given period						
387	The system to report on the vendors based on Vendor type (company, Non company)						
388	The system to track customs duty paid						
389	The system to meet custom duty reporting requirements						
390	The system to generate the desired vendor correspondence, like balance confirmation, payment reminders and the automation of the correspondence						
391	The system to report on vendor payment invoice wise						
392	The system to report on mobilization advance ( prepayment) report vendor wise						
393	The system to generate item wise payable report						
	<b>Cash Sections</b>						
	<b>Payment Processing</b>						
394	The system to provide for the following types of transactions:						
	- Payments for vouchers generated by all sections ( both automatic and manual)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	- Cash/bank receipts						
	- Electronic fund transfer						
395	The system to run the payment lists for specific banks/divisions						
396	The system to select items for payment interactively by the following methods:						
	- All items older than an input date						
	- All outstanding items on an account						
	- Individual items on an account						
	- All items upto "X" amount in total						
	- Other options as required by business needs to be provided						
397	The system to prevent payments to vendors of more than a user specified amount						
398	The system to provide for the payment approval process be mapped in the system as per the delegation of authority manual						
399	The system to support online processing of payment vouchers, bulk payment and payment across multiple bank accounts and authorization through work flow						
400	The system to provide for single/ multiple Cheque printing for single and multiple line items of Bank Payment and multiple bank payments						
401	The system to support payment by Cheque, Demand drafts, including accounting for DD charges, Bank letters, Cash, ECS etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
402	The system to include the DD number in the payment advice						
403	The system to provide for upper limits and lower limits on payments for specific payment methods (e.g. Cash payments should not exceed Rs. Xxx with a provision to allow such payments for few authorized people)						
404	The system to allow grouping of multiple line items in one payment						
405	The system to allow splitting one line item into multiple payments						
406	The system to produce a remittance advice for all payments made (irrespective of method of payment)						
407	The system to print a cheque register automatically immediately after printing of cheques from the system.						
408	The system to post, payments to the cash book and update automatically the general ledger i.e. Vendor ledger control account, Bank account, Penalties accounts, recovery from vendors etc., TDS account (location specific), Expense accounts (DD charges, etc.)						
409	The system to record payments in cheques, RTGS, Cash and internet banking						
410	The system to support batch processing of payment vouchers, bulk payment and payment across multiple bank accounts						
411	The system to enable selection of multiple documents for payment through pay groups						
412	The system to record LC payments through the system						
413	The system to record bank guarantee details						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
414	The system to record bank guarantee online by the banks						
415	The system to make foreign currency payments for import purchases						
416	The system to record and track bank guarantees, mobilization advances and performance guarantees through the system						
417	The system to generate alerts for non-payment of dues on due date						
418	The system to facilitate hold/release payment to selected vendors depending on information/scheme obtained from the purchasing system						
419	The system to support bulk authorization of documents like invoices, payment and bulk payments						
420	The system to record the following details for each bank:						
421	Name of the Bank, Branch, Address, Telephone number, Fax number, Contact person (Multiple), Type of account, Account Number Date of opening, Date of closure, Consortium/ Non-consortium, CC Limits, Non-fund limits, SWIFT Code, Cheque Inventory, Authorized signatories (Multiple with limits), Validity dates for authorized signatories						
422	The system to track the time between cheques issued for payment and actual date of realization (Stale cheques)						
423	The system to automatically generate accounting entries for collection charges payable						
424	The system to keep track of "bounced" cheques						
425	The system to automatically generate accounting entries for cheques bounced						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
426	The system to Control and monitor Earnest Money Deposit/ Bank Guarantee for the various contracts						
427	The system to interface with finance module for auto generation of Bank Payment Voucher, Bank Receipt Vouchers and Journal Vouchers						
428	The system to maintain records of all cheques:						
	• Deposited into the collection accounts on a daily basis						
	• Paid to all payees						
	The system to maintain details of all cash:						
	• Deposited into bank accounts on daily basis with vouch						
	• Withdrawal from the bank on a daily basis						
	The system to do bank reconciliation, using bank statements input either						
	• Manual						
	• through soft copy/third party database/spreadsheets						
429	The system to maintain approval hierarchy before the release of cash payment.						
430	The system to generate notification to the originating department of the payment made.						
	<b>Receipts Processing</b>						
431	The system to account the receipts in cash book/bank book						
432	The system to account the receipts based on EFT receipts						
433	The system to generate 'Daily Cash Collection Statement'						
	<b>Investment &amp; Borrowings</b>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
434	The system to provide for the following types of Investments/Borrowings: Loans, Cash Credit, Overdraft, Foreign currency loans, Fixed Deposits etc.						
435	The system to provide consolidated reports on various investment and tracking of overall exposure (borrowings)						
436	The system to automatically generate accounting entries for interest (payable or receivable) based on the above investments/borrowing						
437	The system to record payment due dates for each Investment/ borrowing						
438	The system to provide for installment-based repayments						
439	The system to provide consolidated list of investments in joint ventures against borrowings						
440	The system to list out funds transferred to Other offices for a defined period						
441	The system to list the funds transferred from other offices to corporate office for a defined period.						
442	The system to assist in working capital management by providing overview of working capital components						
443	The system to enable forecasting of working capital for current operations and future expansion						
444	The system to project cash flow for a particular period division wise and consolidated also						
445	The system to report Dividend income on various Investments						
446	The system to report movements in Investments fund wise						
	<b>Reports</b>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
447	The system to generate payment advice through the system						
448	The system to report on foreign remittance payment details						
449	Ability to generate payment due report						
450	Ability to generate payments in foreign currency party wise period wise						
451	Ability to generate cash book						
452	The system to generate petty cash register						
453	The system to generate bank book						
454	The system to generate cash flows for:						
	- Immediate future (considering vendor invoices and custom receipts)						
	- Medium-term and long-term requirements (considering planned purchases and sales)						
456	The system to generate Bank balance analysis (bank balances by amount slabs)						
457	The system to generate Daily Limit utilization reports						
458	The system to generate Cash Flow statement as per Accounting Standards applicable in India						
459	The system to generate reports on cash positions of the branches						
460	The system to generate bank reconciliation statement based on the inputs given						
461	The system to generate bank guarantee reports bank wise, division wise, category wise						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
462	The system to generate list of expired bank guarantees bank wise, division wise, category wise						
463	The system to generate fixed deposit reports including interests						
464	The system to list out loans with outstanding and interest paid/payable for a given period						
465	The system to list out the report for all receipts based on the receipt type						
466	The system to list out the report for stale cheques						
	<b>Asset Accounting</b>						
	<b>General</b>						
467	Ability of the system to support fixed asset classification as per following:						
	<ul style="list-style-type: none"> <li>Support the classification by Asset category, Asset type, Asset ID, Physical ID, Asset location, Asset Value, Cost Center, Put to use date, Nature of Financing (Plan/Non-Plan), Employee responsible, applicable rate of depreciation, terminal value of the asset, installation date, name of the vendor, any other user defined field etc.</li> </ul>						
	<ul style="list-style-type: none"> <li>Support asset master, Asset Classification (as per Income Tax Act requirements), Asset Class (User-definable), Asset Usage Status (In-use, Stand-by, etc.), Depreciation details, Expected Life of asset, Insurance details, AMC details, Ownership details (Owned/Leased), Lease details, if Leased asset etc.</li> </ul>						
468	The system to deal with the scenarios demanding conversion of a booked revenue expenditure to Capital expenditure						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
469	The system to provide restricted role based access for allowing the capitalization transactions in the prior periods.						
470	The system to support maintaining of asset books according to Indian Companies Act and Indian Taxation laws.						
471	The system to provide for capitalization of imported assets considering:						
	- Landed cost of assets						
	- Accounting for exchange rate gain/loss						
472	The system to separately identify a component of an asset and link to the main asset. For example, spares will be linked to concerned machine, each being maintained as a separate entry in FA register.						
473	The system to facilitate tracking and depreciate spare parts associated with the parent asset.						
474	The system to facilitate department wise budgetary control						
475	The system to facilitate asset category wise budget.						
476	The system to enforce budgeting control from the step of requisition / purchase order of the assets.						
477	The system to allow for modification of asset capex budgets						
478	The system to provide comparative reporting on the asset actuals versus budgets						
479	The system to upload Mass Assets specifically in case initial uploading or asset acquisitions						
	<b>Asset transactions</b>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
480	The system to provide for transferring assets based on a transfer request; on workflow based approval mechanism.						
481	The system to provide for transfer assets across project offices of the group company						
482	The system to automatically generate accounting entries for each transfer including for following account heads:						
	- Capital account						
	- Accumulated depreciation						
483	The system to keep track of history of asset transfers						
484	The system to allow for asset splits						
485	The system to allow recording of the disposal of assets upon retirement						
486	The system to provide for additional capitalization on existing assets						
487	The system to support physical verification of assets by generating tag numbers or an appropriate list for the purpose						
488	The system to record verification details on the asset master for tracking and audit trail						
489	The system to prompt for or to facilitate lodging insurance claims for lost/damaged assets						
490	The system to maintain the audit trail of cost data to facilitate scrap sale						
491	The system to meet the requirement of asset impairment as per the accounting standards Accounting Standards applicable in India						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
492	The system to facilitate adjustments whenever required. For example customs duty/ excise duty on an asset need to be capitalized & depreciated in next period because of any litigation, legal requirements etc.						
493	The system to convert revenue and work in progress (WIP) expenditure to capital expenditure						
494	The system to reverse capitalized expenditures						
495	The system to record capital, revenue expenditure and capital WIP expenditures						
496	The system to capitalize revenue expenditure (if needed) and vice versa						
497	The system to integrate with maintenance application to keep track of work orders against assets and related expenditure						
498	The system to generate payment schedules for leased, hire purchased, rented assets and insurance payable						
499	The system to handle lease (both finance and operating lease) and hire purchase accounting & payments						
	<b>Depreciation</b>						
500	The system to provide for accounting of impairment loss recognition in value of assets and its subsequent reversal if applicable						
501	The system to support multiple depreciation rates, schedules and terms for each asset; as per details below:						
	- As per companies Act						
	- As per Income Tax Act						
	- As per IFRS requirements ( as and when applicable)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	- Compliance of Accounting standards						
502	The system to track asset values / schedules as per each of the above depreciation terms separately and individually including intangible assets if any.						
503	The system to support multiple depreciation methods for each of the depreciation terms:						
	• Straight-line						
	• Written-down Value						
	• Remaining Life						
504	The system to allow for multiple types/levels in grouping of assets						
505	The system to provide for specific depreciation						
	• Assets used in SEZ						
506	The system to provide for the flexibility of changing depreciation details as follows:						
	• Depreciation rate						
	• Depreciation method						
507	The system to allow for changing of depreciation details with retrospective effect in the current fiscal year						
508	The system to automatically generate accounting entries for change in depreciation details giving period-wise break-up						
509	The system to post depreciation entries automatically based on calculated depreciation						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
510	The system to provide a flexibility of allowing a specific depreciation start date, which may be different from the capitalization date or date placed in service. For example depreciation may start from the beginning of the period even if capitalization is mid-period						
511	The system to keep track of all changes to depreciation details for proper audit trail						
512	The system to allow for limits on depreciation as per the rules.						
513	The system to allow for assets with a minimum value of Re 1						
514	The system to automatically stop computing depreciation for assets reaching zero-value or depreciation limit; but making them available in the system for tracking and maintenance						
515	The system to generate a comparison statement across different depreciation terms / schedules along with analysis of differences in the depreciation expense						
	<b>Asset Insurance</b>						
516	The system to provide data fields for recording the insurance policy details of the assets						
517	The system to facilitate lodging of insurance claims for lost/damaged assets based on the status entered in the system						
518	The system to record and report on the status of various insurance claims made						
519	The system to prompt the due date for making insurance premiums						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
520	Asset Issues and transfers						
521	The system to facilitate inter-location, inter-cost center or inter-company issues and transfers						
522	The system to facilitate Inter-location and inter-company transfers in two stage: Transfer-out; Transfer- in						
523	Asset Revaluation and Retirements						
524	The system to retire the assets partially or fully						
525	The system to perform upward or downward revaluation of asset						
526	The system to link revaluation to previously performed revaluations						
527	Physical inventory of assets						
528	The system to maintain tag exception entry and ability to conduct verification of assets based on asset category						
529	The system to integrate with the loans payable application to enable pledging of fixed asset tags as security against loans						
530	The system to periodically(as defined) generate list of assets (category wise) for physical verification						
531	The system to allow the user to enter the results of physical verification						
532	The system to generate the variance report (physical vs actual)						
	<b>Asset Reports</b>						
533	The system to generate a comprehensive asset register						
534	The system to generate the asset register reporting to meet following requirement:						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<ul style="list-style-type: none"> <li>• Reports available in summary form (with only financial details) and details form (with all asset master details)</li> </ul>						
	<ul style="list-style-type: none"> <li>• Flexibility in provision of reporting parameters while generating report.</li> </ul>						
	<ul style="list-style-type: none"> <li>• Export the reports to excel sheet for slicing and dicing functions and useful analysis, MIS reporting and legal compliances.</li> </ul>						
	<ul style="list-style-type: none"> <li>• Reporting of revaluation amount in case of assets are revalued</li> </ul>						
535	The system to generate 'Depreciation forecast:						
	<ul style="list-style-type: none"> <li>• Ageing of assets</li> </ul>						
	<ul style="list-style-type: none"> <li>• Insurance expiring reports</li> </ul>						
	<ul style="list-style-type: none"> <li>• AMC expiring reports</li> </ul>						
	<ul style="list-style-type: none"> <li>• Category wise fixed asset schedule</li> </ul>						
	<ul style="list-style-type: none"> <li>• Unit wise depreciation calculation as per various Acts</li> </ul>						
	<ul style="list-style-type: none"> <li>• Cost of asset</li> </ul>						
	<ul style="list-style-type: none"> <li>• Asset retirement/disposal reports</li> </ul>						
	<ul style="list-style-type: none"> <li>• Asset transfer reports</li> </ul>						
	<ul style="list-style-type: none"> <li>• List of Assets by location</li> </ul>						
	<ul style="list-style-type: none"> <li>• List of assets purchased/sold between dates</li> </ul>						
	<ul style="list-style-type: none"> <li>• User defined reports</li> </ul>						
536	The system to generate comprehensive set of reports to perform the asset management functions effectively. For example, availability of the following reports:						
	<ul style="list-style-type: none"> <li>- The system to report capital expenditure in a financial period / year</li> </ul>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	- The system to prepare a report on asset additions and deletions						
	<b>Costing</b>						
	<b>General</b>						
537	The system to support the costing and internal MIS reporting based on the financial data						
538	The system to support the creation of the following an entity:						
	• Cost centers						
	• Profit centers						
	• Cost Elements						
	• Other Cost Objects (Price Proposal, Job Cost etc.)						
539	The system to support the allocation of costs to the cost center/profit centers						
540	The system to provide for a cost & financial reconciliation at periodic intervals						
541	The system to define cost centers / units according to areas of responsibility						
542	The system to define cost units where a cost unit is an analytical entity for which costs need to be collected (Example department wise, activity wise etc.)						
543	The system to maintain an effective and expiry dates for cost center / cost units						
544	The system to identify the person responsible for a cost center, profit center etc.						
545	The system to define the nature of costs example: deferred expense, non deferred expense, allocable etc.						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
546	The system to provide for the cost unit information at the time of transaction entry						
547	The system to group the costs based on a certain predefined parameters						
548	The system to automatically calculate activity rate for activity cost element						
549	The system to generate cost elements automatically						
550	The system to add sub cost elements manually or automatically for better data capturing						
551	The system to establish a mapping between the cost element and GL Account						
552	The system to maintain separate mapping processes for different element types with cost centers / units						
553	The system to provide for standard rate definitions / calculations from budgets for activity elements						
554	The system to maintain multiple hierarchical structures for cost centers / units for cost aggregation and analysis						
555	The system to maintain "default" structure and "alternate" structure						
556	The system to allocate costs among cost centers / units/ job codes etc.						
557	The system to apportion costs among cost centers / units/ job codes etc.						
558	The system to support partial allocation of cost center, cost element balances						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
559	The system to define the base on which the costs will be allocated. The basis of cost allocation would be different for different types of expenses and the system should be capable of defining various types of cost allocation methods and calculating the allocated costs based on the predefined logic						
560	The system to change the basis of allocation of cost based on approval						
561	The system to specify allocation instructions for actuals, budgets separately or for both						
562	The system to enable allocation of cost from a range of cost elements in a cost center to target cost centers and cost elements						
563	The system to allocate cost center variances to cost center / units						
564	The system to allocate on the basis of quantity or value, actual or budgeted for the base element						
565	The system to support copying of allocation logic across periods						
566	The system to enable allocation postings to be done in general ledger						
567	The system to simulate the cost allocation						
568	Ability of system to define and identify capital and revenue costs						
569	The system to support 'Activity Based Costing'						
570	The system to support 'Product Costing'						
571	The system to support 'Absorption Costing'						
572	The system to handle 'cost plus contracts'						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
573	The system to provide a 'price proposal number' and map it to Job code						
574	The system to provide a division wise job code						
575	The system to have a Delegation of Authority level for providing cost concurrence						
576	The system to classify goods as 'dutable', 'non dutable', 'Vatable', 'Non vatable' etc.						
	<b>Analysis and reporting</b>						
577	The system to drill down the cost report to the details of the transactions						
578	The system to provide variance analysis reporting (cost center variance, order variance)						
579	The system to report cost (estimated / planned / actual) for each cost unit						
580	The system to view the reports based on the various cost units defined						
581	The system to generate report on the cost category wise, area wise, division wise etc.						
582	The system to maintain allocation journal/details						
583	The system to perform analysis: by cost center/profit center etc.						
584	The system to support the preparation of cost sheet by cost center / unit						
585	The system to provide for WIP reporting						
586	The system to perform flexible budgeting – calculation and reporting						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
587	The system to report transactions not incorporated into management accounting and controlling						
588	The system to generate profit centre wise P&L and Balance Sheet division wise, profit center wise						
589	The system to support Batch costing with variance statements						
590	The system to give error/warning messages once it exceeds predefined % of total budget						
591	The system to generate reports based on 'price proposal number'.						
592	The system to generate reports on inter division transfers.						
	<b>Foreign Service Account (FSA) Section</b>						
	<b>General</b>						
593	The system to be in compliance with all Indian tax laws. More specifically, ability to comply with tax deduction at source & tax collected at source, Value Added Tax (including work contract tax) of various States, Service Tax, Excise Duty, Entry Tax, , Customs Duty, etc.						
594	The system to define short forms (abbreviations) for the taxes.						
595	The system to maintain the period for which specific tax rate is applicable						
596	The system to maintain various tax rates applicable to a specified type of income						
597	The system to maintain different tax rates for a tax depending upon location (Example: Different VAT rates, Entry tax etc.)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
598	The system to comply with various schemes available for a tax depending upon location / type of tax payer / etc. (Example: Different VAT / WCT schemes, Entry tax etc.)						
599	The system to adapt to changes in taxation related statutes						
600	The system to generate report on various taxes in statutory formats						
601	The system to generate tax returns /challans in the format prescribed by the tax authorities						
602	The system to generate reports having the data flowing into statutory returns / challans.						
603	Ability of system to facilitate the taxation setup in the system in a flexible masters so that future changes in rates, introduction of new taxes does not require programming effort						
604	The system to facilitate minimal data entry during tax related transaction and most of the tax related data being defaulted from the master data						
605	The system to facilitate download of all tax related information in excel, PDF, .txt formats						
606	The system to facilitate a tax calendar containing the important due dates and providing due alerts and notifications						
607	The system to generate report for the purchases made/services availed, tax amounts for the same, the amount of tax exempted etc. so as to meet specific reporting requirements like SEZ reporting						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
608	Ability of the system to provide an option of taking taxes to a tax account or a proforma account for all types of taxes( VAT, Service Tax, Import Duty etc)						
609	Ability of the system to flag transactions so that they can be reported periodically.						
610	Ability of the system to provide warning/information message on the type of taxes applicable to a particular transaction						
611	Ability of the system to be compatible with GST (Goods & Services Tax) when it becomes applicable						
	<b>Income Tax</b>						
612	Ability of the system to facilitate information required for Corporate Income tax and wealth tax return						
613	Ability of the system to generate statutory forms required for filing Corporate Income tax and wealth tax returns						
614	The system to recalculate tax amount as and when booked income changes						
615	The system to generate the details required for Form 3CD (Audit Certificate)						
616	The system to calculate Minimum Alternative Tax (MAT), capital gains tax, etc.						
617	The system to calculate depreciation as per the provisions of the Income tax Act, 1961						
618	The system to calculate higher depreciation allowance under the Income Tax Act and rules framed thereunder						
619	The system to generate report for the TDS receivable and actual TDS to be received so as to assist in tax planning/ tax computation						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<b>VAT/CST</b>						
620	The system to cater to different VAT requirement of various States.						
621	The system to calculate VAT/CST on procurements						
622	The system to configure VAT credit and VAT payables as per the applicable statute						
623	The system to compute VAT / CST under various schemes available like composition scheme, abatement scheme , etc.						
624	The system to identify and compute VAT credit available each month depending upon the scheme adopted under VAT /CTS						
625	The system to generate information for the VAT returns of various states & CST returns						
626	The system to maintain various registers required under VAT / CST.						
627	The system allow balance VAT credit to VAT Payable A/c at the period end based on the user discretion						
628	The system to generate monthly, quarterly and annual returns for the purpose of VAT/CST						
629	The system to provide purchase and sales data and the related VAT details (including VAT credit eligibility) as broken into						
	- The geographical origin of the sale/ purchase						
	- The vendors/customers						
630	The system to define the tax amount on the partial Invoice/PO where there is a invoice/PO for materials & service						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
631	Ability of system to facilitate non-deduction/lesser deduction based on Statutory Forms like Form C, I etc.						
632	Ability of the system to comply with TDS on VAT / WCT.						
633	The system to record exemption of VAT / CST						
634	The system to have different tax codes based on the different nature of transaction (example different tax codes for CST with form C, with Form C etc.)						
635	Works Contract Tax						
636	The system to generate monthly, quarterly and annual returns						
637	The system to enable rate wise bifurcation for claiming WCT credit						
638	The system to comply with various schemes of various States i.e. composition scheme, etc.						
	<b>Service Tax</b>						
639	The system to maintain the Service Tax register						
640	The system to be able to define if service tax is claimable or not in a transaction						
641	The system to calculate Service Tax based on the following options:						
	• Abatement scheme						
	• Composition Scheme						
	• Other prescribed schemes						
642	The system to define if a particular vendor is a SEZ/EOU vendor for the purpose of Service Tax						
643	The system to charge service tax on line items						
644	The system to generate Service tax returns periodically						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
645	The system to exclude the specified amounts like reimbursement amounts for calculation of service tax						
646	The system to effect service tax payment on transactions with associated enterprises.						
647	The system to assist in the utilization of service tax credit for CO and Regional offices separately						
648	The system to identify 'taxable' and 'non taxable' services						
	<b>Excise Duty</b>						
649	The system to classify goods as 'dutiable' and 'non dutiable'						
650	The system to maintain excise duty registers as per MMTC requirements						
651	The system to meet the excise duty requirements under applicable statutes						
652	The system to record exemption of excise duty under ARE 1 procedure (i.e. exemption for SEZ projects) / other procedure (other projects)						
653	The system to allow off set excise duty paid against output service tax / excise duty under CENVAT Credit Rules, 2011.						
654	The system to generate information department/division wise for filing excise returns						
655	The system to generate information required for filing return based on the classification of materials as 'Principal Input'.						
656	The system to generate information required for filing return based on the actual receipt and consumption of 'principal input'						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
657	The system to generate information required for filing return from the asset register						
658	The system to generate monthly, quarterly and annual returns for the purpose of Excise Duty						
659	The system to generate information required for filing return (Annual Financial Information Return)						
	<b>Other Taxes</b>						
660	The system to allow off set custom duty paid against output service tax / excise duty under CENVAT Credit Rules, 2011.						
661	The system to calculate Stamp Duty						
	<b>Sales Co-ordination</b>						
662	The system to allow adjustments with the receipts against customer invoice						
663	The system to generate 'Daily Cash Collection Statement'						
	<b>Management Reporting</b>						
	<b>Budgeting – General</b>						
664	The system to do budgeting on user-definable periodic basis in any currency						
665	The system to integrate the corporate budgeting process with the budgeting and planning of individual units						
666	The system to automatically convert individual budgets into a common budgeting period						
667	The system to provide for budgeting at the lowest level and any consolidation of the levels						
668	The system to prepare budget, control and monitor at project sites						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
669	The system to prepare and track budget separately for each department						
670	The system to do automatic de-allocation of budget in case it is unused						
671	The system of system to provide for the following budgets:						
	• Revenue budgets for various income/ expense accounts						
	• Capital Expenditure budget						
672	The system to provide for "what-if" analysis with multiple options						
673	The system to provide the following features to aid in the budgeting process:						
	• Previous period actual (for more than one periods)						
	• Previous period budgets						
	• Copying of any previous budgets/actual with modification						
	• Historic trends extrapolated for the planning period						
	• Interface with spreadsheets						
	• Should allow for recording overheads budgets based on						
	• Cost centers						
	• Revenue heads						
674	The system should provide for recording the Capital Expenditure budget across the Corporate office other offices						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
675	The system to upload and download data with other office applications etc.						
676	The system to include quantity information (which affect the budget) in addition to financial data.						
677	The system to Budget for CO based mainly on admin expenses						
678	The system to notify the budgeting and planning due dates and calendars using automated workflow.						
679	The system to enter specific supporting details and workings for line items.						
680	The system to maintain adequate audit trails of master data and transaction data						
681	The system to support module based development and build. It should be scalable to add new users/user groups/plans/reporting hierarchy						
682	The system to allow easy upload of data in manual and batch modes						
683	The system to allow users to query the GL quickly and easily to allow for planning based on actuals						
684	The system to ensure central maintenance of all data, meta data and computation rules						
685	The system to enter the budgets for various account heads., once entered in the system be revised and can the system maintain revised versions for future reference						
686	The system to revise the budgets and maintain revised versions for future reference and track all the changes made to the budget like date of change the authorized person who changed it and with reason codes						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
687	The system to track of all the changes made to the budget like date of change the authorized person who changed it and with reason codes						
688	The system to prepare budget vs actual report						
689	The system to consolidate budget across company codes / companies and compare with actuals at user defined time intervals						
	<b>MIS Reports</b>						
690	The system to generate Trial balance at periodic intervals.						
691	The system to generate Profit/Loss Account & Balance sheet in accordance with Schedule III of the Companies Act						
692	The system to allow for generating financial statements at the following levels:						
	• Across Corporate office, Regional Office units						
	• Across Project units						
	• Across Cost Centers						
	• Across Profit Centers						
693	The system to generate the following data:Sales data, material consumption data, WIP data, FG data, Debtors data, Creditors data, Advances, Cash & Bank data, BG & LC data etc.						
694	Consolidation of data from various divisions						
695	The system to generate sales, expense & profit estimation						
696	The system to generate capital commitments and approved 'spill overs'						
697	The system of system to generate corporate inhouse reporting and data for MoU						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
698	The system to generate financial ratios and other data for Department of Public Enterprises						
699	The system should provide the facility of drawing bank reconciliation on weekly basis. The System should also allow authorized users to upload the bank statements and reconciliation statement on weekly basis						
700	The system should provide the current date while printing cheques. The system should keep a record of authorization & printing dates in reference to cheque number						
701	The system should reflect the voucher in ledger only after payment is authorized or cheque is printed						
702	The system should provide a consolidated summary of salary credits, debits ,supplementary credits of all regional offices on monthly basis						
703	The system should provide alerts , status & summary in following cases:						
	· Refund of unutilized amount of non-refundable loan along with interest & penalty						
	· Non operative accounts for example no contribution credited in last 3 consecutive years						
	· Unclaimed balances						
	· Loan registers concerning the CPF						
	· Challans & reports pertaining to RPFC						
704	The system should provide consolidated reports for refundable & nonrefundable loans and final settlement cases for all regions with purposes and number of cases						

Commodity	Responses Table	
This section of Functional Requirements takes care of commodity trading requirements	Sup	Supported
	Cus	Customization
	3rd	Third Party
	Ns	Not Supported

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<b>Contract Management</b>						
1	The system should have workflow based functionality for creation of contracts with unique ID with the ability to specify type of contract, details of partner(s), location, budget, etc.						
2	The system should have workflow based functionality for creation of notices inviting tenders and other related notices. The request should result in a workflow which would move at least one level up for authorization and approval.						
3	The system should have the provision to generate tender notices, price circular other related notices for newspapers and publicity as per custom made or template available in the system, in word document, PDF or any other format desired by MMTC.						
4	The system should be integrated with the existing online Tendering System of MMTC.						
5	The system should be able to send automatic email invitation to participants for pre-bid and other bid related meeting.						
6	The System should have the provision for registration and/ or empanelment of partner(s), agencies, foreign agents, and suppliers etc. The details of empanelled agencies which are to be uploaded on the system include proposal, contract, bank guarantee etc.						
7	The System should have the provision to maintain/update records for various agencies empaneled or interested for empanelment.						
8	The system should have the provision to generate Letter of Intent/multiparty agreements from the template available in the system or customized agreement draft after inputting the details like as quantity of commodity, buyers details, port details, etc. besides the terms and condition of the contract.						
9	The system should provide an interface for prospective buyers/sellers for expressing/registering their interest for purchasing/selling, the commodity of their interest from/to MMTC.						
10	The system should have the ability to forward and process such expression of interest to the concerned Division/user of the MMTC. Based on the processing of such expression of interest, system should be updated with the details like quantity booked, future commitment of concerned RO, requirements related to reallocation of quota among ROs.						



11	The system should have the provision of reconciliation mechanism with the information provided by its suppliers for determining the stock of a commodity available for sale. For example supplier provides MMTC daily reports for the same . Reconciled information should be available to users in the system as near real time information.						
12	The system should provide authorized user a dashboard view of the prospective buyer based on the D&B reports, banker's certificate, and financials results, turnover details for previous years (atleast 2) to be keyed in the system or obtained electronically so that the financial standing of such buyers could be determined by MMTC.						
	<b>eTendering</b>						
13	The system should exchange data with present e tendering systems for tendering purposes						
	<b>Vendor Evaluation and Management</b>						
14	The system should rate vendors by parameters like: conformity to delivery schedules, compliance to quality standards, instances of short supplies, Pricing, documentation.						
15	The system should to rate vendors by qualitative parameters like: The system should to supply within short notice, Billing and company policy related errors, past performance, response for the quotation						
16	The system should allow blocking a vendor for further processing of any transaction if found to be not meeting the parameters						
17	The system should system to generate a report for supplier performance analysis based on the key evaluation parameter						
	<b>Sub-Contracting</b>						
18	The system should allow to create a sub-contract purchase order with vendors for services which can't be performed by MMTC						
19	The system should have the provision to record and issue material for sub-contract purchase order						
20	The system should have the provision to receive material which are sent to vendors for processing and receive in the stores						
21	The system should record movements(In and Out) of item through gate pass and record the declaration form(DF)						
22	The system should have the ability to receive services or items for a subcontract purchase order.						

<b>Clearing &amp; Handling Agent</b>							
	The system to support following features for clearing and handling agent						
23	The system should be able to review the performance of the handling and clearing agent, sampler and other service provider based on key parameters						
24	The system should evaluate agents suppliers based on customized criteria (qualitative and quantitative) based on triggering the web survey on events (for e.g. triggering a web survey on shortage on parcels handled, time taken for loading vessel.						
25	The system should evaluate agents/service providers based on performance / criteria like time taken for delivery, shortages etc.						
26	The system should allow the agents to automatically receive the time schedule (with phased scheduled at different stages)						
27	The system should send stock position at different points like rail head, railway yard, jetty, port plot and provide details of stock at port classified as shippable and non shippable, saleable and non-saleable, domestic stock, etc.						
28	The system should provide alerts for unloading for wagon, movement of cargo to port etc.						
29	The System should provide e-mail notification to handling agent						
30	The system should provide "alerts" to exceptions in the handling process – like delays, heavy shortage						
31	The system should support standard "follow-up" correspondence						
32	The system should provide details for issue of certificate showing quantity handled and amount payable after adjusting excess/ shortage						
33	The system should be able to rate handling agent by quantitative parameters like: conformity to delivery schedules, instances of short supplies, documentation.						
34	The system should track performance of sampler by comparing the load port results on analysis with the discharge port result Similar comparison to be made with the mine head result and the load port result						
35	The system should allow to generate reports for handling agent performance based on the key evaluation parameter						
<b>Import Purchase</b>							

36	The system in case of imports, Preparation of PO in foreign currency, should create Import PO created based on "costing rules" defined in the system						
37	Components of Landed Cost such as Tax and Vendor bills (Bills from CHA etc.) to be included in PO when actualized.						
38	The system should allow issuance of Letter of Intent to party through system and record details in the system.						
39	The system should allow preparation of Import documents / standard formats for custom clearance on the system such as						
40	Customs Authority Letter duly signed by MM (authority letter to Clearing House Agent to clear the consignment on behalf of the Unit)						
41	The system should enable tracking of movement of imports (which port, country etc.)						
42	The system should allow to upload import documents received from vendor in the system to update status of items order as " items shipped and en route / in transit"						
43	The system should allow to capture exchange rate information on the receipt						
44	The system should add landed cost of received imports to PO and convert value of the PO into INR						
45	The system should have the ability to prepare , communicate and consolidate periodic import schedule for consolidated purchase of import items.						
	<b>Sales Order Management</b>						
46	The system should be able to support different sales order type.						
47	The system should be able to support different sales order template for different types of sales order.						
48	The system should be able to limit access to certain fields (inclusive of viewing access) to only authorized users.						
49	The system should be able to have one touch access to customer master table for rapid setup of new customers, or to view information regarding existing customers.						
50	The system should be able to capture re-schedule date in the sales order and the reason code for re-scheduling.						
51	The system should be able to capture remarks in the sales order.						

52	The system should be able to capture customer part number and its associated internal part number in the sales order.						
53	The system should be able to provide automatic customer lookup based on a character search by customer name or account number including "sounds like" capability.						
54	The system should be able to automatically generate sales order number with suffix or prefix to denote sales order type.						
55	The system should be able to automatically display the customer contact and transaction information in the sales order once a customer has been specified in the sales order.						
56	The system should be able to specify ship to address on an item basis.						
57	The system should be able to specify a general ship to address and able to default the ship to address on the item level to general ship to address but allow sales to override the item level ship to location.						
58	The system should be able to default sales order date to the current system date.						
59	The system should be able to check for credit limit during sales order entry and alert Sales of orders that may exceed the credit limit. Able to set user-defined rules to allow the system to flag potential credit issues based on existing receivables, open orders and the current limit to determine actions required.						
60	The system should be able to capture different product items for a specific customer in a single part sales order.						
61	The system should be able to specify multiple delivery schedules for a particular product item in a sales order.						
62	The system should be able to hold a sales order with specification of hold reason.						
63	The system should be able to release a sales order from hold by an authorized user.						
64	The system should be able to ship partially against sales line items.						
65	The system should be able to force close a sales order by authorized user.						
66	The system should be able to reopen a closed sales order						
67	The system should be able to amend sales order.						
68	The system should be able to support consigned goods sales.						

69	The system should be able to interface to customer's web or third party service provider to receive the sales orders and update on expected delivery schedule.						
70	The system should be able to create one or multiple "standard orders" for a customer containing the products which the customer most commonly purchases. At order entry, these orders can be "brought in", eliminating the need to key in any standard information for the order.						
71	The system should be able to enter sales order by multiple channels.						
72	The system should be able to maintain of sales records online.						
73	The system should be able to generate standard quotation templates for preparing quotation.						
74	The system should be able to allow changes to existing quotation templates and generating new ones.						
75	The system should be able to generate checklist to facilitate the selection of information to prepare quotations.						
76	The system should provide view and print quotations prepared.						
77	The system should be able to generate analysis of the customers grading customers in terms of quantity and sales value						
78	The system should be able to provide sales tax ( VAT) report and return on periodical basis						
	<b>Purchase Order Management</b>						
79	The system should to automatically convert Purchase Request (PR) into schedule lines for the materials that are procured through contracts or blanket Purchase Orders / multiple PR into 1 PO or 1 PR into multiple PO.						
80	The system should have a provision to link purchase orders with project number and activity						
81	The system should create of PO with reference to Contracts/ PRs						
82	The system should create PO's with different number series based on purchase type such as material type / department/source type etc.						
83	The system should automatically identify the MMTC specific terms and conditions, and allow to print them.						
84	The system should automatically identify import documentation requirements during purchase order processing and alerting the user to ensure compliance of import documentation.						

85	The system should classify procurement of services such as security, consultancy, transportation, travel, courier etc.						
86	The system should capture key information in the service purchase orders such as:						
87	Service category (security, consultancy, transportation etc.)						
88	Service commencement & completion dates						
89	Evaluation arrangements						
90	Support and supervision arrangement						
91	Taxation						
92	Financial Arrangement – Payment methods, penalty clauses and timing.						
93	The system should allow users to raise a PO on selected service provider						
94	The system should enable vendor acknowledgement of the PO receipt or delivery schedules through Portal and automatic updating of PO status in the system						
95	The system should provide dispatch schedule requirement to vendor						
96	The system should create sub-contract purchase orders (i.e. The system should send material(s) to vendor and receive finished goods from the vendor)						
97	The system should bind documents with digital-signatures from supplier						
98	The system should enable Suppliers to submit online change requests, which are automatically routed for buyer approval						
99	The system should provide purchase orders with header, line, shipment, and item details, along with related invoices and receipts						
100	The system should download PDF version of PO as per MMTC standard format						
101	The system should enable view purchase order history with revision details.						
102	The system should have a provision of system to view expiry date of PO and expected delivery date of item						
103	The system should not allow raising of PO in case of an expired rate contract						
104	The system should have the ability of following alert/notification:						
105	Auto generation of PO mail to vendor, Accounts and User Department						
106	Receive “confirmation / order acknowledgment” from vendor						

107	The system should generate Alerts to competent authority for approvals required on PO (as defined in the approval hierarchy)						
108	The system should Provide attachments as notes on requisition and Pos						
109	The system should forward all requisitions awaiting approval from one approver to an alternate approver. Within user security and approval constraints, user should be able to reroute requisitions from one approver to another whenever user want.						
110	The system should Check the rates and vendor details in the PO with Rate Contract						
111	The system on receipt of items, should prepare Cost Sheet (as per standard format) which mentions landed cost of item						
112	The system should have the capability to keep audit trail of original Purchase Order in case of amendments to Purchase Order.						
113	The system should save original PO after amendment / allow comparative view of amended and original PO						
114	The system should allow view of excess/shortfall receipts (overdue purchase)						
115	The system should enable the automatic creation of debit memos for rejections to Supplier transactions and Correct receiving transaction errors – purchase (RDA)						
116	The system should also have a provision for exceptions in case of deviation in respect of quality, quantity & time schedule						
	<b>Shipment Management</b>						
117	The system should provide a workflow based user interface for capturing and forwarding the information for assessing the wagon fitment/readiness for loading and after unloading the consignment. The parameters for assessing wagon fitment/readiness may include the size (length, breadth and height) of wagon, weight of wagon before loading and after loading, physical condition of wagon, tare and actual weight, volume of the consignment to be loaded and condition of wagon before loading the consignment and after unloading the consignment.						
118	The interface should also have an option to upload the relevant documents, receipts, images and reports etc. for such assessment.						
119	The system should provide a dashboard interface to capture and view status of Rake Movements with details such as GR & vehicle number, etc.						

120	The system to have a workflow based functionality to allow Corporate Office to initiate the execution of contract by identifying the contract id available in the system and forward it to concerned regional office for execution of contract.						
121	The system should provide a workflow based interface for capturing and updating the parameters related to Shipment Schedule, Vessel Nomination, NOR, daily port operation reports, assayer's report for quantity and quality etc., statement of facts, Bill of Lading, Owner's Bill, Fixture Note, LC opening, details of BG, PG, Bank etc.						
122	The system should provide a dashboard view for status of Rake Movements, Nomination of vessel, confirmation & receipts by bank, convergence of stock at port of shipment, Vessel Schedule, Actual Vessel movement (e.g. Anchoring, Sails off etc.), port operations discharge port activities and check list of documents prepared while unloading at the destination port etc.						
123	The system should provide a workflow based interface for generating indent for shipping division by capturing details e.g. laycan, quantity of commodity, name of the port. System should have a provision to generate output based on the approval of this indent by Shipping Division, in desired format. System should have a provision to forward such approved/accepted indent to Ministry of Shipping (TRANSCHART System) though email as an attachment. The System should provide a dashboard view for status of such indents.						
124	The system should have a provision to record checklist of documents for activities like pre and post shipment activities before it allows the next stage in a workflow to follow.						
125	The system should be integrated with MMTC email so that the automated email alerts are sent to concerned user about Rake Movements, Nomination of vessel, convergence of stock at port of shipment, Vessel Schedule, Actual Vessel movement, port operations etc.						
126	The system to generate alerts/notifications on dispatch and demurrage or quality problem						
127	The system should provide a reconciliation mechanism of payments done online and/or offline through banking channels and pending payment cases.						
128	The system to design and develop what if scenario for trading considering the global price fluctuation and discharge dates						



129	The system should provide a workflow based user interface for capturing and forwarding the information for assessing the lorry/truck fitment/readiness for loading and after unloading the consignment, inspection reports of consignment for weight, quantity and quality. The parameters for assessing wagon fitment/readiness may include the size (length, breadth and height) of lorry/truck, weight of truck before loading and after loading, physical condition of wagon, volume of the consignment to be loaded and condition of lorry/truck before and after loading the consignment and after unloading the consignment, to authorized user.						
130	The interface should also have option to upload the relevant documents, receipts, images, forms (such as C forms) and reports etc. for such assessment.						
131	The system should provide a dashboard interface to capture and view status of Lorry, Truck, barge, railway Wagon Movements.						
	<b>Associate Finance</b>						
132	The system should have the provision for incorporating the payments & receipts categorized as dispatch, demurrage, freight, brokerage, etc.						
133	The system should allow automatically raising debit and credit note for making or receiving payments. The system should incorporate necessary provisions for differential pricing.						
134	The system should have a provision that only relevant data (non zero balances) and selected data are viewed & printed.						
135	The system should allow following in respect of bank guarantee (BG):						
	· Categorize BG as received or given as EMD, PBG with party details						
	· Linking BG with specific contract ID, Contract value						
	· Providing timely alerts in case BG is due for expiry						
	· Scheduled & adhoc reports for stock position, debtors & creditors, loan & advances, bills payable & receivables as per MMTC requirement						
	<b>Specific Functional Requirements of Various Divisions</b>						
	<b>Mineral Division - Iron Ore</b>						
136	MMTC supplies Iron ore sourced from NMDC to Japanese Steel Mills (JSMs) and POSCO, South Korea under the Long Term Agreement (LTA).						

137	The price mechanism for the supply of these ore for forthcoming Quarter of any financial year is based on the average moving index of the prices in the Platts index for 3 months from one month prior to commencement of the same Quarter for which price has to be calculated						
	Steps of Pricing Mechanism as follows:						
	a) Let $Q_1$ be Quarter preceding the Quarter for which price has to be calculated and $Q_2$ be the quarter for which price has to be calculated as per LTA. Let Prices of $Q_1$ and $Q_2$ be $P_1$ and $P_2$ respectively e.g. If $Q_2$ is July to Sept'14, then $Q_1$ will be Apr to June'14 of FY'2014-15						
	b) Take spot prices of Iron Ore Fines[ { IODEX Iron ore fines 62% Fe (\$/dmt)}, CFR China (Close/Midpoint) value in daily Platts report ] for 3 months from one month prior to commencement of next Qtr. i.e. if average price of Iron ore fines of $Q_2$ (July to Sept'14) has to be calculated then spot prices of Mar, April and May'14 will be taken.						
	c) Take average of the above spot prices of 3 months, this will be called Index Price (CFR) in PDMT. Let call it P						
	d) Take spot prices of freight charges (daily cape indices for route C5 to be taken from shipping division) for 3 months, one month prior to commencement of next Qtr. i.e. if average freight charge of $Q_2$ (July to Sept'14) has to be calculated then spot prices of freight charges for months of Mar, April and May'14 will be taken.						
	e) Take average of the above spot prices of freight charges, this will be called Freight Average in PWMT. Let call it $F^*$ .						
	f) Now, Freight Average in PDMT for $Q_2$ (Let call it $F_2$ ) will be calculated from Freight Average in PWMT as follows:						
	$F_2 = F^* / 0.92 = F_1 / (1.00 - 0.08)$ , taking Moisture as 8%						
	g) Derived FOB Price for Iron ore fines for $Q_2$ (Let call it $P_2$ ) will be calculated as follows:						
	$P_2 = (P - F_2)$						
	h) Change in Price of FOB Price of Iron ore fines (in %) of $Q_2$ wrt $Q_1$ (Let call it $C_{21}$ ) will be calculated as follows:						
	$C_{21} = \{ (P_2 - P_1) / (P_1) \} * 100$						

	P <sub>1</sub> = FOB Price of Iron ore fines for Q <sub>1</sub>						
	P <sub>2</sub> = FOB Price of Iron ore fines for Q <sub>2</sub>						
	F <sub>1</sub> = Freight Average in PDMT for Q <sub>1</sub>						
	F <sub>2</sub> = Freight Average in PDMT for Q <sub>2</sub>						
	PWMT = Per wet metric tonne						
	PDMT = Per dry metric tonne						
	Q <sub>1</sub> = Quarter 1 <sup>st</sup>						
	Q <sub>2</sub> = Quarter 2 <sup>nd</sup>						
138	The system should have a provision to do Price Benchmarking in every quarter which is based on Index of Spot Prices for previous 3 months and is calculated one month prior to commencement of next Quarter.						
139	The system should also have a provision for manually inputting the spot prices of iron ore for the purpose of price benchmarking.						
140	The system should have a provision to link with the existing e tendering system for the domestic procurement of iron ore.						
141	The system should also have a provision for monitoring the dispatch and receipt of imported manganese ore.						
142	The system to convert the price (Platts index based) quote it in USD per dry metric tonne (PDMT) to price in USD per long tonne in respect of prices for JSMs.						
143	The system to generate and send email to the supplier and the buyers, the prices for the next/ forthcoming Quarter for their concurrence.						
144	On confirmation, the system to draw the MoA for price change to be signed by the supplier (NMDC) and the JSMs.						
	<b>Mineral Division - Chrome and Manganese</b>						

145	The system should have workflow based functionality for initiating and approval of Chrome producers & other meetings by specifying date, time agenda, attendees, location.						
146	The system should be able to send automatic email invitation to all participants once the meeting is finalized and approved by the concerned authority along with the agenda and attachments.						
147	The System should allow invitees to accept or decline the scheduled meeting using email based communication. The acceptance or the rejection of the invitation should be updated with the system available to Chrome and Manganese department.						
148	The System should allow Chrome and Manganese department to reschedule the meeting and intimate the participants						
149	The system to track meeting schedule and send reminders /notifications to participants						
150	The System should allow user to create minutes of meeting and circulate it to participants/intended recipients using automatic email intimation after approval from the concerned authority.						
151	The System should allow users to confirm/edit minutes circulated by the system and attach any document in reply if required.						
152	The System should have the provision to maintain the list of attendees' and attendance registers for meetings.						
153	The System should have the provision for sending alerts and reminders to individuals/departments requesting the meeting related documents and information before and after the meeting.						
154	The system should have a provision to keep track of the action items and updating the status of the action items.						
155	The system should have an ability to maintain repositories of documents related to Reserved Prices, Grade of Ore, Terms and Conditions, Rules and Regulations.						
156	The system to integrate with MMTCs website and intranet portal for circulars and publishing of annual reports						
157	The system should provide an interface for capturing/updating the Chrome price.						
158	The system should allow user to see the grade wise current price of the commodity and price trends for the period chosen by the user.						

159	The System should allow a user to search the document and information related to various activities mentioned above						
160	The system to generate Form H after receipt of the invoices from suppliers						
	<b>Coal &amp; Hydrocarbons</b>						
161	The system to perform shortlisting of suppliers based on the criteria for quantity, grade of coal, location of availability of coal.						
162	The system should have a provision to maintain the details of empanelled suppliers of other agencies like SAIL & RINL. Provision for uploading documents should also be available for such cases.						
163	The system should have a provision to record the details of Sales related phone calls/meetings conducted by MMTC employees with outside agencies. Details of such calls/meetings will include the target sales volume, name of outside agencies, and status of transaction, expected date of transaction etc.						
164	The System should provide a dashboard view to authorized user to search the status of such marketing initiative based on the input given by the user.						
165	The System should have the provision for registration and/ or empanelment of protective agents and agencies. The details of such empanelled agencies which are to be uploaded on the system may include proposal, contract, bank guarantee etc.						
166	The system to track daily status of stocks in warehouses/godowns.						
167	The system to provide status/details of bank guarantee furnished by successful bidder						
	<b>Steel</b>						
168	The system should provide an interface to authorized user key in site survey findings and attach related documents						
169	The system to generate status & summary of banking instruments submitted as contractual obligations						
170	The system to provide MIS reports for status stock position						
171	The system to provide MIS reports for status of stock in godowns						
172	The system to generate delivery orders for stock in godowns as per MMTC requirement.						

173	The system should have the provision of reconciliation mechanism with the information provided by its subsidiary such as NINL for determining the stock of a commodity available for sale. For example NINL provides MMTC daily reports for the same <format and medium>. Reconciled information should be available to users in the system as near real time information.						
174	The system should have a provision to allocate the quota to various regional offices for the quantity of the commodities to be sold and provide a workflow based functionality for reallocation of such quotas among Ros.						
175	The system to provide e-auction facility using MMTCs website with required levels of authorization/approvals						
176	The system to generate invoices as per MMTC requirements						
	<b>General Trade</b>						
177	The system should receive online requests from any local buyer or supplier for the kind of assistance required						
178	The system should create a unique ID for each proposal accepted by MMTC						
179	The system should provide a summary of verification/scrutiny for any proposal considered by MMTC						
180	The system should provide details advance payments received by local buyer or supplier with details such as date, bank , DD number, etc.						
181	The system should be able to interface with e-tendering system for providing results of tendering						
182	The system to maintain a master database of buyers and suppliers with details of business realized with them						
	<b>Agro Products</b>						
183	The system to generate allocation letter, Purchase and tax invoices and their status						
184	The system to provide MIS reports on EMD, PDC and trading margin amounts for any proposal						
185	The system to enable attachments such as reports from independent surveyors in the approval workflow for discharge, sampling and delivery operations						
186	The system should have a provision to monitor the movement of rakes and the analysis report of the Wheat at loading station as well as point of receipt.						

187	The system should also have a provision for tracking the stock position vis a vis the vessel nomination, bulking, storage loss and sale of empty gunny bags.						
	<b>Fertilizers</b>						
188	The system should have the provision to upload the notification from external agencies (Ministry) for export of commodity						
189	The system to provide commodity wise status of Director General foreign Trade export license						
	<b>Non-ferrous metals</b>						
190	The system should have a workflow based functionality for approval of import and sale of the non-ferrous metals.						
191	The system should have the ability to send auto email notifications to concerned users at the time of status update of registration of contract with customs and time overruns.						
192	The system should have a robust inventory management system to keep track of NFM commodities stored across the warehouses of each RO						
193	The System should be able to near real time reports of stock levels of each NFM commodity in all warehouses						
194	The System should be able to automatically generate a consolidated weekly stock levels report for all NFM commodities across all warehouses on the first business day of each week						
195	The System should provide up to date information of value of stock incorporating the actual procurement cost, actual CENVAT component, godown, insurance and other costs incurred to date on storage and transfer of material						
196	The System should capture the following information for each item/commodity: Metal, Form/Shape, Size, Specifications/Grade/Quality, Brand, Origin, Age, Procurement Cost, CENVAT, MMTCs Price, No. of pieces, Weight, Dimensions.						
197	The system should also capture the market valuation of material as given by Central Accounts						
198	The system should allocate a uniqueID to each product category. This code should be able to identify the base metal, form/shape, size and purity of the product.						
199	The web based system should allow read/write access as per the employee role across all locations						
200	The system should allow allocating a Unique code to each warehouse						

201	The system should capture details of each warehouse like Name, address, storage capacity, current utilization, lease expiry etc.						
202	The system should be able to track movements of stock between different Ros warehouses.						
	<b>Precious Metals</b>						
203	The system should provide an interface to the authorized user to place an indent for raw material in case of non availability with the Precious Metal Marketing Division.						
204	The system should have workflow based functionality for the approval of the such indents raised by the Regional Offices.						
205	The system should be able to decide and alert the authorized user if the approved demand can be met or not from the stocks available with Precious Metals Division store						
206	The system should allow forwarding the request for required quantity to either the empanelled fabricator or in house manufacturing unit , in case the requested demand can be met with the stocks available at Precious metals store						
207	In case of requested demand cannot be met with the stocks available at Precious metals main store , the system should have a provision for forwarding such demand request for approval of competent authority for the supply of required quantity of raw material from OGL section. In such cases systems should have a provision for assigning the details like name of the Foreign suppliers, quantity requested, denomination, qualitative parameters/fineness of quantity to be purchased.						
208	The system should provide the functionality for forwarding & capturing the request for stock Assaying and hallmarking, once the fabrication is done.						
209	The system should have a provision for capturing various processes & workflow related to fabrication, Testing, assaying, hallmarking and packaging in full detail						
210	The system should have a provision to capture the loss in quantities during various steps of fabrication processes, items failed/rejected in testing/assaying & returned back .						
211	The system should have a provision for auto up dation of Stock registers in all cases of movement of stocks from Precious Metals main store to fabricators, Assaying Unit, back to Marketing division & to the stock transfer Unit. Etc.						



212	The system should provide details of tested and discarded scrap in both denomination and the quantity in grams for the tested material.						
	<b>Retail Management System</b>						
213	The system should support Multiple Tax (VAT) Reconciliation Options.						
214	The system should have the provision for maintaining Zone and/or Location Pricing						
215	The system should have the provision to Highlight Suspicious/high value Transactions						
216	The system should maintain customer purchase, profile and other information.						
217	The system should maintain details of external agencies involved in fabrication, hallmarking, testing and assaying.						
218	The system should provide item wise stock position of the Main vault and the Display unit (showroom) , for each location on All India Basis.						
219	The system should be able to generate statements of material sold with all necessary details and localized norms						
220	The system should have a configurable workflow for receiving and retuning back of material						
221	The system should have provision for stock counting, Inventory adjustment, etc. with very limited authority						
222	The system should provide the current status of stock for each location with a consolidated sales, stock , VAT summary						
223	The system should provide Summary of sales under different heads viz. cash, DD , cheque, credit cards, debit cards, MMTC loan schemes, gift card, etc						
224	The system should have the provision for handling maximum discount limit, special schemes and offers , discount in percentage terms etc.						
225	In case of insufficient funds, the system should not allow invoice to be generated (in cases of advance payments ) however allow adjustments to a limit as decided by the competent authority)						
226	The system should allow adjustments to a limit as decided by the competent authority						
227	The system should provide a check for Insurance before final stock transfer from the Precious Metals Main store to any regional office/showroom/customer						
228	The system should provide summary report on excise duty paid material.						

229	The system should be able support verification / authentication feature through barcode for retail items						
	<b>Shipping</b>						
230	The system should be able to receive indents from other commodities						
231	The system should be able maintain a history of indents received by shipping division and provide adhoc reports based on the same.						
232	The system should create an indent ID with specific details such as commodity, port, etc.						
233	The system should generate details of indent received in a format as acceptable to Ministry of Shipping						
234	The system should be able to provide information received from Tranchart system against the indent ID						
235	The system should have workflow based functionality for approval of the new indents. The request should create a workflow which would move at least one level up for authorization and approval.						
236	The System should provide a dashboard view to authorized users for providing current status of communication received or sent to supplier/receiver, vessel agents , etc.						
237	The system should provide the status of port operations in dashboard view against the indent ID						
238	The system should provide status and scanned copy of all reports, documents, bills, etc. generated at load & discharge port against indent ID like NOR, draft survey, bill of lading, daily loading reports, Statement of facts , owners bills, fixture note, etc.						
239	The system should provide details of payment released against any indent ID						
240	The system should maintain a master database of supplier, receiver, vessel agents, suppliers agents, independent surveyors, vessel owners, etc. and details of business realized with them						
241	The system should be able to provide adhoc reports based on the data maintained in the system						
	<b>Bullion Trading System</b>						
	<b>Vendor Management – Information will originate from bullion centers and will be used by CBO</b>						
242	The system to allow management of customer details like profile, KYC details, etc. by authorized person at regional offices/ locations . The system should allow authorized users to upload scanned copy of documents furnished by the customer.						

243	The system should allow management of information related to supplier by authorized person at selected location						
	<b>Indenting</b>						
244	Allow the regional offices/locations to place request for quote to Central Bullion Office having details such as quantity, metal type, denomination, purity etc.						
245	Generate the standard request for obtaining quote						
246	Allow the Regional Office to place an indent as per the specified format based on the quantity of the bullion required.						
247	Location/regional office to generate the indent from the system and forward it to Corporate Office. The system should also capture indent and other relevant details and generate a certificate using the same, (as per the format specified by MMTC) with necessary authorization from location/regional offices. The indent and certificate should be forwarded to corporate office for further authorization and approval. The template for indent, certificate, orders , etc. should be centrally managed at corporate level.						
248	The system should allow updation of indent of specified quantities at the time of authorization; the system should allow MMTC to specify the upper and lower deviation limits on case to case basis and also globally.						
249	The system should capture Shipment details like AWB, consignment number, Bill of Entry, custom bond, customs duty paid etc. against the indent number						
250	System should allow the indented / shipment quantity in multiple lots						
251	System to allow multiple release orders for single indent						
252	<b>Price Fixation</b>						
253	Allow for capturing of request of Price Fixation details						
254	Allow to capture price fixation details along with Price fixing type like – SPOT/AM/PM/NYC/GTC/OCO / STOP LOSS /SILVER FIXING etc. etc.						
255	Allow the system to capture all relevant details such as quantity, purity, location, supplier and the price fixed against the same						
256	Allow for updation of price of gold after fixing the price of the gold						
257	Allow for updation of foreign exchange value after fixing the price.						

258	Allow for updation of value date						
259	Allow to capture supplier's invoice details						
	<b>Report Generation</b>						
260	Generate all the statutory reports required by the various departments like customs etc.						
261	Generate all the reports required by the MMTC like monthly filling reports for sales, purchases, stock transfers , input credit transactions, exempted sales, category VAT rate-wise etc.,						
262	Generate the regular reconciliation report such as quantity reconciliation, trading account, Purchase and sale and various over important accounts						
263	Generate the reports for un-priced and physical stock for all locations categorized metal wise, location wise , supplier wise , etc.						
264	Report on age of stock with AWB and / bill of entry & bar numbers categorized metal wise, location wise, etc.						
265	The system should user to generate MIS reports from all possible combination of fields available						
266	The system should allow users to generate Price fixation reports - yet to be priced, reports on stop loss and GTC / Open orders						
	<b>Security Instrument</b>						
267	Allow for updation, view and search the details of Bank Guarantee given by the customer						
268	Allow for updation, view and search the details of SBLC given by the customer						
269	Allow for updation of metal value and forex rate for the calculation of notional value on a predefined period						
270	Allow for updation of various parameters required for the calculation of notional value like Trade Margin, Customs Duty, Bank Charges, Interest on Loan etc.						
271	Calculate the notional value based on the parameters defined for the calculation of notional value						
272	Allow for updation of details of the BG/SBLC like						
	• Date of issue of BG/SBLC						
	• Value of BG/SBLC						
	• Name of the bank						
	• Address						

	<ul style="list-style-type: none"> <li>• Validity of BG/SBLC</li> <li>• Expiry date of BG/SBLC etc.</li> </ul>						
273	Generate the alert at least 15 days before the expiry of BG/SBLC to the officer concerned						
274	Allow the transaction when there is sufficient and valid BG/SBLC by the customer is available with MMTC						
	<b>Cargo Handling</b>						
275	Allow for the updation of cargo shipment details						
276	Allow for updation of customs duty paid details.						
277	Allow for configuration of allocation of bullion for Export and Domestic consumption						
278	Be flexible enough to change the allocation of bullion for export and domestic consumption at any given point of time						
	<b>Receipt of Goods</b>						
279	Allow for updation of details of the goods like the bill of material, AWB, batch number, serial number, quantity, etc.						
280	Shall update the stock register automatically						
281	Shall generate the CIP remittance receipt						
282	Generate the bullion receipt						
	<b>Contract for Sale</b>						
283	Generate the contract for sale with the details like name of the customer, scheme, quantity wanted, serial number etc.						
284	Link the contract with bullion receipt						
285	Support for the various schemes offered by the MMTC. The generally offered schemes are						
	<ul style="list-style-type: none"> <li>• Out right basis : against 100% value collection</li> </ul>						
	<ul style="list-style-type: none"> <li>• Loan Basis : against BG/cash/FDRLC/SBLC for a value of 110% of notional value</li> </ul>						
	<ul style="list-style-type: none"> <li>• Buyers Credit Basis: loan upto 90 days from the AWB date</li> </ul>						
	<ul style="list-style-type: none"> <li>• Supplier Credit Basis : against the funds kept in FDR</li> </ul>						
	<ul style="list-style-type: none"> <li>• Standby Letter of Credit : against SBLC a log of 180 days allowed</li> </ul>						

286	Monitor all the security instruments submitted by the customer and generate the alerts when the value of sale exceed the security value						
	<b>Financial</b>						
287	Allow for updation of remittance details						
288	Allow for calculation of interest on loan in respect of extended value dates, SBLC etc						
289	Allow of updation of different types of interests – Pre and Post fixing period interest						
290	Allow for updation of different types of taxes that are applicable						
291	Generate the sales invoice and make the entry in the registers concerned						
292	Allow for release of security instrument if any is in excess						
293	Allow for calculation of excess amount and generate the report for return of amount to the customer						
294	Allow for de-bonding of the Bank Guarantee once payment is received from the customer						

Human Resource & Payroll Requirements		Responses Table	
This section of Functional Requirements takes care of the Human Resource & payroll requirements	Sup	Supported	
	Cus	Customization	
	3rd	Third Party	
	Ns	Not Supported	

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<b>General Specifications for Personnel</b>						
	<b>Master Files</b>						
1	The system should include all the master data, configuration and rules that enable Personnel and HRD transactions in the application						
2	The system should allow management of Corporate, Region and Sub Region location masters						

3	The system to capture all the Location details of offices (operative and administrative) such as location name, address, phone number etc. office demographics, planning information (sanctioned and working strength) against each post.						
4	The system to provide for Holiday master that helps in managing Holiday details such as Holiday date, holiday description etc. Holiday lists can thus be maintained for different locations and regions if the holidays differ						
5	The system to allow Competent Authority (workflow rules) master that helps in assigning the appointing authority, leave sanctioning authority and immediate supervisor so as to manage the HR processes workflow						
6	The system to allow different document templates that are used in different HR Modules across the software.						
7	The system to allow Access control master that manages the authorization for various processes based on the cadre, location, process etc.						
8	The system to allow Organization Management Master that manages the organization hierarchy immediate supervisor and reportees for every employee. This will help drive workflow for employee and manager self service						
9	The system to provision for Training Configuration Master that manages the list of all the training centres with the details of number of classrooms, computers, capacity etc.						
	<b>Functional</b>						
10	The System should define the organizational structure providing details of employees, Department wise, Location wise						
11	The system should provide details of all employees which includes departments, categories, designations, grade wise etc. at each location						
12	The system should be able to provide organizational positions and multiple reporting relationships and integrate with the respective employee data						
13	The system should be able to create various department and location wise						
14	The system should provide access or restrict making changes in the Organization Structure to authorized persons only						

15	The system should enable role based access and also integrate with work flow and approvals						
16	The system should retain historical data						
17	The System should maintain list of RTIs received with their replies and provide alerts for the stipulated time frame						
18	The System should integrate with intranet portal for promulgation, updation/ introduction of new rules and revised MMTC Rules/ Schemes for employees						
19	The system should maintain a library of interactions/ meetings with MMTC Officers/ Staff Federation/ Unions and replies to MMTC Public/ Employees Grievance						
	<b>Recruitment Process</b>						
20	The system should have a provision to define locations and cost centers (Division, Section, Office etc.) by authorized personnel						
21	The system should have the ability for creation and modification of departments/ cells/ organization units for MMTC						
22	The system should have the provision for creation/deletion and maintenance of positions for both employees and contract staff						
23	The system should have the ability for maintaining relationship such as 'Head of the department', "reports to' etc.						
24	The system should have the ability to generate organizational assignment reports						
25	The system should have the provision for following reports which are essential and reporting requirements are not limited to the listed reports:-						
26	Department /Organization Unit Counts						
27	Count of Occupied Position						
28	Count of vacant / unoccupied position						
29	Job Description report						
30	Obsolete position report						
31	The system should have the ability to map MMTC Organizational Structure						
32	The system should have the ability to establish hierarchical relationships between the different departments/ offices						



33	The system should have the ability to change command & control hierarchies so necessitated in future						
34	The system should be able to show the vacancy position in the corporate / region with drill down feature up to the field level unit						
35	The system should be able to view the vacancy position in different views to meet the recruitment authority requirements like sub department wise, function wise, cadre wise, etc.						
36	The system should allow regional/ sub-regional offices to design the resource requirement plan						
37	The system should allow the regional/ sub-regional Offices to post the resource requirement plan to MMTC CO						
38	The system should consolidate the resource requirement plan at MMTC CO						
39	The system should allow competent authority to finalize the recruitment plan						
40	The system should generate the office orders to respective authorities responsible for recruitment to specific post						
41	The system should provide a system to maintain vacancy posts. The system shall support creation, modification and deletion options . The system should support for Indian government /PSU Roaster						
42	The system should allow fitment of Employee to a Post. This will be a support exercise to facilitate HR activities related to allocations, transfers and promotions						
	<b>General Specification for HRM</b>						
43	Add Employee in HR database						
44	The system should have definition of all sub departments of organization						
45	The system should have definition of multiple locations under various sub departments.						
46	The system should have mapping of employee to his cadre						
47	The system should allow grouping of employees on functional basis						
48	The system should have definition of multiple grades to set as many pay scales as necessary.						
49	The system should have definition of multiple designations						

50	The system should enable compilation of employee numbers by cadre /function / designation band at any given time.						
51	The system should allow to redefine various definition mentioned above in case of restructuring						
52	The system should generate unique Employee code. Existing CPF no./PRAN No. may be used as a unique employee code./						
53	The system should allow editing of the employee's master data fields by competent authority.						
54	The system should be able to maintain and retrieve employee records for employee skill sets, qualification, training attendance, seniority, etc.						
55	The system should be able to define Employee Salary definition with Basic, HRA, DA & other allowances, Leave Encashment definitions, Provident Fund details,						
56	The system should be able to identify employees by name, part of name, employee ID, job position, organization						
57	The system should be able to track the historical record of employees from the date of joining to the current date including ACRs						
58	The system should have the provision of maintaining the following minimum employee information:						
	Employee number						
	Employee name						
	Address (Present and permanent)						
	Phone number, mobile number, e-mail ID, etc,						
	Gender						
	Mobile number of the employee						
	Marital status						
	Details of children						
	Academic Qualifications						
	Professional qualifications						
	Designation						

	Date of birth						
59	The system should have the provision of capturing previous experience capturing and information not limiting to:						
	Names of agencies/organization						
	Tenure (from - to)						
	Role						
60	The system should capture details for trainings or courses undergone before joining						
61	The system should be able to maintain single model database capturing all personal and job related data of all kind of employees permanent/contractual/ on deputation or ex-employees retired on superannuation, voluntarily retired, resigned, dismissed, opted for pension etc.						
62	The system should have a provision to generate unique identification number for each employee						
63	The system should have the Flexibility of additionally capturing any information relating to employee at a later date.						
64	The system should have the Capability of retaining the data structure and format						
65	The system should have the capability to maintain concurrent jobs for employees with additional responsibilities/special duties in addition to regular responsibilities.						
66	The system should have a provision for Service history retention						
67	The system should have an ability to change retirement dates, etc. as and when policy changes are effected						
	<b>Modify Human Resource Record</b>						
68	The system should allow to change the cadre/ designation/ pay scale/ reporting structure of the employee after getting promoted or demoted by authorized personnel						
69	The system should able to change the role of the employee ( Promotions)						
70	The system should be able to show the vacancy position in the state that can be filled by promotion, with drill down feature up to the field unit level						
71	The system should be able to record the retirement date of the employee and update HR record accordingly						

72	The system should be able to record suspension, termination & retirement of the employee						
73	The system should be able to freeze all the rights of the suspended, terminated & retired employee						
	<b>Transfer and Postings</b>						
74	The System should provide alerts for the name of the officials that are due for transfer						
75	The system to provide present place of posting , position and system should also provide no. of years' experience						
76	The system should generate new place of posting as per organizational policy						
77	The system should provide details of charges to be handed over						
78	The system should be able to view the vacancy position in different views to meet the transfer authority requirements like sub department wise, function wise cadre wise, etc.						
79	The system should avail sorted list of employees on parameters like - number of years in current location, number of years served in organization and place of postings, training programs successfully completed, Annual Confidential Reports						
80	The system should be able to show the list of employees with specific skill set to assist the transfer process.						
81	The system should allow transfer authorities to define rules for transfer						
82	The system should be able to show the transfer request posted by the employee to competent transferring authority						
83	.The system should update the resource allocation after joining of employee at the transferred location						
84	The system should be able to show the list of employees who has not joined offices even after release of transfer order						
85	The system should maintain complete history of employee transfers since recruitment						
86	. The system should maintain records of transfer, identification of vacancies and issue of transfer orders based on the recommendations received from the respective specialist departments and approval of the competent authority is obtained						

87	.The system should be able to record the transfer orders cancelled/ deferred/ modified and follow up with the respective office						
88	The system should capture details of officers on deputation to outside agencies or organizations with depute organization details.						
89	The system should generate relieving letters on transfer or postings						
	<b>Promotion</b>						
90	The System should provide name of the officials, posting profile and promotion records						
91	The system should provide access to Vigilance report and 5 years ACR of the candidate to authorized users						
92	The system should capture status of the promotion process						
93	The system should have the ability to define grade advancements within departments across all offices						
94	The system should be able to upload promotion list and print Promotion Letters of candidates found suitable for promotion						
95	The system should support prospective/wait listed promotions						
96	The system should be able to release promotion only on reporting at new place in case of officer getting transferred on promotion and generate periodical detailed report on non-reporting						
97	The system should be able to do salary fitment on promotion						
98	The system should have the capability to handle Back Dated promotions with respective promotion policy						
99	The System should facilitate to view Vigilance profile of each employee and customized MIS report to be generated employee-wise. The vigilance profile must also contain fields to identify major and minor penalties awarded in chronology and should identify the disciplinary action initiated on administrative ground or vigilance ground.						
100	The system should capture the departmental promotion committee formulation & procedures in case of promotions and appraisals						
	<b>Seniority</b>						

101	The System should be able to record the seniority of the employee as per the rules and regulations						
102	The system to provide Date of Birth, Date of Appointment in MMTC.						
103	The system should provide Date of appointment and Date of confirmation ( in present grade)						
104	The system should provide place of posting and remarks column						
	<b>Manage Service Book/ Employee Record</b>						
105	The system should be able to show the component view of the Service Book like personal static information, service details, performance appraisals etc.						
106	The system should allow posting of the ACR from reporting officers						
107	The system should be able to register the feedback from senior officers as well						
108	The system should allow defining the timelines for performance appraisal						
109	The system should show the delay in ACR process to HoDs						
110	The system should accept the request from employees for changing the incorrect information in service book						
111	The system should allow competent authority to update the information after taking necessary approval						
112	The system should allow to track the requests for any updates						
113	The system should allow HoDs to send the group message to employees on their performances						
114	the system should have the capability to maintain service files documents in scanned form including Date of Birth, domicile, SC/ST certificate, Bonds, if any, executed, disciplinary cases details, photograph etc.						
115	The system should have the capability to track the physical location of the service file by recording the file number and place where it is kept						
	<b>Self Service for Employee</b>						
116	The system should allow employee to access his personal & professional records						
117	The system should be able to display the pay slip on demand						
118	The system should allow employee to print the pay slip						

119	The system should show various training programs scheduled across the department						
120	The system should allow to perform all the training related task listed in training sub module						
121	The system should allow to manage the dashboard view of critical activities						
122	The system should be single point access for accessing all the functions and features of the system						
123	The system should have the capability to empower employees to enter the data/view/edit pre-defined data on self for e.g. updation of personal records like details, marital status, record/change nomination etc. and leave balance, leave status (Cannot be modified), Salary details, liabilities, declare investments for IT returns, Property returns, Lease data, Medical & Entertainment etc.						
124	The system should have the capability to provide links to the important items hosted in various in-house websites/ intranet e.g. important circulars/ instructions/ policy documents etc.						
125	The system should provide access to staff training information						
126	The system should enable managers to review staff training history						
127	. The system should give managers the ability to create and save their own custom reports						
128	The system should allow managers to view their direct reports as well as drill down to lower levels under their area of responsibility						
	<b>Personal Details</b>						
129	The System should allow to record, update and manage the following:						
	Employee basic information						
	Grade and Pay related particulars						
	Service Record						
	Loans & Advances						
	Appraisal information						
	Skills & Training						
	Leave information						

	Perquisites & eligibility information						
	Actions initiated information						
	<b>Leave Management</b>						
130	The system should have a provision for Leave crediting system to update leave accruals as per organizations policy						
131	The system should be able to provide facility to award and maintain different types of leave to MMTC employee as per the grade and eligibility criteria						
132	The System should support workflow with authorized Officer crediting leave to employees depending on their grades.						
133	The system should provide a facility for Authorizing Officer to review the credited leave records and endorse. Shall also be in a position to authenticate, confirm or reject and update specific/ set of leave credit depending on the requirements by the authorizing officer						
134	The system should provide an interface with Attendance and payroll system to take care of consumption of leave and update records accordingly						
135	The system should provide a workflow based Leave Operation system. Any employee of MMTC shall be in a position to apply for his/her leave option through their log ins						
136	The system should allow leave requirements to be initiated and forwarded to his/her superior for sanction and approval and shall get a feedback whether leave has been approved, rejected or conditional etc.						
137	The system should allow approving authority to approve the leave after checking eligibility and availability. Approval shall be sent by way of sanction order with appropriate comments						
138	The system should have the provision of specifying the type of leave, leave with strictures like half pay, loss of pay etc. in the sanction order, depending on the eligibility and availability.						
139	The system to update the sanctioned leave in the leave records and wherever wages/pay is involved, it shall interface with the payroll system. It shall also update the employee's service record						



140	The system should allow MMTC employees to submit "joining Report" for resuming their offices wherever, prescribed for such requirements.						
141	The system should have the capability to credit leave balances through an accrual process in the system automatically based on user defined criteria						
142	The system should have the capability to maintain local holidays and integrate with the leave management						
143	The system should be capable of record keeping and maintenance of historical data						
144	The system should have the capability to integrate with pay-roll module for calculation and recovery of loss of pay etc.						
145	The system should have the capability to provide the Section-in charge consolidated status of present/absent employees working under him/her.						
146	The system should have the ability for online approval/rejection of leave						
147	The system should have the provision for sending notification to the staff with status of approval or rejection						
	<b>Attendance</b>						
148	The system should have the provision for maintaining calendar of working days and holidays						
149	The system to record attendance of employees using time office ( Bio Metric)						
150	The system should allow the facility to transcribe the paper attendance records into a system or interface						
151	The system should allow the facility to reconcile attendance data with leave application, time off, on duty travel, etc. to be facilitated						
152	The system should provide interface to payroll and employee service record wherever necessary						
153	The system should provide alerts pertaining to attendance records to the reporting officer						
154	The system should generate reports on absentee employees and alert the associated functions like payroll, cash etc.						
	<b>Central Provident Fund (CPF)</b>						
155	The system should allow to open CPF accounts for individual employees						

156	The system should be able to record contributions to CPF, including allowable changes						
157	The system should be able to carry out interest calculations as per applicable norms						
158	The system should be able to perform post interest transactions						
159	The system should have the facility to provide loans from CPF accumulations						
160	The system should be able to maintain information on loan applications including approval / rejection, disbursement and recoveries						
161	The system should be able to advice payroll for such recoveries and maintain information on recoveries made						
162	The system should provide employees a query facility on their CPF accounts, inclusive of loans and recoveries						
163	The system should have the ability to modify recovery amounts and patterns, any time, any number of times						
164	The system should be able to generate hard copy, print outs of statutory registers based on the information maintained in the system						
165	The system should support pre-Closure of CPF refundable loans and should be able to calculate interest till such period						
166	The system should have a facility of showing decreasing number of EMIs for refundable loan, which can maximum go up to 36 instalments as per MMTC policy						
167	For withdrawal of non-refundable advance by an employee from his contributions towards CPF, System should have provisions to accept refund of the unutilized CPF amount by the employee.						
168	The system should be able to calculate Voluntary PF deduction of employees and advise payroll for such deductions from basic & DA on percentage basis						
169	The system should provide scheduled & adhoc reports such as total funds available with the CPF trust, details of investments made, maturity details of investments, etc.						
170	The system should be able to link PF data with details of employee retirements. The system should provide fund requirement position in advance for 10 years so that investments can be planned accordingly by CPF Section, on monthly basis.						

171	The system should have a facility to upload scanned copy of minutes of CPF trust meetings on yearly basis						
172	The system should generate all orders for refundable and non-refundable advance to be generated by the system with a validity period of 15 days or one month. System should provide alert for concerned division about non-utilization of Office Order issued and same should be blocked till further extension is given.						
173	The System should be able to generate report regarding refundable loan sanctioned during particular month, details of outstanding refundable loans with interest						
	Group Insurance Scheme						
175	The System should generate report regarding number of employees covered as per category, date of joining and date of birth and sum assured for each category as per policy						
176	The System should provide email or SMS based alert for renewal of policy one month in advance.						
177	The System should generate scheduled & adhoc report on cases settled on yearly basis and claim amount disbursed						
178	The System should provide alert to payroll about deduction of premium from salary of individuals as per the category						
	Employees' Deposit-Linked Insurance Scheme (EDLI)						
180	The system should be able to generate report with details of employees regarding date of joining, date of birth etc.						
181	The System should provide email or SMS based alert for renewal of policy one month in advance						
182	The System should generate scheduled & adhoc report on cases settled on yearly basis and claim amount disbursed						
	<b>Loans</b>						
183	The system should be able to maintain the types of loans as per the eligibility, along with limits for such loans for each category of employees.						

184	The system should have a provision of maintaining loan application, approval and disbursement information, such information can be submitted either by forms or data entry						
185	The system should have a provision to define a record schedule for the loan						
186	The system should allow advice recovery to payroll each month						
187	The system should allow to record details of references made by payroll for each employee						
188	The system should have the facility to suspend or modify the record schedule for any given loan, including reversals of any wrong recoveries that have been made						
189	The system should be able to provide information at any time to MMTC internal departments to facilitate loan management activities						
190	Individual employees to get information on loans that they are eligible loans analysed by them and status of recoveries of such availed loans as on any given day						
191	Facility to generate hard copy, printouts of statutory registers, brief details						
192	Provide upload facility for the scanned copies of the documents associated for any given loan						
193	Provision to calculate Penalties / penal finance charges						
194	The system should support pre-Closure of loans and should be able to calculate interest till such period						
195	The system should have a facility of showing decreasing number of EMIs loan, including House Building Advance.						
196	The system should provide the upper limits of loan amount for employees based on cadre & type of loan						
197	The System should be able to generate report regarding loan sanctioned during particular month, details of outstanding loans with interest						
198	All orders for all loans/ advances should be generated by system. Orders in case of car advance, HBA, Gold advance should have a validity of one month and the system should be able to issue alert in case of non- utilization of such loans.						

199	In case of HBA, the system should provide alert where advance is availed by employee but required documents not submitted to the division and for cases of advance for repairs and renovation if availed earlier. The system should also the facility to upload scanned copies of property documents						
200	In case of car advance, the system should provide alerts to be given in case of non-submission of required documents. Facility to upload scanned copies of documents.						
	Holiday Homes						
202	The system should provide the facility for generating Allotment letter for holiday homes						
203	The system should record all expenses related to holiday homes and perquisite tax to be booked into the account of individuals/employees who have availed such facilities at the end of each year under the head 3% perks						
204	The system should generate scheduled & adhoc reports about availability of Holiday homes as per Zones(East, West North and South) and total expenses incurred						
	Meal Vouchers						
206	The System should provide alert to concerned division about meal vouchers to be purchased for each individual/employee						
207	The system should provide alert on expiry of agreement in advance along with the facility to upload scanned copy of agreement. The payments to the vendors/agencies should be released from the system itself						
	Canteen Subsidy						
209	The system should book all expenses related to canteen into account of individuals under 3% perks, wherever such facility is available						
	Miscellaneous						
211	The system should also have the provisions for recording details of fund under following heads as per MMTC policy:						
212	Service award on completion of 15 and 30 years of service.						
213	Disbursement of diwali/new year gift to eligible employees from 3% perks.						
214	Disbursement of ex-gratia.						

215	Employee family benefit scheme.						
216	Eps-95- details of cases forwarded to rpfc and details of cases returned by rpfc with reasons.						
217	Funeral expenses						
	<b>Travel</b>						
218	The System should provide application of official travel plans						
219	The System should facilitate application/approval/rejection of travel plan to the reporting officer						
220	The system should be able to record advances paid towards an approved travel for any employee						
221	The system should keep record of travel and travel related expenses as applicable and / or approved for the given trip. The location, duration and purpose of trip including authorization of appropriate authority						
222	The system should be able to calculate refunds or payables for a given trip and also keep information regarding refunds / reimbursements made by / to employee						
223	The system should be able to generate report to recover unsettled travel						
224	The system should be able to provide facilities for travel related to transfers and promotions						
225	The system should allow for recording travel arrangements booked against each travel requisition						
226	The system should automatically account for the travel expense report after approval						
227	The system should be integrated with Cost centers for recording travel related expenses against the Cost center						
228	The system should allow for final settlement of a travel (i.e. adjusting against any advance)						
	<b>LTC</b>						
229	The system should provide application of LTC plans						
230	The system should facilitate application/approval/rejection of LTC plan to the reporting officer						

231	The system should allow to maintain basic eligibility criteria for approval of LTC by category of employee						
232	The system should allow to record details of individual LTC facilities availed in the past for each employee						
233	The system should allow to maintain details of advance taken towards LTC and settlement of LTC related accounts after completion of the travel						
234	The system should have the facilities to block en masse or at an individual level the LTC benefit as a result of Governmental policies, suspension of individuals etc.						
235	The system should provide interface to payments/recoveries and generate comprehensive MIS						
	<b>Medical reimbursement</b>						
236	The system should be able to maintain records for medical benefit for each employee and allow user to search based on employee ID						
237	The System should record claims information						
238	The system should allow process for payments, including advances where applicable						
239	The system should handle Maintenance of list of empanelled hospitals having tie up for the purpose of direct settlement facility with the corporation – with tie-up (including contact person, address, contact number/fax) details, schedule of charges etc.						
240	The system to allow integration with Admin approvals, payroll and Finance						
241	The system should allow user to take reports based on various search /sorting criteria's such as employee wise, hospitalization expenses or OPD expenses showing bifurcations, etc.						
242	The system should provide alerts based on business rules on tax exemptions for employees / hospitals						
243	The system should provide alert and summary record for an employee in case of transfer, resignation and retirement.						
244	The system should provide employee and hospitalization details on the voucher						
	<b>MIS</b>						

245	The system should have the capability to generate reports across all modules, which shall be consolidated and concise, could work as an effective tool for leadership for decision making						
246	The system should have the capability to generate Staff Strength unit wise, group wise, age wise, qualification wise, administrative office/branch wise, circle wise, sub circle scale wise, permanent/ contract wise, stream wise etc.						
247	The system should have the capability to provides user-friendly, multi-dimensional analysis and information on real-time / updated basis						
248	The system should have the capability to provide/display data in tabular form / text form /graphical form						
	<b>Exit and Retirement</b>						
249	The system should be able to identify the reason of exit e.g. retirement/compulsory retirement/voluntary retirement/death/resignation/dismissal etc.						
250	The system should have the ability to process the voluntary retirement application as per the rules defined for the particular scheme						
251	The system should have the capability to generate retirement notice to concerned departments and retirement proposal at least 3 months in advance in case of superannuation for sanction. For other type of retirement/exit as soon as the papers are submitted/ on-line request is received.						
252	The system should capability to initiate the process for making payment of the retirement benefits and sanction pension as per applicable rules						
253	The system should have the Ability to analyse data relating to exits/retirements						
254	The system should have the ability to conduct on-line near real time exit interviews and record observations/comments of the authority.						
255	The System should be able to calculate Gratuity of employee exiting due to superannuation/VRS/CRS/ Death/resignation/dismissal etc.						
256	The system should be able to calculate Long Service Award as per MMTC policy and rules						
257	The System should give alert to A&E Section, CPF Section, Administration Section and Vigilance Section about retiring employees three month in advance						



	<b>Parliament Unit</b>						
258	The System should provide field for entering a question						
259	The system to provide an alert to all sections upon entry of the question						
260	The system to provide access to upload the answers						
261	The system should provide “search of key words” to retrieve archived records						
262	The system to archive all records pertaining to this section						
	<b>Right to Information (RTI)</b>						
263	The System should support recording, forwarding and tracking of RTI queries as per the RTI Act						
264	The System should support escalations if RTI queries are not answered within specified timeframes						
265	The system should support billing, collecting and accounting of RTI related fees						
	<b>Design Training Calendar</b>						
266	The system should be able to show the skill sets available in MMTC with drill down feature						
267	The system should be able to view the competencies of the employee in different views like sub department wise, function wise						
268	The system should allow departments to design the training plan						
269	The system should allow the department to create & post the training plan/orders						
270	The system should consolidate the training plan and show training catalogue including all trainings						
271	The system should allow scrutiny/modification/addition of trainings in training plan by training sponsor						
272	The system should allow competent authority to finalize the training plan						
273	The system should generate the office orders to respective training institutes with details						
274	The system should be able to maintain master list of training agencies and details of training conducted						
	<b>Internal Training</b>						
275	The system to gather training needs from division heads/HOD's						

276	The system to create an Annual training plan and system should send a notification to the approving authority						
277	The system to approve/reject/change program by the approving authority						
278	The system of system to notify program coordinator once the Annual training plan is approved/rejected/changed						
279	The system to raise a requisition for training program and a notification should be sent to the approving authority						
280	The system to create/modify/delete training program catalog						
281	The system to define programs and the faculty list						
282	The system to validate the nominated employees if the skill set matches the with current area of work, previous training programs attended						
283	The system to enroll an internal employee for the training						
284	The system to send a notification to the program coordinator for the training request						
285	The system to generate report for the training needs as per the employee qualification, job description etc.						
286	The system of system to populate the faculties for training program as per their skills, qualifications, experience etc.						
287	The system to create/maintain details of faculties for training programs						
288	The system to notify the enrolled employees and faculty for training						
289	The system to schedule enrolled employees for training programs and notify the enrolled employees about the venue/time and course details						
290	The system to record attendance and conduct of employees attending training						
291	The system to generate reports as per the search criteria						
292	The system to update time / attendance of employees attending the training and a notification should be sent to the payroll						
293	The system to generate monthly reports for providing statistical data about the training programs and number of employees attending the program						

294	The system of system to update the HR master data with the training program credits to the employees who completed the training program successfully						
295	The system of system to notify the training coordinator after the training program ends.						
296	The system to generate certificate to approved employees.						
297	The system of system to capture the feedback of the training program attendees						
298	The system of system to capture the estimated direct and indirect cost incurred for the training						
	<b>External Training</b>						
299	The system to gather external training requirement from the division heads/HOD's.						
300	The system to create external training programs needs and sponsored employees						
301	The system to raise an external training request to the training coordinator with employee details, training program details, fees details etc.						
302	The system to send a notification to the training coordinator for the same						
303	The system to raise a requisition for external training and seek approval						
304	The system to send a notification to the approving authority						
305	The system to approve/reject/hold the external program request						
306	The system to notify the training coordinator when the external training program is approved/rejected/ on hold						
307	The system to notify Finance / HOD to sponsor the employee for external training						
308	The system to notify once HOD/Finance processes the external training fee request						
309	The system to create a new program and define it once the employee has taken the external training						
310	The system to update the HR master data with training program credits to the employee and nominate employee as faculty for other batches						
311	The system to capture the feedback of the training program attendees						
312	The system to capture the estimated direct and indirect cost incurred for the training						
313	The system to generate report with search criteria's as the marks / grade obtained, etc.						
	<b>Payroll</b>						

314	The System to maintain history of records in the system (Example: changes made to compensation structure etc.						
315	The System to generate costing at various levels and be integrated with ERP GL for posting of the payroll						
316	The System to generate employee related reports level wise, location wise, etc.						
317	The system should have the ability of system to generate statutory reports/ challans /forms of the applicable statutes						
318	The system should have the ability of system to restrict duplication of payment to employees						
319	The system should have the ability of system to generate data that is compatible for filing of returns with the IT department						
320	The system should have provision for separate payroll (for permanent or contract staff) processing for different groups of employees						
321	The system should have the capability to make computation of the following elements:						
322	· Fixed pay elements applicable to all employees like basic, PF, special allowance, conveyance allowance etc.						
323	· Variable pay elements based on parameters like options exercised by the employee, place of duty etc. (CCA, HRA, Recoveries like LIC, NIC etc.)						
324	· Formula based pay elements like (DA as a % of basic) and combination of the above.						
325	The system should have the capability for making calculation of pay based on Compensation Rules like						
	· Scale of Pay						
	· Years of Service						
	· Grade						
	· Location						
	· Employee type like permanent staff and contractual staff						
	· Others (user defined)						
326	The system should have the capability to maintain/ configure pay elements like LTA, CPF and Medical, Service Award etc.						

<b>327</b>	The system should allow pay types based on defined monthly cycles of pay						
<b>328</b>	The system should have the capability to allow the authorized user to override the standard rate of pay for individual employees						
<b>329</b>	The system should have the capability to allow restriction of administrative functions to a few select payroll users						
<b>330</b>	The system should have the capability to provide data upload facility to upload history payroll data						
<b>331</b>	The system should have the capability to allow the maintenance of slab wise details for statutory elements like Income Tax, Professional Tax as well as user defined elements						
<b>332</b>	The system should have the capability to allow for deductions that might be either Gol rules like						
	· Contributory Provident Fund						
	· Festival Advance						
	· Natural Calamity Advance						
	· Cycle/ Scooter Advance						
	· House Building Advance						
	· Income Tax/ Surcharge						
	· House Rent Recovery						
	· Employee Welfare fund etc.						
	· Others (User Defined) etc.						
<b>333</b>	The system should have the facility to calculate tax as per the Income tax act without the manual intervention. The tax slabs, rates and surcharges shall be maintained by the system and the tax shall be computed automatically						
<b>334</b>	The system should have a provision for handling payroll claim process such as LTC claim, medical reimbursement claims and off-cycle payment for the same						
<b>335</b>	The system should have provision to generate the statutory forms such as Form 16, Form 24 etc.						
<b>336</b>	The system should have a provision for withholding salary of the suspended/ absentee employee						

337	The system should have a provision for generating bank transfer report for monthly payments.						
338	The system should have provision for generation of pay slip electronically with the applicable payment of allowances and deduction heads. Pay slip should be in printable form and should also be available online.						
339	The system should have ability to support Gratuity and superannuation computation supporting user definable contributions						
340	The system should have the provision for computing final settlement to arrive at payable and recovery amount						
341	The system should have provision for handling financial year end tax declaration and subsequent calculation for generating statutory forms						
342	The system should have the capability to process arrear and backdated payment calculations						
343	The system should have the capability to handle LTA and medical exemptions as per the income tax rules						
344	The system should have the capability to calculate HRA rebate						
345	The system should have the capability to provide linkage to leave, punishments, promotion, location, qualifications						
346	The system should have the capability to define tax rules to determine employees tax liability as per changes by the central government/ local statutory legislation for actual tax liability of employee						
347	The system should have the capability to provide investment declaration form in electronic format. The employee will be required to fill and submit the form electronically so as to automatically updating of salary record and tax calculation by the system						
348	The system should have the capability to project the tax liability of each employee for the period within a tax calendar based on the employee declaration of savings etc. and providing tax planners to the employee.						
349	The system should have the capability to handle Exemptions and Rebates as per the Income Tax Rules						

<b>350</b>	The system should have the capability to support PF settlement process including generation of settlement sheets and relevant vouchers for accounting						
<b>351</b>	The system should have the facility to maintain following types of allowances						
	· City compensatory Allowance						
	· House Rent Allowance						
	· Children Education Allowance						
	· Tuition fee						
	· Overtime Allowance						
	· Dearness Allowance						
<b>352</b>	The system should have the facility to maintain following types of Deductions:						
	· License fee						
	· CPF						
	· House Building Advance						
	· Motor Cycle Advance						
	· Other Conveyance Advance						
	· Festival Advance						
	· Flood Advance						
	· Other Advances						
	· Interest Recovered on Loans						
	· LIP (Life Insurance Policy)						
	· Facility for providing any updates or changes to any of the Allowances and Deductions						
	· Processing of arrears and preparation of supplementary pay bill						
	· Tax deductions as per existing laws						
	· Provide information related to cash, cheque payment and direct deposit to employee's Bank account						
	· Facilities to attach employees salary and keep a record of the such deductions made						

	· Generate consolidated information on income tax deducted including generation of Form 16					
353	The system should be Rules-Based Payroll Solution for calculation of the pay for various cadres					
354	The system should be able to Include Salary and other benefits					
355	The system should be able to include revised salary and benefits					
356	The system should show all the information to check and reconcile payroll to competent authorities					
357	The system should allow integration with HR and Finance function					
358	The system should be able to show complete payment history					
359	The system should show the component view of pay structure					
360	The system should allow to print pay slip on demand					
	<b>Vigilance</b>					
361	The System should capture the name of officials					
362	The system should provide unique identification codes for Major and minor penalties for vigilance cases					
363	The system to identify vendors by a unique user defined coding system					
364	The system to provide status i.e. Set up inquiry etc.					
365	The system should publish the outcome of the complaint					
366	The system should provide status of such complaints					
367	The system should have the capability to restrict the access to information to authorized officials and report through audit trail.					
368	The system should have the capability to categories a case as pending, contemplated, cleared cases for use by other modules e.g. promotion etc.					
369	The system should have the capability to link to pay roll for suspension cases for payment of subsistence allowance					
370	The system should have the capability to maintain record of employees with doubtful integrity (agreed list), publish its list and restrict its access to only authorized officials					





Corporate Functions Requirements	Responses Table	
This section of Functional Requirements takes care of the requirements for Corporate functions	Sup	Supported
	Cus	Customization
	3rd	Third Party
	Ns	Not Supported

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<b>Internal Audit</b>						
1	The System should allow the registration and/ or empanelment of new audit agencies. The details of empanelled agencies which are to be uploaded on the system include proposal, contract, bank guarantee etc.						
2	The System to support analytical reports for selecting Audit items						
3	The system should provide plan & Release Monthly, Quarterly and Annual Audit plans at Corporate & Regional levels						
4	The system should allow to Identify and assign resources for Audit Program						
5	The system should provide conduct Audit and create Audit Reports						
6	The system should have the facility for exception reports in case the inspections are not carried out as per plan						
7	The system should have the facility to create "Corrective /Correction action" workflow(notifications) based on the results of Audit check list						
8	The system should allow track Audit completion report submission as per plans						
9	The system should track Replies						
10	The system should support on-line review of Inspection reports at Regional office/Corporate office						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
11	The system should keep track of Training activities related to training of Auditors						
12	The system should support choosing transactions for Audit based on flexible filtration criteria						
13	The system should provide the adhoc & statutory reports to Internal Audit Division to maintain data not limiting to the following:						
	-Concurrent audit done for all items for all ROs						
	-In-depth audit by external 3rd party auditor						
	-Special audits by Senior officers						
	-Recommendations of internal audits on a particular transaction						
	<b>Projects</b>						
14	The system should have workflow based functionality for creation of projects with unique ID with the ability to specify type of project, details of business associates, location, budget, etc.						
15	The System should allow the creation of new Business associates / agencies as approved by competent authority. To include details such as proposal, contract, bank guarantee, project plan, project layout, approved design etc.						
16	The system should have workflow based functionality for approval of the new project, renewal/extension of the current/old project(s). The request should create a workflow which would move at least one level up for authorization and approval.						
17	The system should be able to provide email and SMS alerts to the concerned users for missing time lines based on the project plan.						
18	The System should have the capability to track the progress of projects, updating of project status, uploading of pictures and documents.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
19	The System should be able to provide scheduled and ad hoc reports for the utilization of resources, funds allocated, funds disbursed, funds utilized, fund available for disbursement etc.						
20	The system should allow a user to upload invoices raised by the partner agencies and it should be integrated with the finance module so that such invoices and request related to finance are forwarded to finance department.						
21	The system should have a central repository for keeping template and signed copies of proposal, contract, bank guarantee, project plan, project design, project layout, request for proposal, terms of reference etc.						
22	System to support Procurement through Tender and also through other means such as Govt. which is on nomination						
23	System to support issuing Service Purchase orders for Contractors, Architects, Consultants etc.						
	<b>Corporate Social Responsibility (CSR)</b>						
24	The system should be able to provide details of all proposals received with the specifications such as type of project as per the broad areas for MMTC CSR activities. The system should also maintain unique Id for each proposal with details such as estimated budget, location, etc.						
25	The system should have workflow based functionality for creation of projects with unique ID with the ability to specify the type of project, details of partner(s), location, budget, etc.						
26	The System should allow the registration and/ or empanelment of new partner(s) and agencies. The details of empanelled agencies which are to be uploaded on the system include proposal, contract, bank guarantee, project plan etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
27	The system should have workflow based functionality for approval of the new project, renewal/extension of the current/old project(s). The request should create a workflow which would move at least one level up for authorization and approval.						
28	The system should be able to provide email and SMS alerts to the concerned users for missing time lines based on the project plan.						
29	The System should have the capability to track the progress of projects, updating of project status, uploading of pictures and documents.						
30	The System should be able to provide near real time status, scheduled and ad hoc reports for the utilization of resources, planned budget, funds allocated, funds disbursed, funds utilized, balance fund available for disbursement etc. for user defined intervals such as monthly, quarterly, yearly , etc.						
31	The system should be able to provide a user near real time status of partner agencies and vendors, history of projects executed by partner agencies and vendors.						
32	The system should be integrated with MMTC's website/intranet portal so that CSR Policy, expenditure details, program schedule, news, articles, videos, Impact Assessment Reports & CSR and Sustainability Reports, etc. can be uploaded by the authorized user.						
33	The system should allow a user to upload the invoice raised by the partner agencies and it should be integrated with the finance module so that such invoices and request related to finance are forwarded to finance department user.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
34	The system should have a central repository for keeping template and signed copies of proposal, contract, bank guarantee, project plan, project design, request for proposal, terms of reference etc.						
	<b>Board Secretariat</b>						
35	The system should have functionality for initiating and approval of meetings by specifying date, time agenda, attendees, location.						
36	The system should be able to send automatic email invitation to all participants once the meeting is finalized and approved by the concerned authority along with the agenda and attachments.						
37	The system should allow invitees to accept or decline the scheduled meeting using email based communication. The acceptance or the rejection of the invitation should be updated with the system available to Board Secretariat.						
38	The system should allow users to reschedule the meeting and inform the participants						
39	The system to track meeting schedule and send reminders /notifications to participants						
40	The system should allow users to create minutes of meeting and circulate it to participants/intended recipients using automatic email intimation after approval from the concerned authority.						
41	The system should allow users to confirm/edit minutes circulated by the system and attach any document in their reply if required.						
42	The system should have the provision to maintain the list of attendees' and attendance registers for meetings.						
43	The system should have the provision for sending alerts and reminders to individuals/departments requesting the meeting related documents and information before and after the meeting.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
44	The system should have a provision to keep track of the action items and updating the status of the action items.						
45	The system should have an ability to maintain repositories of documents related to Board Of Directors (BoD), Functional Management Committee of Directors (FMCoD), Sub-committees of BOD, Attendance Register of FMCoD and BOD, Monthly /Quarterly Corporate Governance/DPE Guidelines Report, Parliament Questions, Parliamentary Standing committees, AGM and Minutes Circulation, Directors Report / Annual Report, Appointment of Directors to the Board of Directors, amendment of Act, Rules and Regulations.						
46	The system to integrate with MMTCs website and intranet portal for circulars and publishing of annual reports						
47	The system should allow a user to search the document and information related to various meetings mentioned above						
48	The System to provide facility to Approve bills for Secretarial Services						
	<b>Corporate planning</b>						
49	The system should have a provision to capture the target forecasted by each division of MMTC.						
50	The system should have a provision to keep templates of MOUs, signed copies of MoU, proposals of MMTC's various business divisions etc.						
51	The system should provide the ongoing status of sales and also status on targets achieved / underachieved by business units.						
52	The system should be able to provide scheduled and ad hoc reports for the utilization of resources, funds allocated, funds disbursed, funds utilized, fund available for disbursement etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
53	The system should be able to capture details of domestic & overseas visits of CITM/Govt. representatives; policy issues, pre-budget proposals etc. in the formats prescribed by MMTC and MMTC user should be able to take a printout and/or forward the approved copies of these to MoC&I through email .						
54	The system should be integrated with MMTC's website and intranet portal for information publication/uploading of the documents images.						
55	The system to provide interface to integrate with online libraries and provide commodity specific business information such as specific books, periodicals, magazines, etc. on subscription basis to select users						
	<b>Corporate Communication</b>						
56	The system should have functionality for creation of notices inviting tenders and publicity related items. The request should result in a workflow which would move at least one level up for authorization and approval.						
57	The system should have the provision to generate tender notices, publicity related items for newspapers and exhibitions as per custom made or template available in the system in word, pdf or any other format desired by MMTC.						
58	The system should interface with e-tendering system to tendering procedure						
59	The system should support issuing of work order						
60	The system should maintain list of all vendor with necessary details and should allow authorized user to create new vendor codes						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
61	The system should integrate with finance , banking channels for receipt of test payments of Rs 1 to vendors						
62	The system should provide status on processing & receipt of bills against a vendor. The system should provide status of liabilities by the end of financial year						
63	The system should have the provision for registration and/ or empanelment of new partner(s) and agencies. The details of empanelled agencies which are to be uploaded on the system include proposal, contract, bank guarantee etc.						
64	The system should have the provision to maintain/update records for various agencies empaneled or interested for empanelment.						
65	The system should have the provision for scheduling MMTC roadshows, exhibitions, and maintaining the records of such events.						
66	The system should have workflow based functionality for initiating and approving roadshows and exhibitions etc. by specifying date, time agenda, attendees, location.						
67	The system should be able to send automatic email invitation to all participants once the roadshows/exhibitions is finalized and approved by the concerned authority along with the agenda and attachments.						
68	The system should allow invitees to accept or decline the scheduled roadshows/exhibitions using email based communication. The acceptance or the rejection of the invitation should be updated with the system available to Corporate Communication.						
69	The system should allow users to reschedule the roadshows/exhibitions and intimate the participants						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
70	The system to track roadshows/exhibitions schedule and send reminders /notifications to participants						
71	The system should allow users to create proceeding as per the MMTC template and circulate it to participants/intended recipients using automatic email intimation after approval from the concerned authority						
72	The system should be able to provide near real time status, scheduled and ad hoc reports for the utilization of resources, funds allocated, funds disbursed, funds utilized, fund available for disbursement etc. for the projects/activities related to MMTC Corporate Communication Division.						
73	The system should be able to provide a user near real time status of partner agencies and vendors, history of projects executed by partner agencies and vendors.						
74	The system should be integrated with MMTC's website/intranet portal so that expenditure details, program schedule, news, articles, videos can be uploaded by the user.						
75	The system should allow a user to upload the invoice raised by the partner agencies and it should be integrated with the finance module so that such invoices and request related to finance are forwarded to finance department user.						
76	The system should have a central repository for keeping template and signed copies of proposal, contract, bank guarantee, project plan, project design, request for proposal, terms of reference etc.						
77	The system should support maintaining preferred panel of Advertisement Agencies and updating thereof.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
78	The system should support placing orders, content development in bilingual language and release advertisements as per the order of the authorities concerned within the budgetary limits.						
79	The system should also allow authorized used to prepare budgetary estimates as per the template used by MMTC and submit is for approval as part of workflow						
80	The system should support the placement of purchase orders for participation in the Exhibitions as decided by the authorities.						
81	The system should support indent/request workflow for authorizing the Regional Managers to participate in State Level Exhibitions.						
82	The system should support tracking of Advertisement expenses as well as event expenses by various criteria including but not limited to						
	- Region						
	-Period						
	-Advertisement Agency						
	-Medium of advertisement like newspaper, magazine etc.						
	<b>Law</b>						
83	The system should allow a user to upload invoice raised by the advocates and other service providers and system is integrated with the finance module so that such invoices and request related to finance are forwarded to finance department user.						
84	The system provide alerts/notify/update the case status as and when any payments are released against any advocate/legal agency , etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
85	The system should be able to provide dashboard view of summary of case having case code, case location, year of filling , next hearing date, claim amount, legal expenditure, advocate assigned, dealing officer, case history along with the case developments in chronological order. The system should also display queries asked by management, action taken and legal recommendations related to the case code						
86	The system should be available to adhoc reports based on single and multiple criteria filtering such as commodity, age wise , value, claims , expenses , year, tribunal/court , dealing officer etc.						
87	The system should allow user to do page settings for printing the case summary						
88	The system should provide email or SMS based alerts for case developments such as hearing date, payment pending , etc.						
89	The System should have the provision of attaching documents to individual cases available in the system.						
90	The system should provide the facility to generate case summary statements with details of payments credited / received						
91	The System should have the provision of updating the case status, addition/change of advocate(s), change of court, change of jurisdiction, addition/removal of parties involved.						
92	The system should have workflow based functionality for empanelment of the advocates, renewal/extension of the current/old advocates. The request should create a workflow which would move at least one level up for authorization and approval.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
93	The system should allow reference to past cases kept in archival mode						
94	The System should have the provision to maintain/update records for various agencies empaneled or have applied for empanelment.						
95	The system should provide updated status of cases and provide email notification for case hearing dates and/or reminder for input to the concerned Division/intended persons.						
96	The system should allow a single case to be registered in multiple courts						
97	The system should allow authorized users from corporate office to track progress of cases managed by regional offices						
98	The system should provide automatic renewal/ abolishment of advocates from empaneled list at the end of each financial year with due notification through email alerts to the dealing officer in legal Deptt.						
99	The system should have the provision to provide scheduled and ad hoc reports of case wise, Advocate wise expenses, details of funds disbursement, etc.						
100	The system should be integrated with MMTC's website/intranet portal so that law bulletins, case updates, news, articles can be uploaded by the user.						
101	The system to have a provision to record the details of legal cases such as:						
	Case Number						
	Case Reference (Court Reference/ Arbitrator Reference)						
	Category						
	Date of Case filing						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	Counsel/ Attorney allocated to the case						
	Case Parties						
	Case status (open/ closed etc.)						
	Case Judgment						
	Any Penalties/ fine/ Benefit paid by/accrued to MMTC						
	Next date of hearing						
	Amount involved						
	Legal expenses						
	Commodity name						
	No. of hearings						
	Security, if any						
	Other user defined parameters						
<b>102</b>	The system to enable recording of evidences produced for a case						
<b>103</b>	The system to enable tracking of pending cases with location or person where case is pending						
<b>104</b>	The system to enable status of the case and location to be changed by authorized personnel						
<b>105</b>	The System to enable tracking of closed cases for a given period of time						
<b>106</b>	The system to enable monthly payment calculation for legal counsels based on the total number of cases handled by them that were closed during the month/ specified time frame.						
<b>107</b>	The system to enable tracking of the payments made to the legal counsel						
<b>108</b>	The system to enable tracking of current location of the case file						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
109	The system to enable recording and tracking of all out of court settlements made/ decreed/ awarded/ decided cases.						
110	The system to evolve comparison of previous year with a given date.						
111	The system to enable searching of cases by the following criteria:						
	Case Serial number provided by Court						
	Case Serial number provided by MMTC Head Office/case code						
	Lower Court Number (in case the court case was moved from lower court to higher court)						
	Date of case						
	Case location						
	Advocate wise						
	Party wise						
	Division wise						
	Year of filling						
	Category or Subject of Case such as – cases filed by MMTC cases filed against MMTC won cases, lost cases						
	Cases for each standing council (standing council-wise)						
	Region-wise						
Cases pending in High court or any other court (court-wise)							
112	The system to enable generation of list of all cases filed by date of filing						
113	The system should provide for searching of closed cases by employee ID, stakes involved, year , etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
114	The system should maintain master for all statutory courts/ bodies such as Supreme Court, high court, tribunals, districts courts, etc. The system should also allow authorized user to update the master as and when required						
	<b>Administration &amp; Establishment</b>						
	<b>Estate Management / Quarter Allocation</b>						
115	The system should allow user to raise request for flat/community center allotment for a short period specifying the date(s) of stay.						
116	The system should create a workflow which would move at least one level up for authorization and recommendation for allocation of flats/dormitory/community center						
117	System should be capable of configuring business rule in the work flow as per the policy for example residential & dormitory accommodations are given to families on long term basis while flats and community centers are given on temporary basis						
118	System should allow user to raise request for residential family flat accommodation against invitation for preparation of panel on half yearly basis during April & October each year for fresh allocation or change of residential flat						
119	System should be capable for prioritizing the requisition as per policy for example change of flat should be considered first before fresh allotment						
120	System should have a provision of intimation to eligible candidates being considered under panel						
121	System should allow users to raise request for dormitory accommodation by transfer cases or new recruits						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
122	System should have a provision for creating a wait list on FIFO basis, in case flat/dormitory/community center are not available at the time of request. The requests for residential flat accommodation should not be considered for the preparation of wait list						
123	The system should be able to provide updated information regarding panel formed and allotment given by the panel against the requisitions made for fresh allotment of residential flats and change of flats						
124	The system should be able to provide updated number of vacant flats/community center/ dormitory available for booking or under maintenance						
125	The system should be able to provide scheduled and adhoc reports of occupancy						
126	The system should be able to generate alerts through emails, SMS in cases of overstaying by the occupants or flats/community center /dormitory remaining vacant for a long period						
127	The system should be able to keep logs for users activities.						
128	The System should support administration of Staff Quarters for following processes						
	Details of staff quarters – Available, occupied, allotted						
	Receiving Requests						
	Maintaining "Priority lists" based on various user defined criteria						
	Allotment of Quarters						
	Approving Rent and other "Charges" as deductions through Payroll/Final Settlement and other mode of payments						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	Facility maintenance						
	Approving Expenses towards maintenance of Quarters						
	Correspondence like Allotment letters, Letter to "vacate"						
	Initiating Tax, Insurance Payments						
	Approval of Payments towards Electricity, Water, PNG & other utility charges						
	Processing of contractors/vendors payment for repair/maintenance						
	EMD or security deposit verification						
	Bill payments & time bound statutory payments						
129	The system should support						
	Leased accommodation to officials, officers and employees for CO & ROs						
	Purchases of Flats for quarters/guest houses						
130	System should support maintaining all relevant information about the properties including but not limited to:						
	Address/Location details						
	Property details as per the municipal records						
	Linkage to scanned documents stored in the Document management system						
131	System to support creation of Lease in and Lease out contracts						
	Managing of contracts with the lessee and Lessor.						
	Flexibility in pricing of contracts based on a revenue sharing model or a fixed price model.						
	Multiple pricing conditions for Rental Charges and Maintenance charges within the same contract.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
132	System to support maintaining Long term contracts with Corporate and regular customer with provision to increase space rent e.g. by 6% - 8% per annum - this is based on customer and location						
133	System should support Automated Billing of Real estate & utility contracts on a periodic basis as per the contracts.						
134	System should support integrated Document Management System where scanned documents like property registration documents, plans, etc. can be stored						
135	Real Estate Reporting for properties across various locations						
136	System should support Facility management activities like:						
	Conducting scheduled and unscheduled maintenance on the properties						
	Handle Annual contracts/ Service agreements with external service providers						
	Assign services to external service providers						
	Monitor modernization and maintenance tasks						
	Handle malfunctions and problems reported via phone						
	Prepare and procure goods and external services						
137	System should support Standard Notice Procedures with Contract						
138	System should be able to interface with e tendering system for tender purpose						
139	System should support Booking of Municipal Taxes and other charges against the Real Estate Asset.						
140	System should support Payment of property Tax & Lease Rent, etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
141	System should support proposals towards renovation/repair of various offices at RO and owned apartments whose expenditure are capital in nature						
142	System should support purchase & store management activities for estate						
	<b>Car Cell</b>						
143	The system should allow interface with e-tendering system for disposal of old vehicles						
144	The system should have a workflow with at least 1 level of approval for receiving quotations for purchase of new vehicles						
145	The system should allow interface with e-tendering system for empanelment of vendor for providing vehicles to MMTC						
146	The system should maintain a master list of all vendors along with the vehicles & drivers categorized as owned & hired						
147	The system should allow user to raise a request for hiring a vehicle and/or vehicle driver. The request should create a workflow which would move at least one level up for authorization and approval as per company policy						
148	The system should generate a duty allocation slip having details of vehicle number, name of driver, mobile number of driver , date & time , etc. details on approval of vehicle request (only in case of hired vehicles)						
149	The system should allow users to maintain a record of log book details of vehicles on duty. The system should also maintain record of trips against approval slips and parking slips submitted.						
150	The system should also allow spot hiring of vehicles from empanelled vendors						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
151	The system should be able to keep record of vehicles owned or hired by MMTC by keeping details like Vehicle No., Registration details including validity date, , Road Tax, Insurance Details, allotted to including history of all such details.						
152	The system should maintain a list of vehicles as per their nature of involvement such as for pick & drop, CMD & directors , etc.						
153	The system should be able to generate a staff roster for drivers to be deputed on scheduled and unscheduled driving duties for vehicle.						
	<b>Car Maintenance</b>						
154	The system should allow a user to raise request for maintenance of vehicles by selecting appropriate reason for maintenance with required approvals as per company policy (only for owned vehicles)						
155	The system should maintain a list of empanelled service station and accessory shops along with the details of service availed by MMTC such as service type, vehicle number, date & time , bill amount , etc.						
156	The system should maintain list of empanelled fuel station and registers for service availed from them for example date, vehicle number , fuel allocated, etc.						
157	The system should allow attaching scanned documents such as fuel slips, allocation slips ,parking slips etc.						
158	The system should allow reconciled statements for services for fuel stations, service stations, vehicle vendors, etc. on monthly basis for verification purposes. The reconciled statement should also have details of parking payments done by drivers						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
159	The system should have a workflow for approvals of uniform disbursement & leaves management for MMTC drivers						
160	The system should maintain a record of bills raised by vendor(s)						
	<b>Security Personal /Agency Management</b>						
161	The system should allow users to prepare list of quotations for evaluation received from Director General resettlements for hiring of security agency						
162	The system should maintain a list of security personals deployed with their locations , shifts, etc. categorized as supervisor, gunmen, basic guards, etc.						
163	The system should record details of attendance , maintained by contractor for verification on monthly basis						
164	The system should maintain a record of bills raised by vendor(s)						
	<b>Store Management</b>						
165	The system should allow user to maintain list of items available in stores as per MMTC categorization						
166	The system should predict number of tentative items to be procured based on usage of previous months and current capacity						
167	The system provide alert, status of items if their availability is down from a significant level as decided by MMTC						
168	The system should interface with e tendering system for procurement of specific items						
169	The system should maintain list /register items procured from Kendriya bhandar or corporate store along with the advance payment made to them						
170	The system should have a workflow to allow store keeper to raise request for any items to upper management with required details such as item code, description, quantity, make, etc.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
171	The system should have a workflow based functionality with at least 1 level of approval to allow regular employees to raise request to administration department for any items. The system should maintain a list of items available for requisition based on cadre/designation and approving authority for each cadre						
172	The system should maintain record of material given to employees as per approval						
173	The system should maintain list of crockery items currently available & availed by employees as per their allocated quota						
	<b>General Register(s) Reception &amp; Courier</b>						
174	The system should maintain details of employees deputed at reception duties with their basic & shift details						
175	The system should allow reception staff to capture details of visitor, purpose, concerned person, date & time, etc. The system should also generate a visitor pass having all the above mentioned details.						
176	The system should record details of inward & outward details of courier received & sent along with the details of sender, receiver, courier company, date & time, etc.						
	<b>Uniform Management</b>						
177	The system should maintain a record of uniform allocation to grade I, II, III, drivers, electrician and photo copier as per company policy						
178	The system should maintain the list of empaneled provider for uniforms along with the details of codes of materials, discount % as per allocation						
179	The system should prepare a summary of items to be distributed as per company policy for each season i.e. winter and summer						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
180	The system should allow authorized users to generate purchase order having details of size, colors, numbers ,etc.						
181	The system should be able maintain a record of other items such as briefcase, shoes, slippers , blanket, torch , sox, time keep, umbrella , raincoat, overcoats , etc. availed by employees as per company policy						
	<b>Communication Management (Telephone, Mobile, Broad band)</b>						
182	The system should have a workflow with at least 1 level of approval for purchasing mobile & telephone handset as per cadre wise allocation						
183	The system should allow employees to claim mobile reimbursement as per cadre wise allocation using a workflow. The system should maintain the monthly reimbursement amount & details as a record						
184	The workflow for reimbursement amount should have an option for approval from competent authorities as per cadre for reimbursement above limit						
185	The system should allow authorized users to send approved bills for processing to accounts						
186	The system should maintain list of mobile handset procured for employees as per company policy						
187	The system should allow authorized users to send approvals to accounts for cheque printing in case of direct bills of higher management employees as per company policy						
188	AMC management for franking machine, courier services, FAX, printers, printing of stationary , photocopy , biometric machine (time office) & telephone maintenance services						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
189	The system should allow interface with e-tendering system for floating of tender. In case of physical tender, the system should record details of tender such as purposes, date, value, etc.						
190	The system should record the details of committee members for every tender						
191	The system should be able to prepare comparative statement of bid received						
192	The system should allow user to generate & print work orders as per the company template						
193	The system should keep a record of photocopy machines rented and generate monthly transaction statement for payments and reconciliation						
	<b>Care taking cell (AMC for housekeeping)</b>						
194	The system should allow authorized users to interface with e-tendering system for floating the tender for selection of vendor						
195	The system should generate comparison summary of bids received						
196	The system should keep record of committee members for each tender floated						
197	The system should have a workflow for approval from competent authority for tender purposes						
198	The system should be able to generate work order and contracts as per MMTC template						
199	The system should be able to receive requests for purchase with necessary approvals						
200	The system should be to maintain master list for vendors for courier service FAX, telephone, etc. .						
201	The system should be able to receive invoice raised by vendors and prepare a monthly reconciliation statement for verification						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
202	The system should provide email based alerts in case of contract expiry of any vendor						
203	The system should be able to receive requisition for conference room booking with necessary approvals. In case of approvals, the same must be intimated to requester over email						
204	The system must maintain registers/records for assets for item purchased categorized as per company policy for example items purchase above 5000 Rs.						
205	The system should be maintain record /register for payments made by the department						
	<b>Material Management (General &amp; Master Data)</b>						
206	The system to capture vendor name, address and statutory requirements						
207	The system to identify vendors by a unique coding system						
208	The system to filter all vendors on product code / Region, etc.						
209	The system to view vendor comparison reports (rates within peer groups, vendor history, past performance)						
210	The system to define vendor codes as per MMTC standard formats						
211	The system to assign materials to the buyer for procurement of material only through the specified buyer.						
212	The system to define items for centralized and decentralized purchasing						
213	The system to assign a unique material code to a material master record at the time of entry of the record in the material master ('Regular Items' to have common codes and there should be guidelines for creation of codes for 'Non-regular' items)						
214	The system to assign buyer (purchase officer - authorized ) with purchase orders for processing of order.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
215	The system to allow authorized users to create, modify, block/un-block transactions on master records (Vendor, Item)						
216	The system to create standardized formats/form for						
	-vendor selection						
	-evaluation of existing vendors						
217	-contract renewal						
	The system to maintain repository for						
	Past records /history of vendor performance for rate contracts, quality, quantity received and delivery						
218	Alternate / backup vendors or debarred / blacklisted vendors						
	The system to create, change, and review supplier. such as site information, supplier contacts, and supplier-specific delivery information online						
219	The system to review the purchase history for a specific item such as quantities ordered, and pricing information.						
220	The system should have a provision for new supplier creation with following information's:						
	Supplier Name						
	Supplier Address						
	Supplier Type						
	Requestor Name						
221	Reason for Request						
	The System should require approvals for creation of vendor code and ensure completion of mandatory fields when creating vendor code in system (such as TAN, etc.)						
222	The system should disallow payments to un-registered vendors (not listed in Vendor Master) above a user -defined limit						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
223	The system should disallow adding vendor whose details are already available in the vendor master						
224	The system should send confirmation emails to the designated users once the vendor record is created						
225	The system should disallow allow user to change the system generated fields like Vendor Code in a vendor record based on approval						
226	The system should approve any modifications of record of a blocked vendor by a separate designated authority						
227	The system should allow blocking/unblocking of Vendor based on approval						
228	The system should provide view access of blocked vendors to all designated users						
229	The system should send a confirmation email to the designated users after blocking/unblocking the vendor record						
230	The system should allow authorized user to enter the required Material Master Information for the new material based on approval						
231	The system should disallow user to add a material if it is already existent in the material master						
232	The system should disallow user to change the system generated fields like Material Code in a Material record						
233	The system should prepare new Item Introduction Form as per standard format and obtain requisite approvals .The form will have						
	Item name						
	item description / specifications						
	Reasons mentioning the need for the item						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	Approximate rate						
	Approximate consumption						
	In case of replacement item, then name of the item being replaced						

support Tools Requirements	Responses Table	
This section of Functional Requirements takes care of the Supporting tools requirements	Sup	Supported
	Cus	Customization
	3rd	Third Party
	Ns	Not Supported

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
1	The System should support the following reporting paradigms:						
	<ul style="list-style-type: none"> <li>Key Performance Indicators (KPI) based management dashboards.</li> </ul>						
	<ul style="list-style-type: none"> <li>Support organizing KPIs by functional areas using the concept of portal pages</li> </ul>						
	<ul style="list-style-type: none"> <li>Provide drill down to details from each KPI.</li> </ul>						
2	The System should support the following features across reports/queries/dashboards						
	<ul style="list-style-type: none"> <li>Full range of charting capabilities including bar charts, line charts, pie charts, Gantt charts, etc. in reports.</li> </ul>						
	<ul style="list-style-type: none"> <li>Conditional formatting</li> </ul>						
	<ul style="list-style-type: none"> <li>Report interactivity: filter, sort, hide columns</li> </ul>						
	<ul style="list-style-type: none"> <li>Formulas and functions</li> </ul>						
	<ul style="list-style-type: none"> <li>Multiple table/forms layout</li> </ul>						
	<ul style="list-style-type: none"> <li>Cross-tab support</li> </ul>						
	<ul style="list-style-type: none"> <li>Watermark support</li> </ul>						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<ul style="list-style-type: none"> <li>Rich text formatting</li> </ul>						
3	The system should be able to provide output in MS Word, RTF, Excel, Lotus, HTML, XML and PDF						
4	The system should support security features like read only/editable setting, text copy protection, no printing feature, and password protection etc.						
5	The system should support content delivery via fax, e Mail, WebDAV or remote printers.						
6	The system should able to send the same report to multiple destinations.						
7	The system should support the publishing of its reports						
8	The system should support batch processing of a large number of reports.						
	<b>Ad-hoc Query and Analysis Reporting:</b>						
9	The system should be able to A of self-service report building capability for management that does not require knowledge of SQL or database structure.						
10	The system should provide the ability to drill down, drill up, and/or drill around (create cross tabs) to supporting documents and related transactions from any field within the system.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
11	The system should present data in a graphical manner, including bar charts, line charts, pie charts, Gantt charts, etc. in reports.						
12	The system should support selective formatting of report content based on user selectable parameters. And saving the specific version as "user preference"						
13	The system should allow users to be able to create custom "column totals/sub-totals" based on formulae						
14	The system should allow users to be able to create custom based reports						
15	The administration capability of the system should allow user to analyse frequently run queries and suggest the creation of summaries to improve their performance.						
16	The system should be completely browser based.						
17	The system should be able to generate customized reports that can be viewed on-screen before printing.						
18	The system should provide HTML preview that allows report authors to see how reports will look when published to the web.						



S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
19	The system should provide the ability to perform auto saving of a report (during development) after a user-defined period of time has passed.						
20	The system should allow for automatic/template report styles and the optional auto arrangement of report fields that have been selected to appear on the report.						
21	The system should provide the ability to setup (multiple) user defined subtotals and totals within a report.						
22	The system should allow for the customization of report headers and column titles, and the creation of other user defined text fields.						
23	The system should provide automated alerts and checks that quickly find broken links, formula errors, and dependency issues.						
24	The system should provide the ability to report or inquire on any data field within any module. Selection for a report should allow mixing and matching of data from multiple modules						
25	The system should allow users to set up folders to organize the various types of previously created reports (such as by department or function of the report)						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
26	The system should allow sorting, and grouping of data on customized reports in user-specified orders						
27	The system should allow for system generated reports be copied over to user libraries where they can be modified without altering the original report.						
28	The system should allow the creation of reports based on any data tables or data element, including all subsystems and audit logs.						
29	The system should allow users to run reports on prior period and prior year information for any subsystem.						
30	The system should allow the flexibility to create conditional rules on a report. For example, if a user runs a financial statement before the month is closed; the report will indicate "draft". If the report is run after the month has been closed, the report will not indicate "draft".						
31	The system's report writer should come with a library of standard reports that have been specifically developed for the report writer application. These pre-developed reports should be available as a starting point to allow the client to modify and refine them to their own needs. Examples of reports may include account listings, purchase order status reports,						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	accounts payable detailed transaction listings, etc.						
<b>32</b>	The system should provide for the incorporation of general information into reports, such as the current date, time, requestor, etc.						
<b>33</b>	The system should allow reports to be sent to an individual or multiple individuals as a distribution list, via email.						
<b>34</b>	The system should provide the capability to generate letters and notices to user-defined groups.						
<b>35</b>	The system should provide the capability to produce mailing labels.						
<b>36</b>	The system should allow users should be able to create and save their own reports.						
<b>37</b>	The system should allow users to add or remove reports and templates to/from menus with proper security.						

Output Reports Requirements	Responses Table	
This section of Functional Requirements takes care of the Output Reports requirements	Sup	Supported
	Cus	Customization
	3rd	Third Party
	Ns	Not Supported

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
	<b>The proposed system should</b>						
1	have a provision for output reports to be generated at any time within the defined period						
2	have provision to generate the following reports:						
3	- in batch						
4	- on-line						
5	- in 'background' mode so that users can continue inquiries and updates.						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
6	- in all the modules, the database system contain both transaction and period balance data, or some other arrangement, so that the report writer and inquiries can accumulate balances quickly rather than add up all the relevant transactions						
7	have provision for reports to be "printed" screen dumps be generated and printed						
8	The reports to provide the following facilities:						
9	- selection of column fields						
10	- sort routines						
11	- extraction by criteria						
12	- sub-totalling as required						
13	- options for month, year to date, last year for the same period						
14	- listing data in unit of measure and value in the same report						
15	- user defined periods						
16	- average across a period						
17	- suppression of zero prints						
18	- ability to round reports to the nearest thousand						
19	- automatic formatting						

S No	Requirements	Sup	Cus	3rd	Ns	Component	Comment
20	- on-line preview / view						
21	- variable width						
22	- arithmetic calculation facilities						
23	- variable print format (Eg. A3/A4)						
24	- calculation						
25	- exception reporting						
26	have provision for customizing:						
27	- Standard reports						
28	- Inquiry screens so that details from two or more screens can be consolidated onto one						
29	have provision for reports to include archived data						
30	give an option to print either a single Purchase Order or the entire set of POs generated when generating a purchase order						



## **Annexure III**

---

### **BROAD DISCRIPTION OF EXISTING PROCESSES**



**Table of Contents**

Annexure III .....	1	1.5.3 Checklist at Regional Office procurement / purchase .....	141
Key Abbreviations .....	4	1.6 Steel .....	145
1 Business segment .....	7	1.6.1 Process for import of steel.....	145
1.1 Non Ferrous Metals .....	7	1.6.2 Process for sale of Steel Billets (NINL) .....	150
1.1.1 Non-Ferrous Metals .....	7	1.6.3 Sale of NINL products (Domestic Sale and Export) .....	154
1.2 Precious Metals .....	13	1.7 Agro products .....	164
1.2.1 Precious Metal- Gold & Silver in house production of Medallion. 13		1.7.1 Process for domestic sale of sugar (loading from go down to railway station) .....	164
1.2.2 Precious Metal –Silver Medallion (Outsourcing).....	18	1.7.2 Process for export of rice .....	169
1.2.3 Precious Metal- Silverware (Outsourcing) .....	25	1.7.3 Trading of agro products on NSEL (National Spot Exchange Limited) .....	173
1.3 Fertilizers .....	31	1.7.4 Import and sale of edible oil .....	178
1.3.1 Sale of Sulphur .....	31	1.7.5 Export of wheat .....	182
1.3.2 Export process to Nepal .....	36	1.7.6 Domestic trading in cotton.....	187
1.3.3 Sale of Ammonium Sulphate .....	41	1.7.7 Handling of containerized consignment of pulses.....	191
1.3.4 Sale of Urea .....	46	1.8 General Trading .....	196
1.3.5 Sale of Di Ammonium Phosphate (DAP) .....	51	1.8.1 Process for Import/Export and Domestic trade in General Trade Division.....	196
1.3.6 Sale of MOP.....	57	1.9 Shipping .....	206
1.4 Minerals .....	61	1.9.1 Process for selection of vessel.....	206
1.4.1 Iron Ore Export .....	61	Corporate function.....	213
1.4.2 Export of Chrome Ore, Chrome Concentrate and Manganese Ore on FOB Basis .....	99	1.10 Law .....	213
1.5 Coal and hydrocarbons.....	128	1.10.1 Description .....	213
1.5.1 Process of Procurement/Purchase.....	128	1.10.2 Process Summary .....	213
1.5.2 Tendering Procedure .....	134	1.11 Corporate Communication .....	218

1.11.1	Description .....	218	1.19.1	Description .....	261
1.11.2	Process Summary .....	218	1.19.2	Process Summary .....	261
1.12	Finance – Administration and establishment division.....	221	1.20	Corporate Planning .....	262
1.12.1	Description .....	221	1.20.1	Description .....	262
1.12.2	Process Summary .....	222	1.20.2	Process Summary .....	263
1.13	Finance – Central accounts.....	226	1.21	Corporate Social Responsibility (CSR) .....	265
1.13.1	Description .....	226	1.21.1	Description .....	265
1.13.2	Process Summary .....	226	1.21.2	Process Summary .....	265
1.14	Finance – Corporate Income Tax.....	233	1.22	Internal Audit .....	273
1.14.1	Description .....	233	1.22.1	Description .....	273
1.14.2	Filing of appeals Process Summary .....	233	1.22.2	Process Summary .....	273
1.15	Finance – Contributory Provident Fund (CPF) Accounts .....	236	1.23	Projects Division.....	283
1.15.1	Description .....	236	1.23.1	Description .....	283
1.15.2	Process Summary .....	236	1.23.2	Process Summary .....	283
1.16	Finance – Medical Accounts.....	241	1.24	Personnel and Training .....	285
1.16.1	Description .....	241	1.24.1	Description .....	285
1.16.2	Process Summary .....	241	1.24.2	Process Summary .....	285
1.17	Finance – Banking .....	249			
1.17.1	Description .....	249			
1.17.2	Process Summary .....	249			
1.18	Administration & Establishment.....	253			
1.18.1	Description .....	253			
1.18.2	Process Summary .....	253			
1.19	Board Secretariat.....	261			

**Key Abbreviations**

S. No.	Abbreviation	Description
1	BG	Bank Guarantee
2	BL	Bill of lading
3	BOD	Board of Directors
4	CIF	Cost, Insurance and Freight
5	CO	Corporate Office
6	C&F	Cost and Freight
7	CHA	Custom House Agents
8	CMD	Chief Managing Director
9	Corp IT	Corporate income tax
10	CIT(A)	Commissioner of Income-tax (Appeals)
11	CWC	Central Warehousing Corporation
12	D&B	Dun & Bradstreet
13	DWT	Deadweight Tonnes
14	DD	Demand Draft
15	EC	Executive Committee
16	EDLI	Employee Deposit linked insurance
17	EMD	Earnest Money Deposit
18	EPFO	Employees' Provident Fund Organization

S. No.	Abbreviation	Description
19	ERP	Enterprise resource planning
20	ETA	Estimated Time of Arrival (of vessel)
21	FOBT	Free On Board Trimmed
22	FOR	Free on Rail
23	FOB	Free On Board
24	F&A	Finance and Accounting
25	FCI	Food Corporation of India
26	FSI	Foreign Service Accounts
27	FDR	Fixed Deposit Rates
28	FY	Fiscal Year
29	FMCOD	Functional management Committee of Directors
30	GR	Guaranteed Remittance
31	IT	Information technology
32	IT Department	Income Tax Department
33	LC	Letter of Credit
34	LTA	Long term agreement

S. No.	Abbreviation	Description
35	LIC	Life Insurance Corporation of India
36	LOI	letter of intent
37	MMTC	Metals and Minerals Trading Corporation of India
38	MCX	Multi Commodity Exchange
39	MT	Metric ton
40	NCDEX	National Commodity and Derivatives Exchange
41	NOR	Notice of Readiness
42	NFM	Non-ferrous metal
43	NIT	Notice inviting tender
44	NINL	Neelachal Ispat Nigam Limited.

S. No.	Abbreviation	Description
45	NMDC	National Mineral Development Corporation
46	NSEL	National Spot Exchange Limited
47	POSCO	Pohang Iron and Steel Company
48	PM	Precious Metal
49	RO	Regional Office
50	SAIL	Steel Authority of India
51	SOF	Statement of facts
52	SRO	Sub Regional Office
53	SPCOD	Sale Purchase Committee of Directors
54	SWC	State Warehousing Corporation
55	VAT	Value Added Tax

# **Broad Description Of Current Processes**

## 1 Business segment

### 1.1 Non Ferrous Metals

#### 1.1.1 Non-Ferrous Metals

##### 1.1.1.1 Description

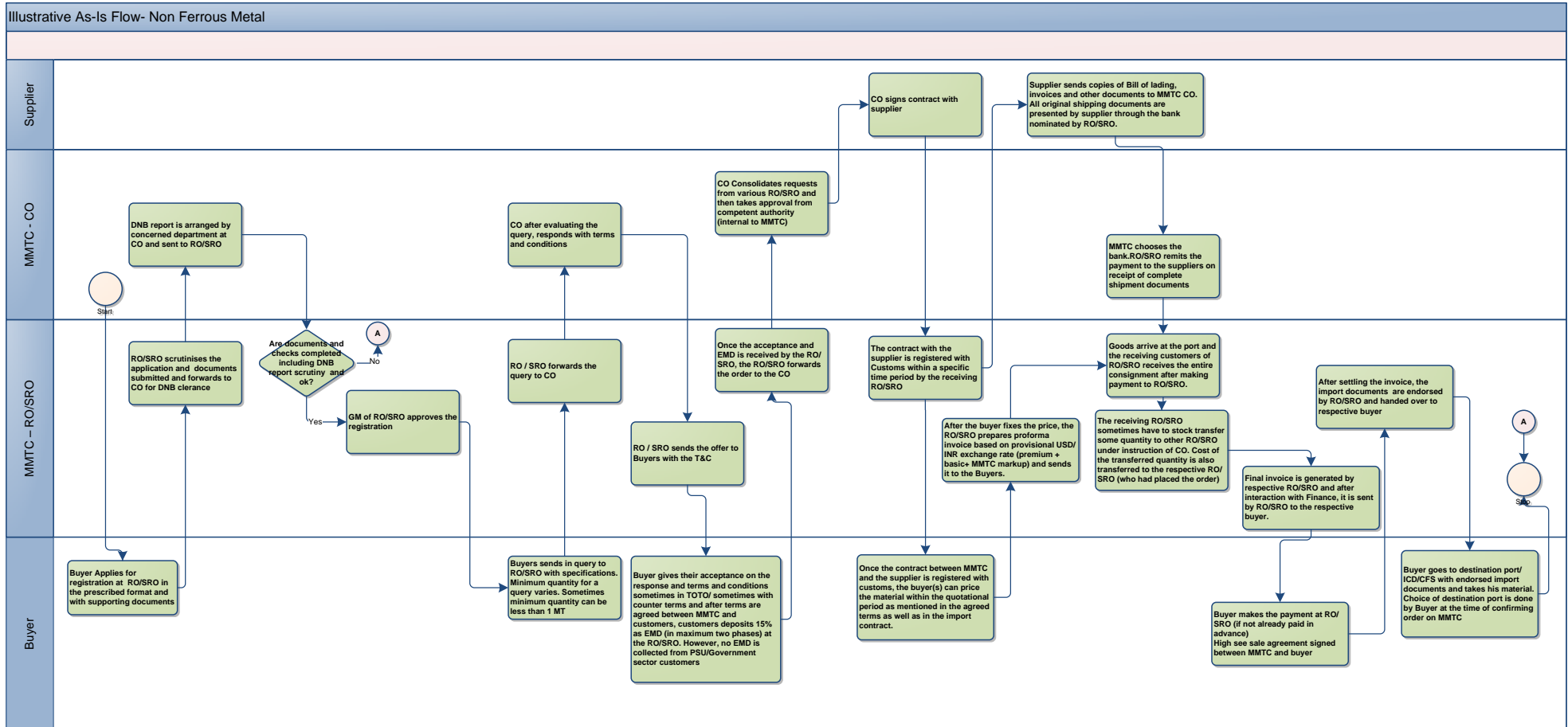
The purpose of this process is to register a new buyer, import non-ferrous metals and its sales while adhering to all the necessary statutory and other mandatory compliances.

##### 1.1.1.2 Process Summary

<b>Name of process</b>		<b>Import and sale of non-ferrous metals</b>	
<b>Process Goal</b>			
To register new buyers, receive and respond to queries, import of non-ferrous metal and its trade with registered buyers.			
<b>Process Owner</b>			
Regional/Sub-Regional Office			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Non Ferrous Metal division –CO <input checked="" type="checkbox"/> Non Ferrous Metal division –RO / SRO <input checked="" type="checkbox"/> Associated finance <input checked="" type="checkbox"/> Buyers <input checked="" type="checkbox"/> Supplier		<input checked="" type="checkbox"/> Customs / Port Authorities	
<b>Process Input</b>		<b>Process Output</b>	

<input checked="" type="checkbox"/> New buyer registration forms and supporting documents	<input checked="" type="checkbox"/> New buyer registration number
<input checked="" type="checkbox"/> Query from prospective buyers	<input checked="" type="checkbox"/> Offer from CO to prospective buyer (via RO)
<input checked="" type="checkbox"/> Acceptance of offer by buyer	<input checked="" type="checkbox"/> Contract between MMTC and buyer
	<input checked="" type="checkbox"/> Contract between MMTC and supplier
	<input checked="" type="checkbox"/> Import documents like bill of lading, invoices etc.
<b>Transactional Volume/ frequency</b>	
<input checked="" type="checkbox"/> Approximately for the year 2012 for all NFM combined was 9000 MT	
<b>Formats</b>	
<input checked="" type="checkbox"/> Standard templates for Bill of lading, certificate etc.	
<input checked="" type="checkbox"/> MMTC standard reporting templates	

1.1.1.3 Process Map





**1.1.1.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	<b>New buyer registration</b>	
<b>1.01</b>	A new buyer applies for registration with MMTC along with the required supporting documents at RO/SRO	Buyer
<b>1.02</b>	RO/SRO scrutinizes the application and sends it to the CO for DNB clearance	Regional/Sub-Regional office – NFM division
<b>1.03</b>	DNB report is arranged by concerned department at CO and is examined at the RO/SRO.	Regional/Sub-Regional office – NFM division
<b>1.04</b>	In case the DNB report is ok, the Regional/Sub-Regional office, GM/In-Charge approves the registration	Regional/Sub-Regional office – NFM division
<b>2.</b>	<b>Query from buyer</b>	
<b>2.01</b>	Buyer sends a query to RO/SRO with specifications. Minimum quantity for a query varies. Sometimes, minimum quantity can be less than 1 MT	Buyer
<b>2.02</b>	RO/SRO forwards the query to CO	Regional/Sub-Regional & Corporate office – NFM division
<b>2.03</b>	CO after evaluating the query responds to the RO / SRO with the terms and conditions	Corporate office – NFM division

Sr.No.	Process Detail	Responsibility Centre
2.04	RO/SRO responds to the buyer along with the terms and conditions received from the CO	Regional/Sub-Regional office – NFM division
3.	Import and sale of NFM	
3.01	Buyer gives their acceptance on the response and terms and conditions sometimes in TOTO/ sometimes with counter terms and after terms are agreed between MMTC and customers, customers deposits 15% as EMD (in maximum two phases) at the RO/SRO. However, no EMD is collected from PSU/Government sector customers.	Buyer
3.02	Once the acceptance and EMD is received by the RO/SRO, the RO/SRO forwards the order to the CO	Regional/Sub-Regional office – NFM division
3.03	The CO consolidates various orders received from different RO/ SRO and takes an internal approval for import from competent authority	Corporate office – NFM division
3.04	Once the approval is received, CO sign a contract with supplier for supply of the goods	Corporate office – NFM division
3.05	The contract with the supplier is registered with customs within a specific time period by the receiving RO/SRO	Regional/Sub-Regional office – NFM division
3.06	Once the contract between MMTC and the supplier is registered with customs, the buyer(s) can price the material within the quotational period as mentioned in the agreed terms as well as in the import contract.	Buyer

Sr.No.	Process Detail	Responsibility Centre
3.07	After the buyer fixes the price, the RO/SRO prepares proforma invoice based on provisional USD/INR exchange rate (premium + basic+ MMTC markup) and sends it to the Buyers.	Regional/Sub-Regional office – NFM division
3.08	Supplier sends copies of Bill of lading, invoices and other documents to MMTC CO. All original shipping documents are presented by supplier through the bank nominated by RO/SRO.	RO/SRO – NFM division
3.09	MMTC chooses the bank.RO/SRO remits the payment to the suppliers on receipt of complete shipment documents	RO/SRO– NFM division & Associated Finance
3.10	Goods arrive at the port and the receiving customers of RO/SRO receive the entire consignment after making payment to RO/SRO.	Regional/Sub-Regional office – NFM division
3.11	The receiving RO/SRO sometimes have to stock transfer some quantity to other RO/SRO under instruction of CO. Cost of the transferred quantity is also transferred to the respective RO/SRO (who had placed the order)	Regional/Sub-Regional office – NFM division & Associated finance
3.12	Final invoice is generated by respective RO/SRO and after interaction with Finance, it is sent by RO/SRO to the respective buyer.	Regional/Sub-Regional office – NFM division & Associated finance
3.13	Buyer makes the payment at RO/SRO (if not already paid in advance) High see sale agreement signed between MMTC and buyer	Regional/Sub-Regional office – NFM division  Buyer
3.14	After settling the invoice, the import documents are endorsed by RO/SRO and handed over to respective buyer	Regional/Sub-Regional office – NFM division

Sr.No.	Process Detail	Responsibility Centre
3.15	Buyer goes to destination port/ICD/CFS with endorsed import documents and takes his material. Choice of destination port is done by Buyer at the time of confirming order on MMTC	Buyer

## 1.2 Precious Metals

### 1.2.1 Precious Metal- Gold & Silver in house production of Medallion

#### 1.2.1.1 Description

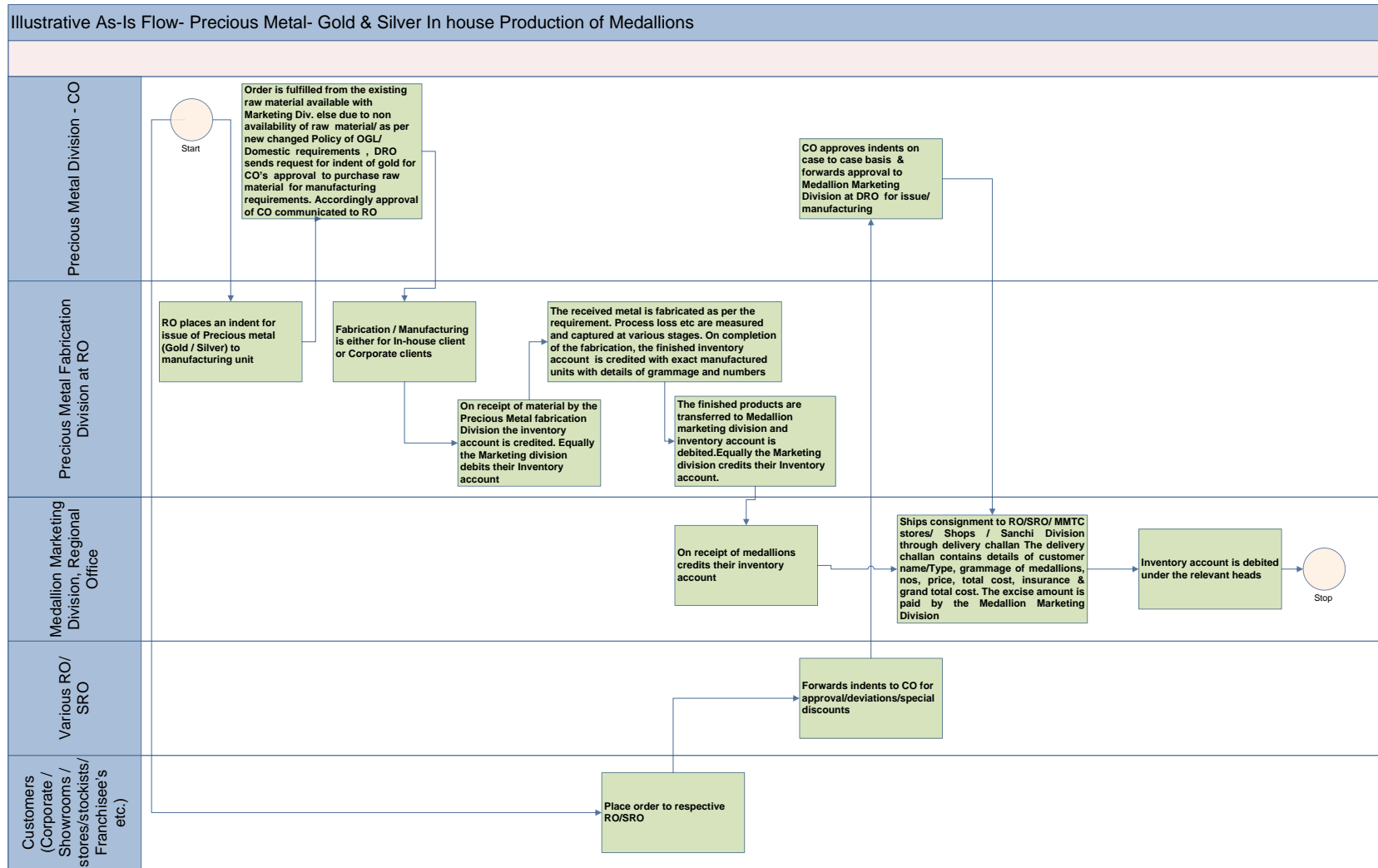
The purpose of this process is to receive orders from customers, issuance of precious metal for fabrication, fabrication of metal, receipt of final fabricated products from In house unit/outside fabricator, issuance of fabricated medallions to the Medallion Marketing Unit for further supply to customer/stockist/showroom/RO(s) while adhering to all the necessary statutory and other mandatory compliances.

#### 1.2.1.2 Process Summary

<b>Name of process</b>	<b>Precious metal – Gold &amp; Silver in house production of Medallion</b>
<b>Process Goal</b>	To receive orders from customers, issuance of precious metal for fabrication, fabrication of metal, receipt of final fabricated products from In house unit/outside fabricator and the issuance of the fabricated medallions to Medallion Marketing Unit for further supply to customer/stockist/showroom/RO(s).
<b>Process Owner</b>	<b>A. Precious Metal Division- Corporate Office , B. Precious Metal Marketing &amp; fabrication Division- Regional Office, C. Medallion Marketing</b>

Division of Regional Office	
Primary Actors	Secondary Actors
<input checked="" type="checkbox"/> Precious Metal Division- Corporate Office (For special approvals/deviations/special Discounts if any) <input checked="" type="checkbox"/> Precious Metal Marketing & fabrication Division- Regional Office <input checked="" type="checkbox"/> <b>Medallion Marketing Division, Regional Office</b> <input checked="" type="checkbox"/> Various ROs/SROs <input checked="" type="checkbox"/> Associate finance	<input checked="" type="checkbox"/> Customers (corporate, Franchisees, stores/stockist/showrooms etc.) <input checked="" type="checkbox"/> Excise Department
Process Input ( Regional Office)	Process Output
<input checked="" type="checkbox"/> Orders from customers <input checked="" type="checkbox"/> Indent for <b>issue of</b> precious metal for fabrication <input checked="" type="checkbox"/> Inventory account (Fabrication unit)	<input checked="" type="checkbox"/> Approved indents <input checked="" type="checkbox"/> Updated inventory account (Marketing unit)
Transactional Volume/ frequency	
<input checked="" type="checkbox"/> As per demand	
Formats	
<input checked="" type="checkbox"/> MMTC standard reporting templates – like Daily issue / receipt register <input checked="" type="checkbox"/> Process Loss register <input checked="" type="checkbox"/> Pipeline of work register <input checked="" type="checkbox"/> Final inventory position of the day	

### 1.2.1.3 Process Map



**1.2.1.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Receipt of order from Corporate customers/Showrooms/ROs/Franchisees	
<b>1.01</b>	A customer (corporate or in-house) places an order at the respective RO/SRO	Customer
<b>1.02</b>	RO forwards the indents to CO for approval/deviations/special discounts	Corporate office – PM division
<b>1.03</b>	CO approves indents on case to case basis & forwards approval to Medallion Marketing Division at DRO for issue/manufacturing	Corporate office – PM division
<b>1.04</b>	In case of existing inventory, the order is fulfilled else Marketing division places an order with the Precious Metal Fabrication Division	Medallion Marketing Division
<b>2.</b>	Customer order and its fulfillment by Precious Metal Fabrication Division ( Regional Office)	
<b>2.01</b>	Precious Metal Fabrication Division at RO places an indent for issue of Precious metal (Gold / Silver) to manufacturing unit	Precious Metal Fabrication Division
<b>2.02</b>	Order is fulfilled from the existing raw material available with Marketing Div. else due to non availability of raw material/ as per new changed Policy of OGL/Domestic requirements , DRO sends request for indent of gold for CO's approval to purchase raw material for manufacturing requirements. Accordingly approval of CO communicated to RO	Corporate office – PM division

Sr.No.	Process Detail	Responsibility Centre	
2.03	On receipt of material by the Precious Metal fabrication Division the inventory account is credited. Equally the Marketing division debits their Inventory account	Precious Metal Fabrication Division	
2.04	The received metal is fabricated as per the requirement. Process loss etc. are measured and captured at various stages. On completion of the fabrication, the finished inventory account is credited with exact manufactured units with details of grammage and numbers	Precious Metal Fabrication Division	
2.05	The finished products are transferred to Medallion Marketing Division and the inventory account is debited. Equally the Marketing division credits their Inventory account.	Precious Metal Fabrication Division	
2.06	On receipt of medallions, the Medallion Marketing Division credits their inventory account	Medallion Division	Marketing
2.07	<p>The Medallion Marketing Division ships the consignment to respective RO/SRO/ MMTC stores/ Shops / Sanchi Division through delivery challan and debits its inventory account.( details of customer name/Type, grammage of medallions, nos, price, total cost, insurance &amp; grand total cost.)</p> <p>The excise amount is paid by the Medallion Marketing Division</p>	Medallion Division	Marketing



## 1.2.2 Precious Metal –Silver Medallion (Outsourcing)

### 1.2.2.1 Description

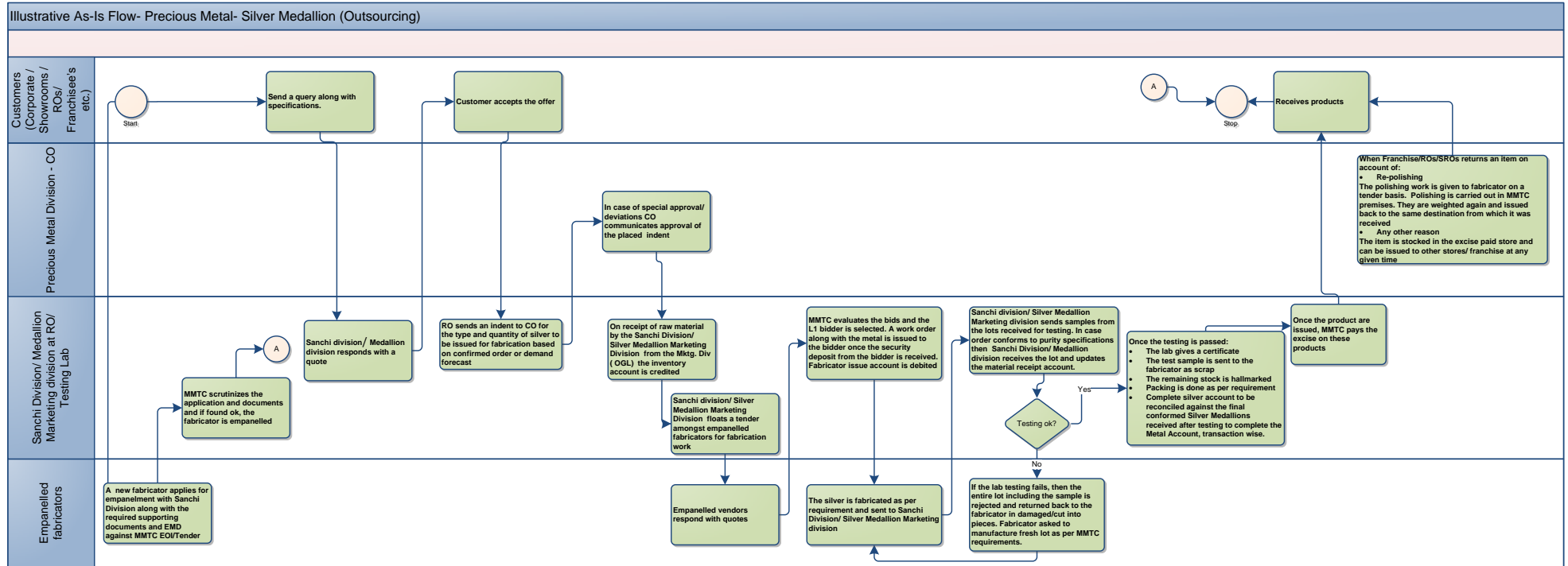
The purpose of this process is to receive orders from customers, issuance of precious metal for fabrication, fabrication of metal by empanelled fabricators, testing of the silver medallion and the issuance of the final silver medallions while adhering to all the necessary statutory and other mandatory compliances

### 1.2.2.2 Process Summary

<b>Name of process</b>		<b>Precious metal – Silver Medallion (outsourcing)</b>	
<b>Process Goal</b>			
To empanel fabricators, receive orders from customers, tendering of scope of work amongst empanelled fabricators, issuance of precious metal for fabrication, fabrication of metal by empanelled fabricators, testing of the silver medallions at MMTC'S A&H unit, receipt of only the purity conformed Silver Medallions and the issuance of the final Silver Medallions to the ordered ROs/SROs/customers			
<b>Process Owner</b>			
Precious Metal Division- Corporate Office, Sanchi Division of ROs, Medallion unit of ROs			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Precious Metal Division- Corporate Office (For special approvals/deviations/special discounts if any) <input checked="" type="checkbox"/> Sanchi Division, ROs <input checked="" type="checkbox"/> Medallion Unit, ROs <input checked="" type="checkbox"/> Regional Head <input checked="" type="checkbox"/> Associate finance, ROs		<input checked="" type="checkbox"/> Customers (corporate, Franchise, stores etc) <input checked="" type="checkbox"/> Excise Department	
<b>Process Input (Regional Office level)</b>		<b>Process Output (Regional Office level)</b>	

<input checked="" type="checkbox"/> Application for empanelment by fabricators	<input checked="" type="checkbox"/> Tender for fabrication work amongst empanelled fabricators
<input checked="" type="checkbox"/> Orders from customers	<input checked="" type="checkbox"/> Work order to empanelled fabricators
<input checked="" type="checkbox"/> Indent for issue for precious metal for fabrication	<input checked="" type="checkbox"/> Approved indents
<input checked="" type="checkbox"/> Inventory account (Silver Medallions Marketing Division)	<input checked="" type="checkbox"/> Updated inventory account (after issuance of Silver Medallions)
<b>Transactional Volume/ frequency</b>	
<input checked="" type="checkbox"/> As per demand	
<b>Formats</b>	
<input checked="" type="checkbox"/> Stock register	
<input checked="" type="checkbox"/> Issue/ receipt register ( details of raw silver issued & Receipt of manufactured Silver Medallions in numbers & grammage & details of Process loss in grammage)	
<input checked="" type="checkbox"/> Empanelled fabricator status report	

1.2.2.3 Process Map



**1.2.2.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Empanelment of new fabricators	
<b>1.01</b>	A new fabricator applies for empanelment with Sanchi Division/Medallion division along with the required supporting documents and EMD against MMTC EOI/Tender	Prospective fabricator
<b>1.02</b>	Sanchi division/Medallion division scrutinizes the application and if found fit, empanels the fabricator	Sanchi Division Of ROs/ Silver Medallion Marketing Division
<b>2.</b>	Query from corporate customers	
<b>2.01</b>	Corporate customer sends a query to Sanchi Division/ Silver Medallion Marketing Division of Regional Office along with specifications	Sanchi Division Of ROs/ Silver Medallion Marketing Division
<b>2.02</b>	Sanchi Division/ Silver Medallion Marketing Division responds with a proposal in consultation with DRO/other ROs having empanelled fabricators	Sanchi Division Of ROs/ Silver Medallion Marketing Division
<b>2.03</b>	If the customer accepts the proposal, the order is confirmed	Corporate customer
<b>3.</b>	Issue of precious metal, its fabrication and receipt of manufactured Silver Medallions and further issue to ROs/SROs/Customers/showrooms/stockists	
<b>3.01</b>	Order is either fulfilled from the existing raw material available with Marketing Div. else due to non availability of raw material/ as per new changed Policy of OGL/Domestic requirements , DRO sends	Sanchi Division Of ROs/ Silver Medallion Marketing

Sr.No.	Process Detail	Responsibility Centre
	request for indent of silver for CO's approval to purchase raw material for manufacturing requirements. Accordingly approval of CO communicated to RO	Division
3.02	In case of special approval/deviations CO communicates approval of the placed indent	Corporate office – PM division
3.03	On receipt of raw material by the Sanchi Division/ Silver Medallion Marketing Division from the Marketing. Division ( OGL) the inventory account is credited	Sanchi Division Of ROs/ Silver Medallion Marketing Division
3.04	Sanchi division/ Silver Medallion Marketing Division floats a tender amongst empanelled fabricators for fabrication work	Sanchi Division / Silver Medallion Marketing Division
3.05	Empanelled fabricator respond with bids and L1 fabricator is selected	Sanchi Division/ Silver Medallion Marketing Division Empanelled fabricators
3.06	Sanchi division/ Silver Medallion Marketing Division issues the metal to fabricator post receipt of security deposit. Fabricator Account is debited	Sanchi Division
3.07	The received metal is fabricated as per the requirement, by the fabricator. The finished goods are handed over to Sanchi Division/ Silver Medallion Marketing Division after Testing Process.	Sanchi Division Empanelled fabricators
3.08	Testing Process: Sanchi division/ Silver Medallion Marketing Division sends samples from the lots	Sanchi Division/ Silver

Sr.No.	Process Detail	Responsibility Centre
	received for testing. In case order conforms to purity, specifications etc then Sanchi Division receives the lot and updates the material receipt account.	Medallion Marketing Division
<b>3.09 (A)</b>	<p>If the testing is ok, then:</p> <ul style="list-style-type: none"> <li>• The lab gives a certificate</li> <li>• The test sample is sent to the fabricator as scrap</li> <li>• The remaining stock is hallmarked</li> <li>• Packing is done as per requirement</li> <li>• Complete silver account to be reconciled against the final conformed Silver Medallions received after testing to complete the Metal Account, transaction wise.</li> </ul>	A & H unit/Testing lab
<b>3.09 (B)</b>	If the lab testing fails, then the entire lot including the sample is rejected and returned back to the fabricator in damaged/cut into pieces. Fabricator asked to manufacture fresh lot as per MMTC requirements.	Sanchi Division/ Silver Medallion Marketing Division
<b>3.10</b>	Once the product are issued to ROs/SROs/Customers, MMTC pays the excise on these products	Sanchi Division/ Silver Medallion Marketing Division Excise Department
<b>4.</b>	Returns	
<b>4.01</b>	In case a franchise/ROs/SROs returns an item, the item is stocked in the excise paid store and can be issued to other stores/ franchise at any given time	Sanchi Division/ Silver Medallion Marketing Division

Sr.No.	Process Detail	Responsibility Centre
<b>5.</b>	Returns on account of polishing	
<b>5.01</b>	In case an item requires re-polishing, the same is stored in the excise paid store	Sanchi Division/ Medallion Marketing Division
<b>5.02</b>	The polishing work is given to fabricator on a tender basis. The polishing is carried out in MMTC premises.	Empanelled Fabricator
<b>5.03</b>	Once the polishing is completed, the individual items are weighted again.	Sanchi Division/ Medallion Marketing Division
<b>5.04</b>	The item is then issued to the same destination from which it was sent	Sanchi Division/ Medallion Marketing Division

### 1.2.3 Precious Metal- Silverware (Outsourcing)

#### 1.2.3.1 Description

The purpose of this process is to receive orders from customers, issuance of precious metal for fabrication, fabrication of metal by empanelled fabricators, testing of the silverware and the issuance of the final silverware while adhering to all the necessary statutory and other mandatory compliances

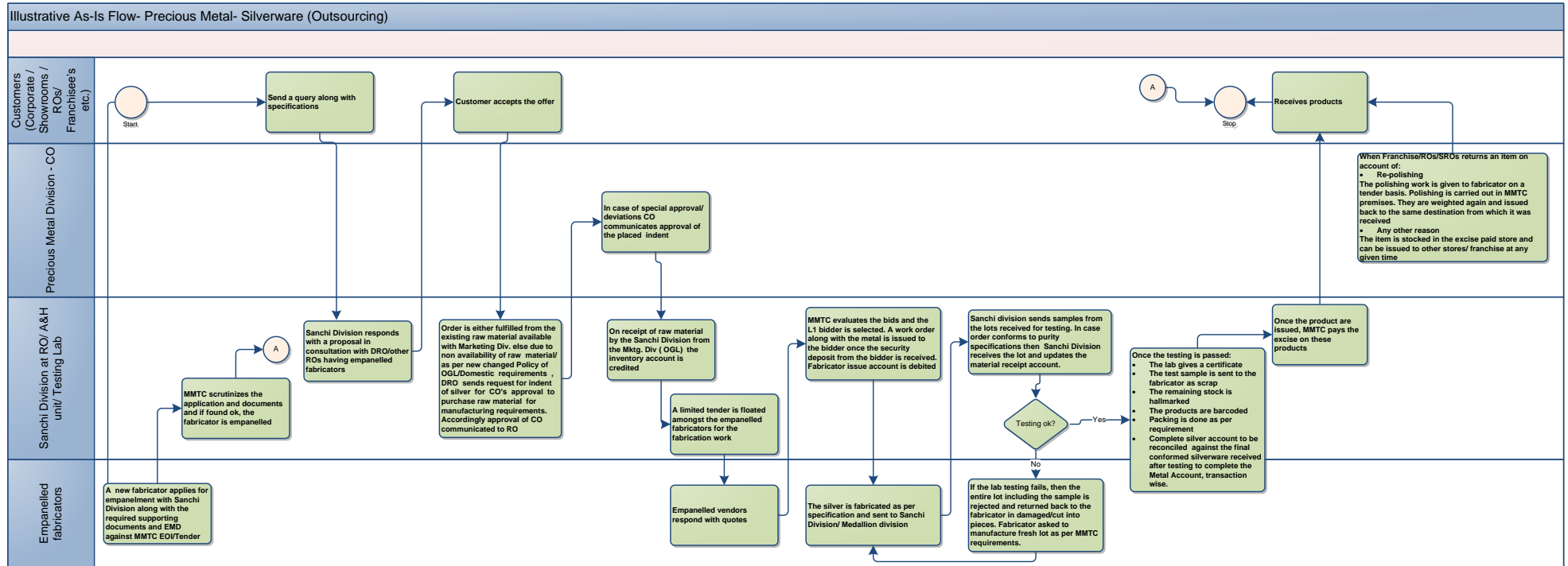
#### 1.2.3.2 Process Summary

Name of process		Precious metal – Silverware (outsourcing)	
<b>Process Goal</b>			
To empanel fabricators, receive orders from customers, tendering of scope of work amongst empanelled fabricators, issuance of precious metal for fabrication, fabrication of metal by empanelled fabricators, testing of the silverware at MMTC's A&H Unit , receipt of only the purity conformed silverware and the issuance of the final silverware to the ordered ROs/SROs/customers			
<b>Process Owner</b>			
Precious Metal Division- Corporate Office, Sanchi Division of ROs.			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Precious Metal Division- Corporate Office ((For special approvals/deviations/special Discounts if any <input checked="" type="checkbox"/> Sanchi Division, ROs <input checked="" type="checkbox"/> Medallion Unit, ROs <input checked="" type="checkbox"/> Regional Head <input checked="" type="checkbox"/> Associate finance, ROs		<input checked="" type="checkbox"/> Customers (corporate, Franchise, stores etc) <input checked="" type="checkbox"/> Excise Department	
<b>Process Input (Regional Office level)</b>		<b>Process Output (Regional Office level)</b>	



<input checked="" type="checkbox"/> Application for empanelment by fabricators	<input checked="" type="checkbox"/> Tender for fabrication work amongst empanelled fabricators
<input checked="" type="checkbox"/> Orders from customers	<input checked="" type="checkbox"/> Work order to empanelled fabricators
<input checked="" type="checkbox"/> Indent for issue for precious metal for fabrication	<input checked="" type="checkbox"/> Approved indents
<input checked="" type="checkbox"/> Inventory account( Sanchi silverware Marketing division)	<input checked="" type="checkbox"/> Updated inventory account( after issuance of silverware)
<b>Transactional Volume/ frequency</b>	
<input checked="" type="checkbox"/> As per demand	
<b>Formats</b>	
<input checked="" type="checkbox"/> Stock register	
<input checked="" type="checkbox"/> Issue/ receipt register ( details of raw silver issued & Receipt of manufactured silverware in numbers & grammage & details of Process loss in grammage)	
<input checked="" type="checkbox"/> Empanelled fabricator status report	

1.2.3.3 Process Map



**1.2.3.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Empanelment of new fabricators	
<b>1.01</b>	A new fabricator applies for empanelment with Sanchi Division along with the required supporting documents and EMD against MMTC EOI/Tender	Prospective fabricator
<b>1.02</b>	Sanchi division scrutinizes the application and if found fit, empanels the fabricator	Sanchi Division of ROs
<b>2.</b>	Query from corporate customers	
<b>2.01</b>	Corporate customer sends a query to Sanchi Division of Regional Office along with specifications	Sanchi Division of ROs
<b>2.02</b>	Sanchi Division responds with a proposal in consultation with DRO/other ROs having empanelled fabricators	Sanchi Division
<b>2.03</b>	If the customer accepts the proposal, the order is confirmed	Corporate customer
<b>3.</b>	Issue of precious metal, its fabrication and receipt of manufactured silverware and further issue to ROs/SROs/Customers/showrooms/stockist	
<b>3.01</b>	Order is either fulfilled from the existing raw material available with Marketing Div. else due to non availability of raw material/ as per new changed Policy of OGL/Domestic requirements , DRO sends request for indent of silver for CO's approval to purchase raw material for manufacturing requirements. Accordingly approval of CO communicated to RO	Sanchi Division

Sr.No.	Process Detail	Responsibility Centre
3.02	In case of special approval/deviations CO communicates approval of the placed indent	Corporate office – PM division
3.03	On receipt of raw material by the Sanchi Division from the Mktg. Div. ( OGL) the inventory account is credited	Sanchi Division
3.04	Sanchi division floats a tender amongst empanelled fabricators for fabrication work	Sanchi Division
3.05	Empanelled fabricator respond with bids and L1 fabricator is selected	Sanchi Division Empanelled fabricators
3.06	Sanchi division issues the metal to fabricator post receipt of security deposit. Fabricator Account is debited	Sanchi Division
3.07	The received metal is fabricated as per the requirement, by the fabricator. The finished goods are handed over to Sanchi Division after Testing Process.	Sanchi Division Empanelled fabricators
3.08	Testing Process: Sanchi division sends samples from the lots received for testing. In case order conforms to purity, specifications etc then Sanchi Division receives the lot and updates the material receipt account.	Sanchi Division
3.09 (A)	If the testing is ok, then: <ul style="list-style-type: none"> <li>• The lab gives a certificate</li> </ul>	Sanchi Division Testing lab

Sr.No.	Process Detail	Responsibility Centre
	<ul style="list-style-type: none"> <li>• The test sample is sent to the fabricator as scrap</li> <li>• The remaining stock is hallmarked</li> <li>• The products are barcoded</li> <li>• Packing is done as per requirement</li> <li>• Complete silver account to be reconciled against the final conformed silverware received after testing to complete the Metal Account, transaction wise.</li> </ul>	
<b>3.09 (B)</b>	If the lab testing fails, then the entire lot including the sample is rejected and returned back to the fabricator in damaged/cut into pieces. Fabricator is asked to manufacture fresh lot as per MMTC requirements.	Sanchi Division
<b>3.10</b>	Once the product are issued to ROs/SROs/Customers, MMTC pays the excise on these products	Sanchi Division Excise Department
<b>4.</b>	Returns	
<b>4.01</b>	In case a franchise/ROs/SROs returns an item, the item is stocked in the excise paid store and can be issued to other stores/ franchise at any given time	Sanchi Division
<b>5.</b>	Returns on account of polishing	
<b>5.01</b>	In case an item requires re-polishing, the same is stored in the excise paid store	Sanchi Division
<b>5.02</b>	The polishing work is given to fabricator on a tender basis. The polishing is carried out in MMTC premises.	Empanelled Fabricator

Sr.No.	Process Detail	Responsibility Centre
5.03	Once the polishing is completed, the individual items are weighted again and new barcoding is done	Sanchi Division
5.04	The item is then issued to the same destination from which it was sent	Sanchi Division

### 1.3 Fertilizers

#### 1.3.1 Sale of Sulphur

##### 1.3.1.1 Description

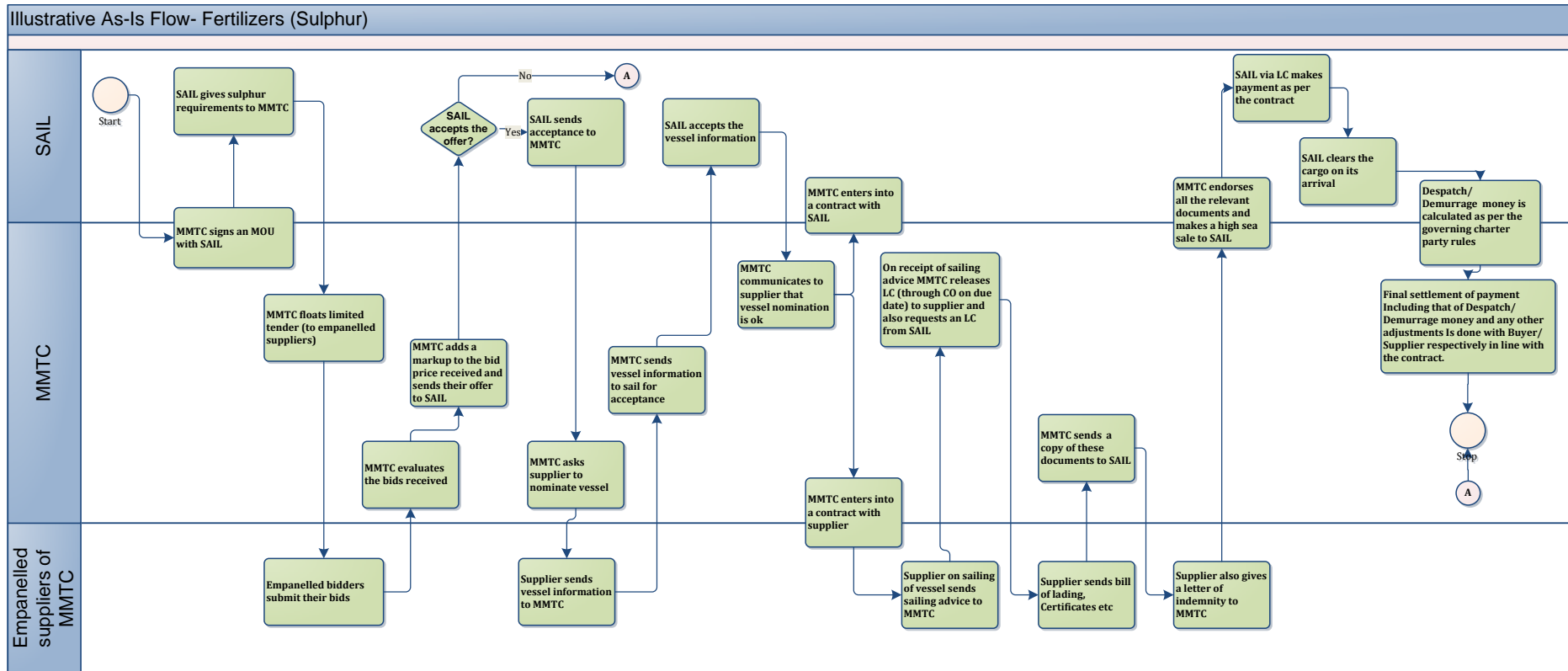
The purpose of this process is to describe the complete cycle involved in the sale of sulphur.

##### 1.3.1.2 Process Summary

Name of process	Contracting
Process Goal	To sign a Memorandum of Understanding (MOU) with SAIL, receive the requirements from SAIL, float limited tenders to empanelled suppliers, evaluation of their bids and supply of sulphur to SAIL.
Process Owner	Fertilizer Division
Primary Actors	Secondary Actors

Name of process		Contracting	
<input checked="" type="checkbox"/> Fertilizer Division – CO		<input checked="" type="checkbox"/> Steel Authority of India Limited (SAIL)	
<input checked="" type="checkbox"/> Fertilizer Division – RO		<input checked="" type="checkbox"/> Empanelled suppliers of MMTC	
<input checked="" type="checkbox"/> Associate finance			
Process Input		Process Output	
<input checked="" type="checkbox"/> Signing of MOU with SAIL		<input checked="" type="checkbox"/> Contract with SAIL	
<input checked="" type="checkbox"/> MMTC's offer including MMTC markup to the bid price		<input checked="" type="checkbox"/> Contract with Supplier	
<input checked="" type="checkbox"/> Receipt of requirement of Sulphur from SAIL		<input checked="" type="checkbox"/> Offer from MMTC to SAIL	
<input checked="" type="checkbox"/> LC from SAIL to be received and LC on supplier to be established		<input checked="" type="checkbox"/> Bill of lading	
<input checked="" type="checkbox"/> Receipt of sailing advice from suppliers			
<input checked="" type="checkbox"/> Receipt of vessel related documents from supplier			
Transactional Volume/Frequency			
<input checked="" type="checkbox"/> Sulphur is imported in 3-4 consignments in a year under existing MOU between SAIL and MMTC			
Formats			
<input checked="" type="checkbox"/> Standard templates for Bill of lading, sailing advice, certificates etc.			
<input checked="" type="checkbox"/> MMTC standard reporting templates			

### 1.3.1.3 Process Map





**1.3.1.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
1.1.	MMTC signs a Memorandum of Understanding (MOU) with SAIL.	Fertilizer Division – CO
1.2.	SAIL gives requirements of Sulphur to MMTC Corporate office	SAIL
1.3.	MMTC Corporate office floats a limited tender to empanelled suppliers	Fertilizer Division – CO
1.4.	Empanelled suppliers submit their bids in response to the tender	Empanelled suppliers
1.5.	MMTC Corporate office evaluates the bids received and selects the L1 bidder	Fertilizer Division – CO
1.6.	MMTC Corporate office adds a markup to the L1 price and sends its offer to SAIL	Fertilizer Division – CO
1.7.	SAIL sends acceptance to MMTC's offer	SAIL
1.8.	MMTC asks the supplier to nominate vessel and send its information back	Selected Supplier
1.9.	MMTC sends the vessel information to SAIL for acceptance	Fertilizer Division – CO
1.10.	Upon acceptance of vessel information by SAIL, MMTC signs contract both with SAIL & selected supplier	Fertilizer Division – CO SAIL Supplier
1.11.	Supplier on sailing of vessel sends sailing advice to MMTC Corporate office.	Selected Supplier

Sr.No.	Process Detail	Responsibility Centre
1.12.	MMTC Corporate office releases LC to selected supplier and requests LC from SAIL	Fertilizer Division – CO SAIL
1.13.	MMTC sends copy of all documents (bill of lading, sailing advice, certificates etc.) to SAIL	Fertilizer Division – CO
1.14.	MMTC endorses relevant documents and makes a high seas sale to SAIL	Fertilizer Division – CO SAIL
1.15.	SAIL makes payment to MMTC through LC as per contract	SAIL
1.16.	SAIL clears cargo and takes the material	SAIL
1.17.	Dispatch/Demurrage money is calculated by MMTC as per the governing charter party rules	Fertilizer Division – CO
1.18.	Final settlement of payment including calculated dispatch/demurrage money and any other adjustments is done with SAIL/selected Supplier respectively in line with the contract	SAIL Fertilizer Division – CO

## 1.3.2 Export process to Nepal

### 1.3.2.1 Description

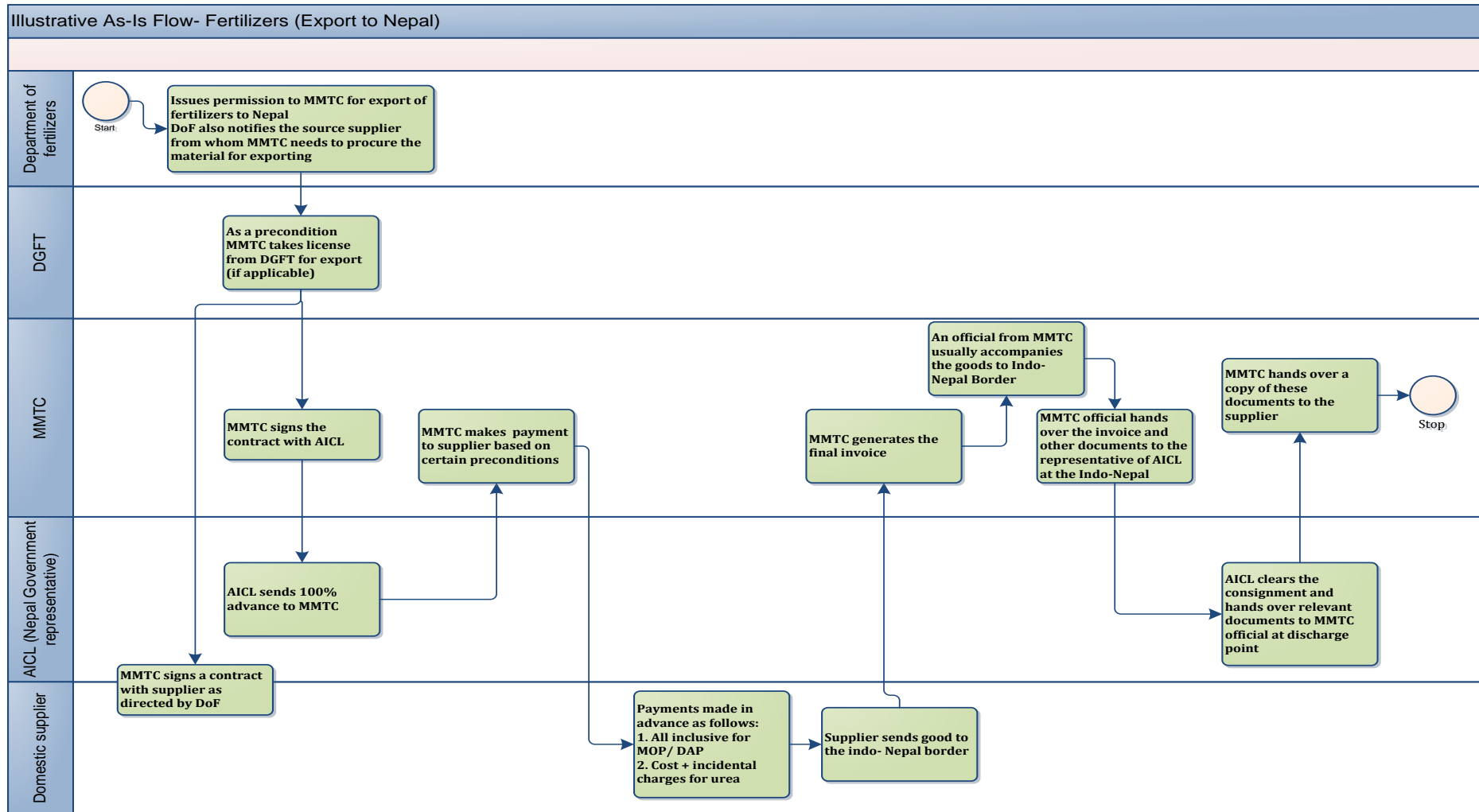
The purpose of this process is to export fertilizers to Nepal by the fertilizer division of MMTC.

### 1.3.2.2 Process Summary

Name of process		Contracting	
Process Goal			
To export fertilizers to Nepal by the Fertilizers division of MMTC.			
Process Owner			
Fertilizer Division –RO (Bhubaneswar, Kolkata & Vishakhapatnam).			
Primary Actors		Secondary Actors	
<input checked="" type="checkbox"/> Fertilizer Division – CO <input checked="" type="checkbox"/> Fertilizer Division – RO (BSR, Kolkata) <input checked="" type="checkbox"/> Associate finance		<input checked="" type="checkbox"/> Department of fertilizers (DOF) <input checked="" type="checkbox"/> Director General of Foreign Trade (DGFT) <input checked="" type="checkbox"/> AICL (Nepal government representative) <input checked="" type="checkbox"/> Domestic supplier	
Process Input		Process Output	
<input checked="" type="checkbox"/> Permission from DOF <input checked="" type="checkbox"/> Export License from DGFT, wherever required 100% advance from AICL		<input checked="" type="checkbox"/> Invoice (provisional/final) <input checked="" type="checkbox"/> Contract with AICL <input checked="" type="checkbox"/> Contract with supplier <input checked="" type="checkbox"/> Relevant documents	
Transactional Volume/Frequency			

Name of process	Contracting
<input checked="" type="checkbox"/> Export done approximately <ol style="list-style-type: none"><li data-bbox="331 384 636 416">1. 15-20 rakes of Urea</li><li data-bbox="331 424 752 456">2. Around 5 rakes of DAP/MOP</li></ol>	
Formats	
<input checked="" type="checkbox"/> Standard templates for export license	
<input checked="" type="checkbox"/> MMTC standard reporting templates	

### 1.3.2.3 Process Map



**1.3.2.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
1.1.	Department of fertilizers issues permission to MMTC for export of fertilizer to Nepal	DOF
1.2.	DOF also notifies the source supplier from whom MMTC needs to procure the material for exporting	DOF
1.3.	MMTC takes export license from DGFT wherever required	MMTC DGFT
1.4.	MMTC signs contract with supplier notified by DOF	Fertilizer Division – CO
1.5.	MMTC signs contract with AICL	Fertilizer Division – CO AICL
1.6.	As per the contract between MMTC and AICL, Nepal , MMTC receives 100% advance payment from AICL, Nepal	AICL
1.7.	MMTC makes payment to the supplier on : 1. Dispatch of materials only in case of DAP/MOP. In case of Urea payment to supplier is made in advance Receipt of dispatch documents Payment is as follows: <ul style="list-style-type: none"> <li>• MOP &amp; DAP – all inclusive</li> <li>• Urea – cost + incidental charges</li> </ul>	Fertilizer Division – CO
1.8.	Supplier sends goods to the Indo-Nepal border	Supplier
1.9.	MMTC generates the final invoice	Fertilizer Division- Concerned RO

Sr.No.	Process Detail	Responsibility Centre
1.10.	An official from MMTC accompanies the goods to the Indo-Nepal border	Fertilizer Division- Concerned RO
1.11.	MMTC official hands over invoice and other documents to the AICL representative at the Indo-Nepal border	Fertilizer Division- Concerned RO
1.12.	AICL clears the consignment and hands over relevant documents to MMTC official at discharge points	AICL
1.13.	MMTC hands over a copy of these documents to the supplier	Fertilizer Division- CO/ concerned RO

### 1.3.3 Sale of Ammonium Sulphate

#### 1.3.3.1 Description

The purpose of this process is to float tenders for sale of ammonium sulphate, receive bids from prospective bidders and carry out the sale of Ammonium Sulphate. MMTC gets the ammonium sulphate stock as a byproduct from NINL.

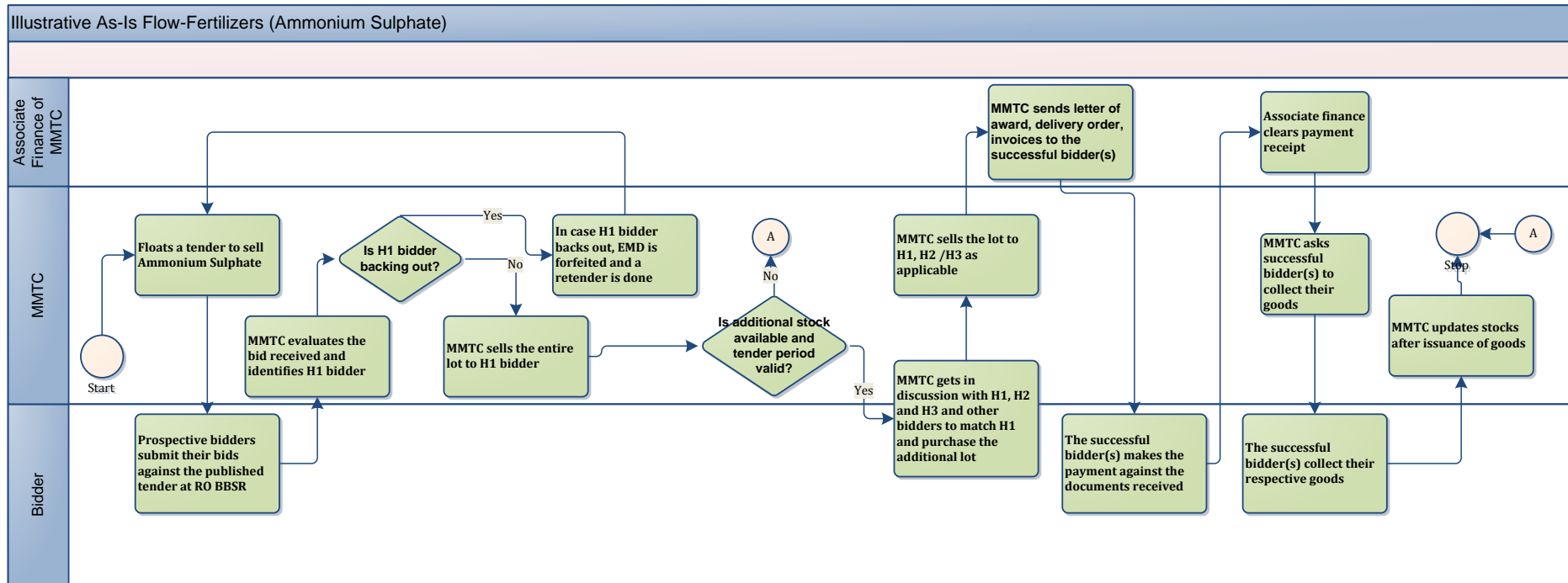
#### 1.3.3.2 Process Summary

Name of process	Contracting	
Process Goal	To sell ammonium sulphate to prospective buyers through tender process.	
Process Owner	Fertilizer Division	
Primary Actors	Secondary Actors	
<input checked="" type="checkbox"/> Fertilizer Division – CO <input checked="" type="checkbox"/> Fertilizer Division – RO (Bhubaneswar) <input checked="" type="checkbox"/> Associate finance	<input checked="" type="checkbox"/> Buyers	
Process Input	Process Output	
<input checked="" type="checkbox"/> Tender <input checked="" type="checkbox"/> Bid responses	<input checked="" type="checkbox"/> Invoice <input checked="" type="checkbox"/> Payment receipt <input checked="" type="checkbox"/> Updated stock register	
Transactional Volume/Frequency	<input checked="" type="checkbox"/> As per requirement	
Formats		



Name of process	Contracting
<input checked="" type="checkbox"/> Standard templates for invoice, payment receipt	<input checked="" type="checkbox"/> MMTC standard reporting templates

1.3.3.3 Process Map



**1.3.3.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	<b>Floating of Tender</b>	
1.1.	RO- Bhubaneswar prepares the tender document and floats the same	Fertilizer Division- CO/ RO- Bhubaneswar
1.2.	Prospective bidders submit their bids against the published tender to RO, Bhubaneswar	MMTC – RO (BBSR)
1.3.	MMTC evaluates the bids and identifies the H1 bidder at RO level and its approval is done by CO	Fertilizer Division- CO/ RO- Bhubaneswar
<b>2.</b>	<b>H1 bidder agrees to buy the entire lot</b>	
2.1.	Process from Step 6 would be followed	
<b>3.</b>	<b>H1 bidder does not agree to buy the entire lot</b>	
3.1.	MMTC gets in discussion with H1 bidder	Fertilizer Division-CO/ RO (Bhubaneswar)
3.2.	H1 bidder agrees to purchase the entire lot	H1 bidder
3.3.	Process from Step 6 would be followed	
<b>4.</b>	<b>H1 bidder does not agree to buy the entire lot</b>	
4.1	The EMD is forfeited	Fertilizer Division-CO/ RO (Bhubaneswar)
4.2	Process from step 1 is followed	
<b>5.</b>	<b>Tender period is valid and additional stock is available with MMTC</b>	
5.1.	MMTC gets in discussion with H1, H2 etc bidders to purchase the additional lot at H1 prices	Fertilizer Division-CO/ RO (Bhubaneswar)

Sr.No.	Process Detail	Responsibility Centre
		H1, H2 and other bidders
5.2.	Process from Step 6 would be followed	
6.	Invoice generation and sale of goods	
6.1.	MMTC generates letter of award, delivery order and invoice(s) and sends them to respective bidders/buyers depending upon the quantity to be sold to them	Fertilizer Division-CO/ RO (Bhubaneswar)
6.2.	The bidder(s) makes payment against the documents received within 5 days of their receipt	Bidder(s)
6.3.	Associate finance clears payment receipt	Fertilizer Division-CO/ RO (Bhubaneswar)
6.4.	MMTC asks bidder(s) to collect the goods	Fertilizer Division-CO/ RO (Bhubaneswar) H1 & other relevant bidder
6.5.	Bidder(s) collects the goods	H1 & other relevant bidder
6.6.	MMTC updates stock register after issuance of goods	Fertilizer Division-CO/ RO (Bhubaneswar)

### 1.3.4 Sale of Urea

#### 1.3.4.1 Description

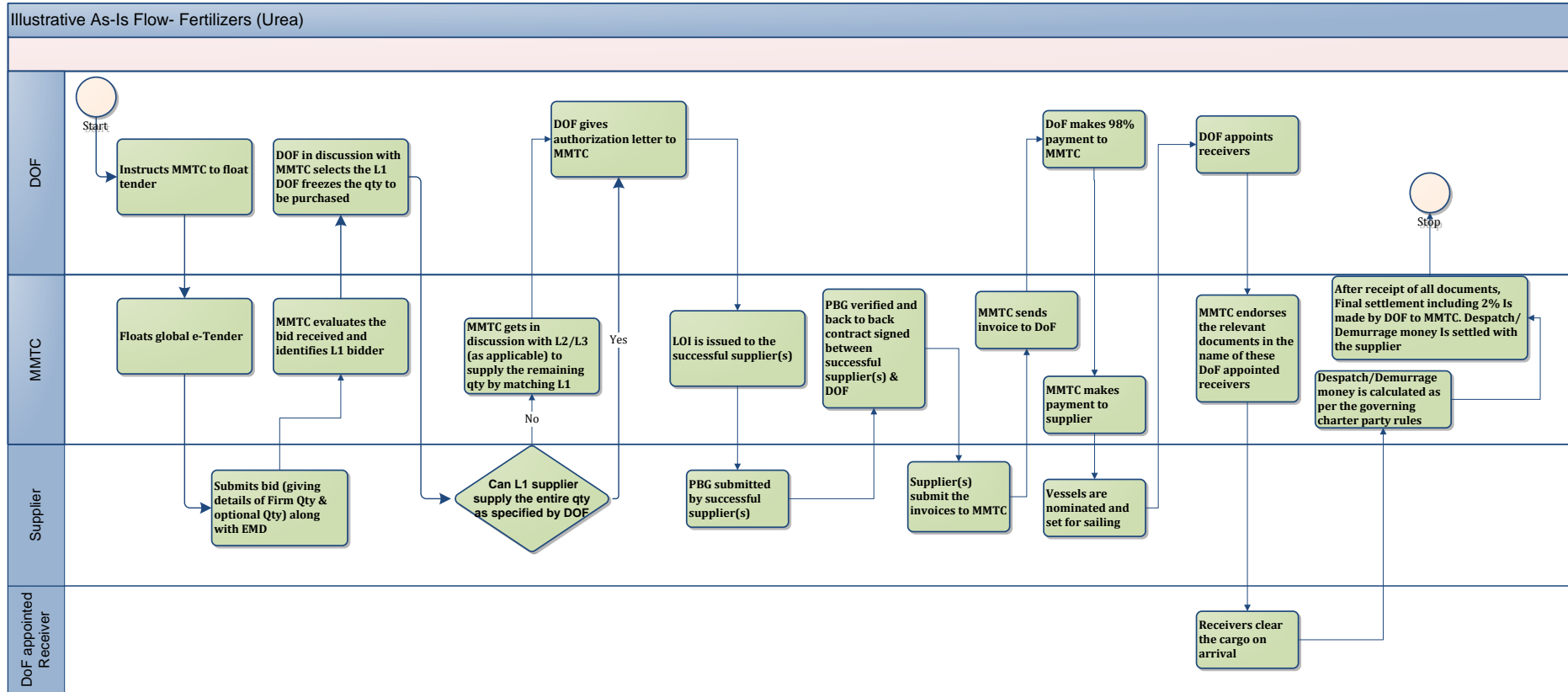
The purpose of this process is to describe the complete cycle involved in the sale of urea

#### 1.3.4.2 Process Summary

Name of process		Contracting	
Process Goal			
Based on instruction of Department of Fertilizers (DOF), MMTC floats global tender to procure urea from suppliers and sells urea to the receivers appointed by DOF.			
Process Owner			
Fertilizer Division			
Primary Actors		Secondary Actors	
<input checked="" type="checkbox"/> Fertilizer Division – CO <input checked="" type="checkbox"/> Department of fertilizers (DOF) <input checked="" type="checkbox"/> Associate finance		<input checked="" type="checkbox"/> Global suppliers	
Process Input		Process Output	
<input checked="" type="checkbox"/> Instructions of DOF <input checked="" type="checkbox"/> Global e-tender <input checked="" type="checkbox"/> Receipt of PBG from suppliers <input checked="" type="checkbox"/> Receipt of vessel related documents from supplier <input checked="" type="checkbox"/> Invoice from suppliers <input checked="" type="checkbox"/> Payment from DOF		<input checked="" type="checkbox"/> Contract with DOF <input checked="" type="checkbox"/> Contract with successful Supplier(s) <input checked="" type="checkbox"/> Documents like Bill of lading etc.	
Transactional Volume/Frequency			

Name of process	Contracting
<input checked="" type="checkbox"/> Urea is imported from global suppliers on behalf of DOF around 2- 3 times in a year.	
Formats	
<input checked="" type="checkbox"/> Standard templates for Bill of lading, sailing advice, certificates etc. <input checked="" type="checkbox"/> MMTC standard reporting templates	

1.3.4.3 Process Map



**1.3.4.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
1.	Floating of Global tender	
1.1.	DOF instructs MMTC to float tender	DOF
1.2.	MMTC floats global tender	Fertilizer Division – CO
1.3.	Supplier submits bid giving details of firm and optional quantities along with EMD	Suppliers
1.4.	MMTC evaluates the bids and identifies L1	Fertilizer Division – CO
1.5.	MMTC in discussion with DOF selects the L1.	Fertilizer Division – CO DOF
1.6.	DOF freezes the quantity to be purchased based on the prices quoted by L1 bidder	DOF
2.	L1 bidder agrees to supply the entire quantity as required by DOF	
2.1.	Process from Step 4 would be followed	
3.	L1 bidder does not agree to supply the entire quantity as required by DOF	
3.1.	MMTC gets in discussion with L2/L3 bidder	MMTC, L2/L3 bidder
3.2.	L2/L3 bidder agrees to supply the remaining quantity by matching L1	MMTC, L2/L3 bidder
3.3.	Process from Step 4 would be followed	



Sr.No.	Process Detail	Responsibility Centre
4.	DOF authorization, sale of goods	
4.1.	DOF gives authorization letter to MMTC	Fertilizer Division – CO DOF
4.2.	Letter of Intent is issued to successful supplier(s)	Fertilizer Division – CO Supplier(s)
4.3.	Performance bank Guarantee is submitted by successful supplier(s)	Supplier(s)
4.4.	PBG is verified by MMTC and back to back contract is signed by MMTC with successful suppliers and DOF	Supplier(s) Fertilizer Division – CO DOF
4.5.	Supplier(s) submit their invoices to MMTC	Suppliers
4.6.	MMTC sends invoices to DOF	Fertilizer Division – CO
4.7.	DOF makes 98 % payment to MMTC. MMTC makes payment to the supplier	DOF
4.8.	Suppliers nominate the vessels and are set for sailing	Suppliers
4.9.	DOF appoints receivers	DOF
4.10.	MMTC endorses documents in the name of the appointed receivers	Fertilizer Division – CO
4.11.	Receivers clear cargo on arrival	Receivers
4.12.	Dispatch/Demurrage money is calculated as per the governing charter party rules	Fertilizer Division – CO Suppliers Receivers
4.13.	After receipt of all documents, final settlement including 2% payment is made by DOF to MMTC. Dispatch / Demurrage settled with the supplier.	Fertilizer Division – CO  Suppliers  Receivers

### 1.3.5 Sale of Di Ammonium Phosphate (DAP)

#### 1.3.5.1 Description

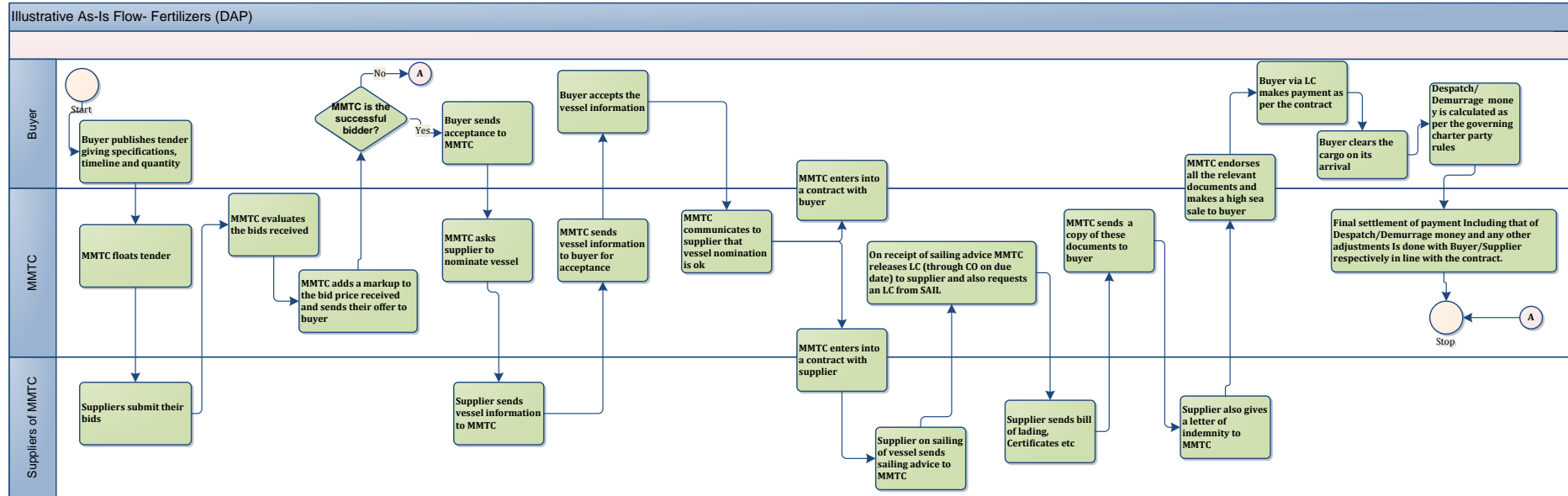
To procure DAP from global suppliers and sale to buyers by responding to tender published by buyers

#### 1.3.5.2 Process Summary

Name of process		Contracting	
Process Goal			
To procure DAP from empanelled suppliers and sell to buyers by responding to tender published by buyers			
Process Owner			
Fertilizers Division			
Primary Actors		Secondary Actors	
<input checked="" type="checkbox"/> Fertilizer Division – CO and concerned RO		<input checked="" type="checkbox"/> Suppliers of MMTC <input checked="" type="checkbox"/>	
Process Input		Process Output	
<input checked="" type="checkbox"/> Tenders published by buyers <input checked="" type="checkbox"/> Limited tender floated by MMTC <input checked="" type="checkbox"/> Receipt of vessel related documents from supplier <input checked="" type="checkbox"/> Invoice from suppliers		<input checked="" type="checkbox"/> Contract with buyer <input checked="" type="checkbox"/> Contract with successful Supplier(s) <input checked="" type="checkbox"/> Documents like Bill of lading, sailing advice etc.	
Transactional Volume/Frequency			

Name of process	Contracting
<input checked="" type="checkbox"/> DAP is imported from suppliers and sold to buyers as per their requirement	
Formats	
<input checked="" type="checkbox"/> Standard templates for Bill of lading, sailing advice, certificates etc. <input checked="" type="checkbox"/> MMTC standard reporting templates	

### 1.3.5.3 Process Map



**1.3.5.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
1.1.	Buyer publishes tender giving specifications, timelines and quantity to be bought	Buyer
1.2.	MMTC floats tender	Fertilizer Division – CO and concerned RO
1.3.	Suppliers submit bids	Suppliers
1.4.	MMTC evaluates the bids	Fertilizer Division – CO and concerned RO
1.5.	MMTC adds a markup to the bid price and sends their offer to the buyer	Fertilizer Division – CO and concerned RO
2.	Buyer does not select MMTC as successful bidder	
2.1.	Process is terminated	Buyer
3.	Buyer selects MMTC and declares as successful bidder	
3.1.	Buyer sends acceptance to MMTC	Buyer
3.2.	MMTC asks supplier to nominate vessel	Fertilizer Division – CO and concerned RO
3.3.	Supplier sends vessel information to MMTC	Supplier
3.4.	MMTC sends vessel information to buyer for acceptance	Fertilizer Division – CO and concerned RO

Sr.No.	Process Detail	Responsibility Centre
3.5.	Buyer accepts vessel information	Buyer
3.6.	MMTC informs supplier that vessel information is ok	Fertilizer Division – CO and concerned RO
3.7.	MMTC signs separate contract with buyer & supplier	Fertilizer Division – CO and concerned RO
3.8.	Supplier on sailing of vessel sends sailing advice to MMTC	Supplier
3.9.	On receipt of sailing advice MMTC releases LC through Corporate office on due date to supplier and also requests LC from SAIL	Fertilizer Division – CO and concerned RO
3.10.	Supplier sends bill of lading , certificates etc. to MMTC	Supplier
3.11.	MMTC sends a copy of these documents to the buyer	Fertilizer Division – CO and concerned RO
3.12.	Supplier gives a letter of indemnity to MMTC	Supplier
3.13.	MMTC endorses all documents and makes a high seas sale to the buyer	Fertilizer Division – CO and concerned RO
3.14.	Buyer makes payment through LC as per the contract	Buyer
3.15.	Buyer clears cargo on arrival	Buyer
3.16.	Dispatch/Demurrage money is calculated as per the governing charter party rules	Fertilizer Division – CO and concerned RO
3.17.	Final settlement of payment is made to suppliers after adjusting Dispatch/Demurrage money and any others with the buyer/supplier respectively in	Fertilizer Division – CO and concerned RO

---

Sr.No.	Process Detail	Responsibility Centre
	line with the contract.	

### 1.3.6 Sale of MOP

#### 1.3.6.1 Description

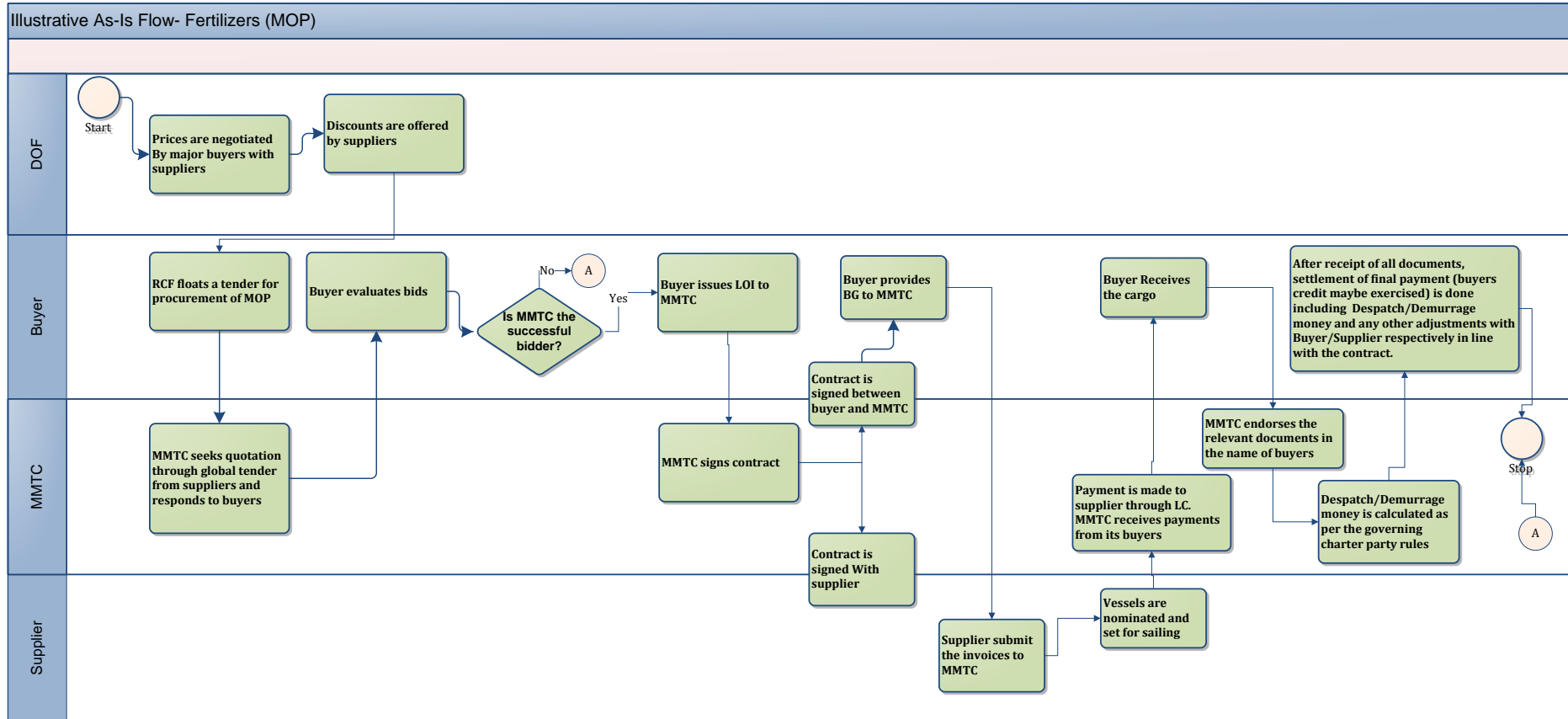
The purpose of this process is to describe the complete cycle involved in the sale of MOP

#### 1.3.6.2 Process Summary

Name of process		Contracting	
Process Goal			
To procure MOP from empanelled supplier and sell to buyers by responding to tender published by buyers			
Process Owner			
Fertilizers Division			
Primary Actors		Secondary Actors	
<input checked="" type="checkbox"/> Fertilizer Division – CO		<input checked="" type="checkbox"/> Suppliers of MMTC	
Process Input		Process Output	
<input checked="" type="checkbox"/> Tender floated by MMTC		<input checked="" type="checkbox"/> Contract with buyer <input checked="" type="checkbox"/> Contract with successful Supplier(s) <input checked="" type="checkbox"/> Documents like Bill of lading, sailing advice etc.	
Transactional Volume/Frequency			
<input checked="" type="checkbox"/> MOP is imported approximately 10 times in a year			
Formats			
<input checked="" type="checkbox"/> Standard templates for Bill of lading, sailing advice, certificates etc. <input checked="" type="checkbox"/> MMTC standard reporting templates			



1.3.6.3 Process Map



**1.3.6.4 Process Description**

Sr.No.	Process Detail	Responsibility Centre
1.	Price Fixation	
1.1.	Prices are negotiated by major buyers with suppliers	DoF
1.2.	Discounts are offered by suppliers	Fertilizer Division – CO–
2.	Tender flotation	
2.1.	Buyer publishes tender giving specifications, timelines and quantity to be bought	Fertilizer Division – CO
2.2.	MMTC seeks quotation through global tender from suppliers and responds to buyers	Supplier Fertilizer Division – CO
2.3.	Buyer evaluates the bids	Fertilizer Division – CO
3.	Buyer does not select MMTC as successful bidder	
3.1.	Process is terminated	Buyer
4.	Buyer selects MMTC and declares it as successful bidder	
4.1.	Buyer issue LOI to MMTC	Buyer
4.2.	MMTC signs a contract with buyer	Fertilizer Division – CO Buyer
4.3.	MMTC signs contract with supplier	Fertilizer Division – CO Supplier

Sr.No.	Process Detail	Responsibility Centre
4.4.	Buyer submits BG to MMTC	Buyer
4.5.	Supplier submit the invoices to MMTC	Supplier Fertilizer Division – CO
4.6.	Vessels are nominated and set for sailing	Supplier
4.7.	Payment is made to supplier through Letter of Credit MMTC receives payment from its customers	Supplier Fertilizer Division – CO
4.8.	Buyer receives the cargo	Buyer
4.9.	MMTC endorses the relevant document in the name of Buyers	Fertilizer Division – CO
4.10.	The buyer clear the cargo on arrival	Buyer
4.11.	Dispatch/Demurrage money is calculated as per the governing charter party rules by MMTC	Fertilizer Division – CO
4.12.	After receipt of all documents, settlement of final payment (buyers credit maybe exercised) is done including Dispatch/Demurrage money and any other adjustments with Buyer/Supplier respectively in line with the contract by buyer	Buyer Fertilizer Division – CO Supplier

## 1.4 Minerals

### 1.4.1 Iron Ore Export

#### 1.4.1.1 Process for Contracting

##### 1.4.1.1.1 Description

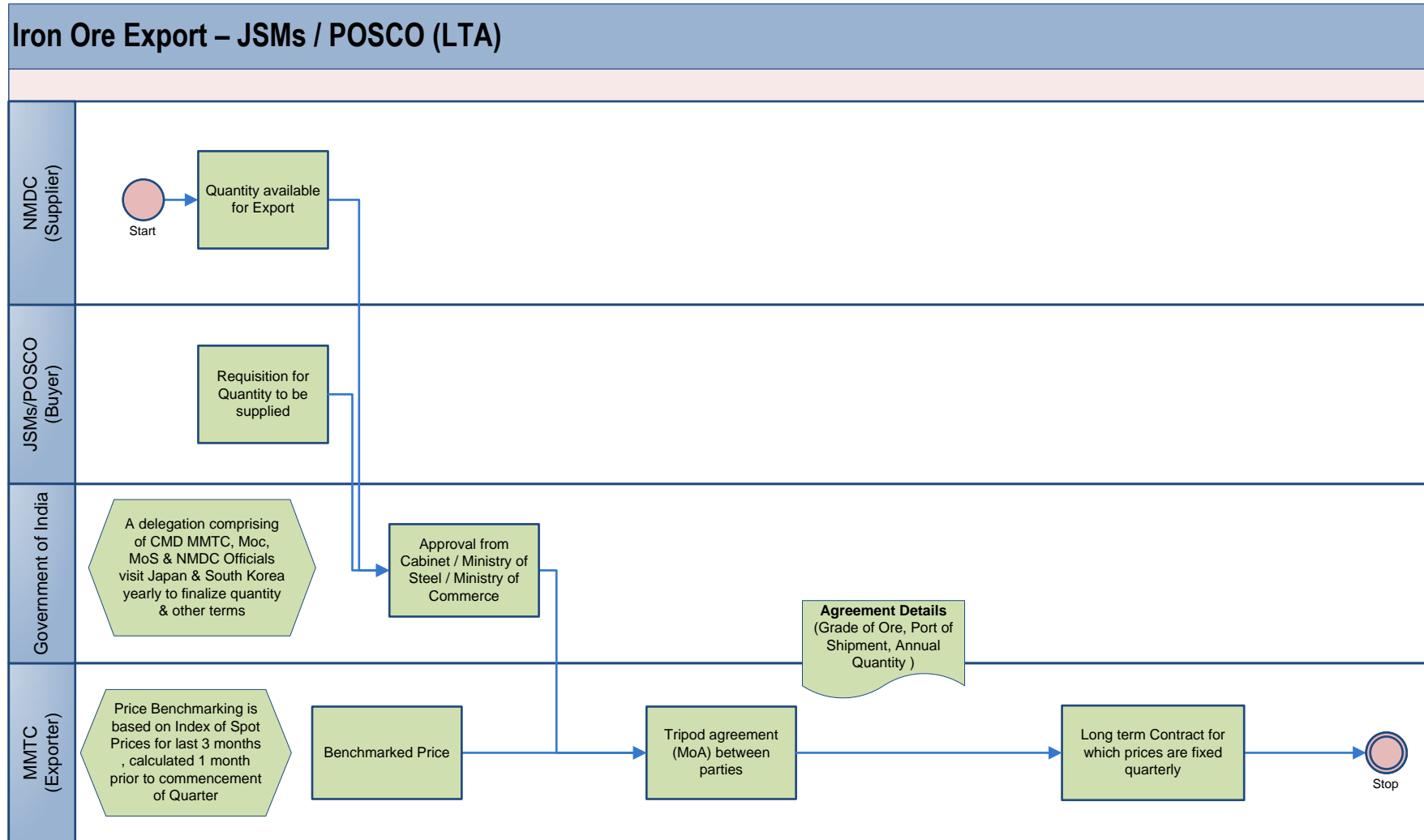
The purpose of this process is to finalize contracting terms for export of Iron Ore by the Iron Ore Sales Division to Japanese Steel Mills (JSMs), POSCO (South Korea) and Chinese buyers under Long Term Agreement and SPOT Contracts respectively

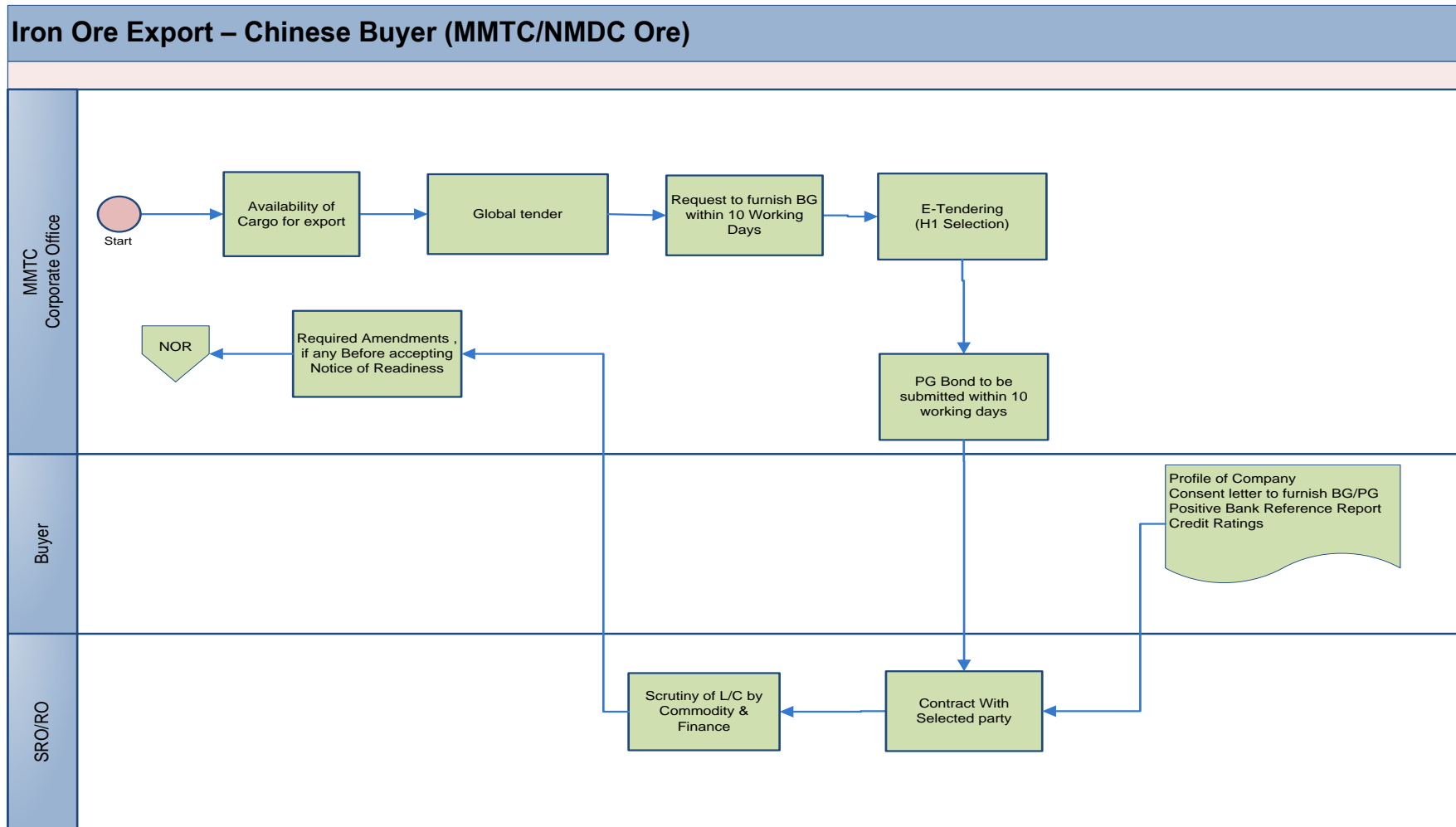
##### 1.4.1.1.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>
<b>Process Goal</b>	
To finalize the contracting terms, pricing & Quantity details for JSMs & POSCO on long terms basis.	
<b>Process Owner</b>	
Iron Ore Sales Division	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Iron Ore Sales division	<input checked="" type="checkbox"/> Japanese Steel Mills

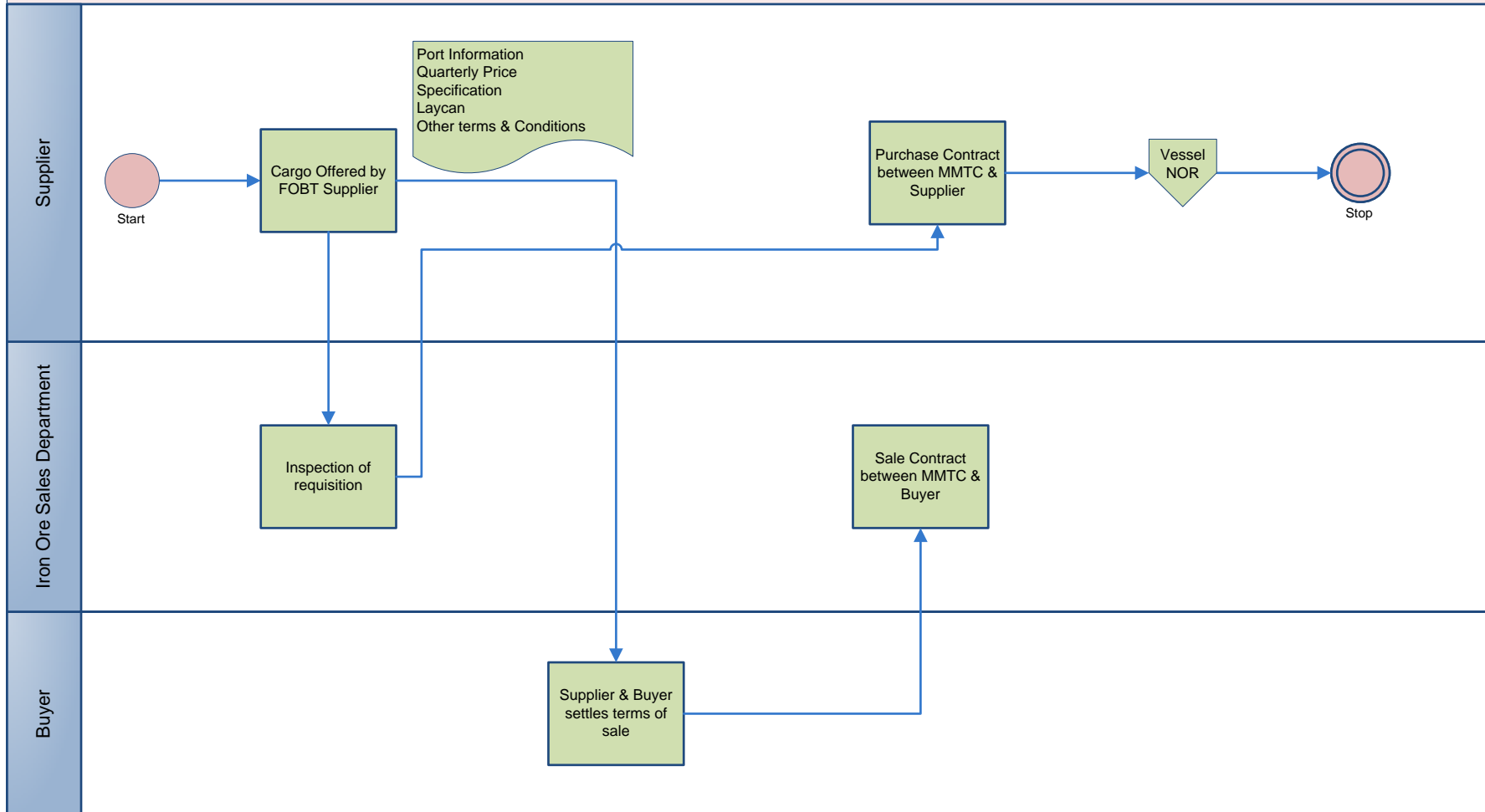
Name of process	Contracting
	<input checked="" type="checkbox"/> POSCO (South Korea) <input checked="" type="checkbox"/> NMDC
Process Input	Process Output
<input checked="" type="checkbox"/> Receipt of the approval from the Government <input checked="" type="checkbox"/> Approval of Quantity from NMDC <input checked="" type="checkbox"/> Benchmarked Price (as per International Pricing finalized by MMTC)	<input checked="" type="checkbox"/> Long Term Contract <input checked="" type="checkbox"/> Spot Contracts with Chinese Buyers <input checked="" type="checkbox"/> Quarterly export prices to JSMs & POSCO
Transactional Volume	
<input checked="" type="checkbox"/> Long Term Memoranda of Agreements are entered into between MMTC and the Steel Mills where annual MOAs are entered with the buyers for annual quantities.	
Documentation	Formats
<input checked="" type="checkbox"/> Requisition from Buyer <input checked="" type="checkbox"/> Approval from National Mineral Development Corporation (NMDC) & Government <input checked="" type="checkbox"/> Price Benchmarking by MMTC	<input checked="" type="checkbox"/> Contract <input checked="" type="checkbox"/> Price Benchmarking

1.4.1.1.3 Process Map

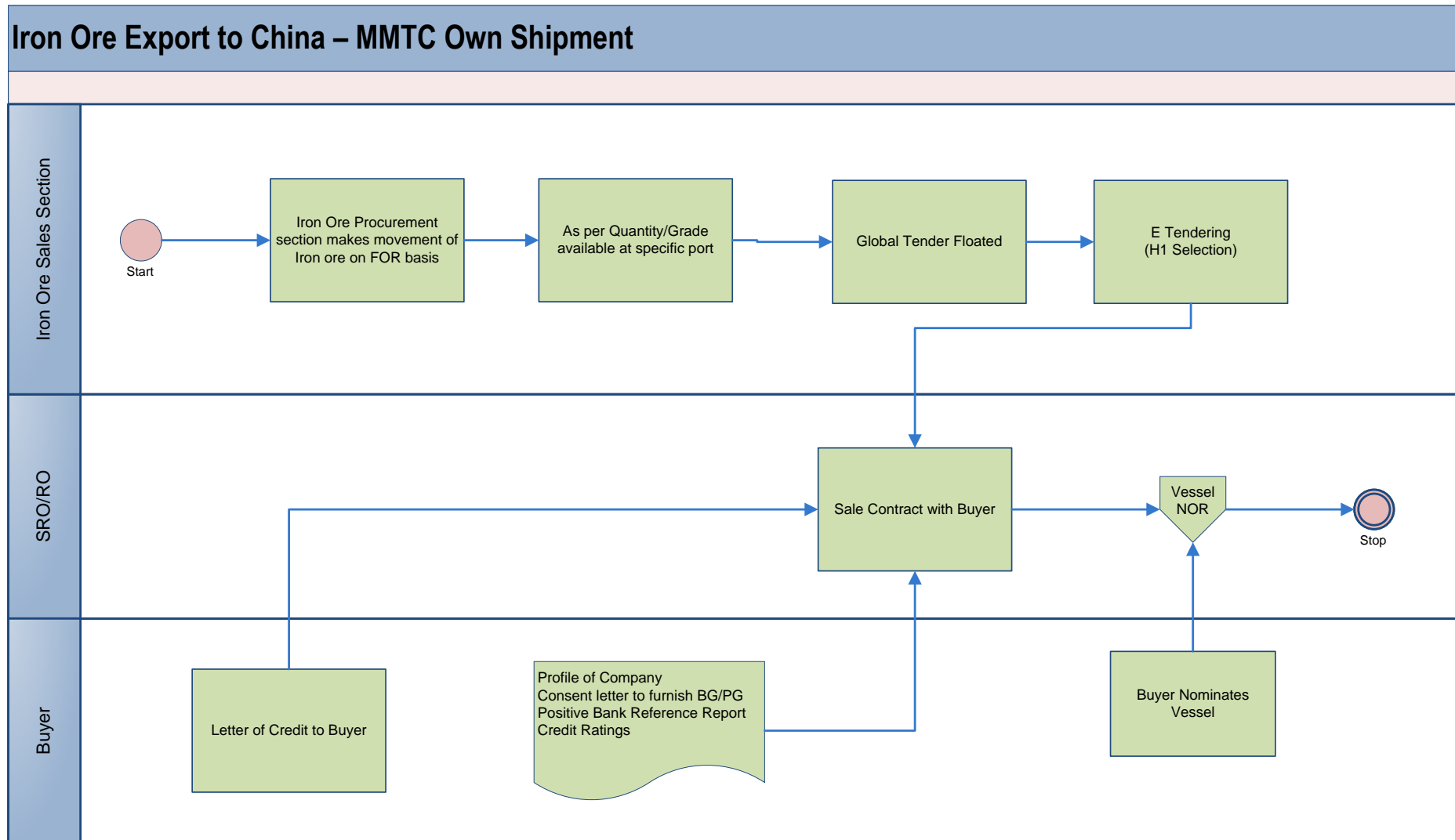


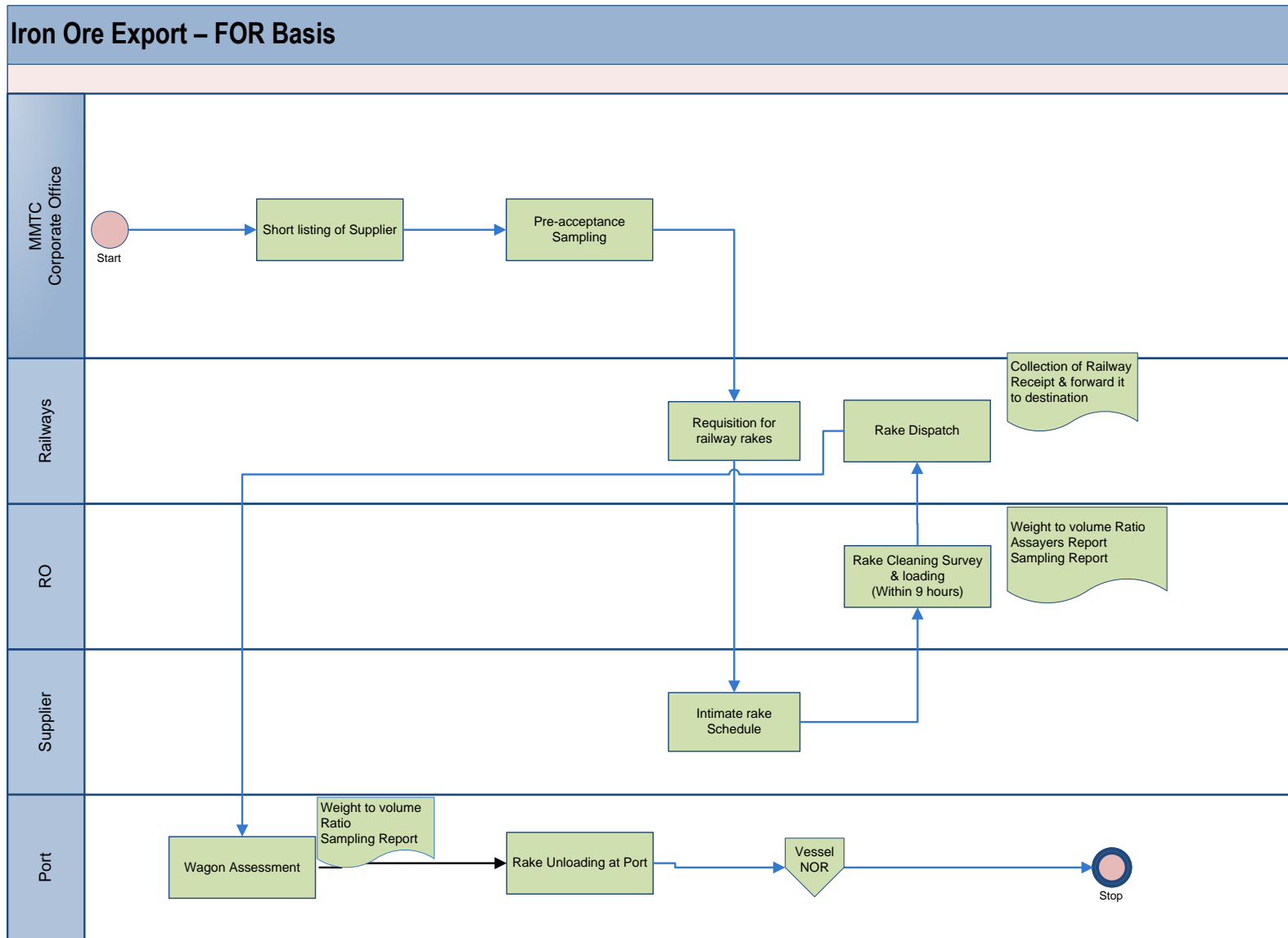


### Iron Ore to Chinese Buyers - FOBT









#### 1.4.1.1.4 Process Description

##### 1) Iron Ore Export – JSMs/POSCO (LTA)

Based on the approvals from Government of India & discussion with NMDC, Long term agreements (LTAs) are signed with JSMs / POSCO for approved range of quantity of various grades proposed to be lifted along with port of shipment. Accordingly annual MOAs are entered with the buyers in which annual quantities are finalized

##### 2) Iron Ore Export – Chinese Buyer (MMTC/NMDC Ore)

As per the availability of Cargo, a global tender is floated via e-tendering process for selection of buyer. In e-tendering process MMTC's portal is used for electronic submission of bids against the tender enquiries. The prices from the buyers are received through MMTC's e-portal for which registered users are provided with passwords. After the scrutiny of profile of company, Credit ratings, Bank References, etc. Contract is finalized with the selected party.

##### 3) Iron Ore to Chinese Buyers – Free On Board Trimmed(FOBT) Basis

FOBT Supplier offers cargo for exports with quantity & quality details. The supplier also provides details of overseas buyers, port, export price, Laycan, other terms & specifications along with requisition and directly settles the term with the buyer. Once approved, MMTC signs the purchase contract with the supplier & Sale Contract with the overseas buyer respectively.

##### 4) Iron ore Export to China – MMTC's own shipment

Based on the procurement prices declared by CO Iron Ore Procurement Section, concerned RO/SRO circulates the price amongst mine-owners/traders/ prominent suppliers and orders are placed on interested suppliers. For new mine owners who want to register themselves with MMTC, MMTC conducts sampling at mine heads by a nominated assayer. Once quality report submitted by assayer is acceptable to MMTC, suppliers are allowed to commence movement of material and MMTC applies for requisition of railway rakes.

The Regional office appoints assayers to ensure quality as per purchase order. Assayer is responsible also for wagon assessment at the time of loading at loading station. Wagons cleaning, sampling/analysis, wagon assessment to determine weight of the material, is carried out in the presence of representatives of both supplier and buyer (MMTC). Subsequently, rake loading commences and after loading, rake is dispatched to the destination port. RR is obtained by MMTC and original RR is forwarded to unloading station.

At unloading station, on arrival of the rake, unloading of rake is arranged by MMTC through handling agent / port tippler plant. Concerned RO/SRO of MMTC appoints assayer for quality determination and also for wagon assessment.

As per the availability of quality and grade of Iron Ore at specific port, a global tender is floated by Iron Ore Sales Section at CO. Based on tender evaluation and buyer's financial health, H1 bidder is selected and MMTC signs a sale contract with the same. The Buyer then nominates the vessel and opens performance bank guarantee (as per sale contract) and LC which is scrutinized at RO level. Concerned RO/SRO complete pre/post-shipment formalities neither before accepting NOR of the vessel.

#### 1.4.1.1.5 Process Description

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Iron Ore Export – JSMs/POSCO (LTA)	
<b>1.1.</b>	Based on the guide lines received from the inter-ministerial meeting comprising of officials from Department of Commerce, Ministry of Steel, MMTC and NMDC, a delegation comprising of CMD MMTC, MoC, MoS & NMDC Officials visit Japan & South Korea yearly to finalize quantity & other terms	External to MMTC
<b>1.2.</b>	The buyer , in this case JSMs & POSCO sends a requisition for iron ore via MMTC Limited	JSMs / POSCO

Sr.No.	Process Detail	Responsibility Centre
1.3.	NMDC provides approval for the requisite quantity	NMDC
1.4.	Price Benchmarking is done every quarter which is based on Index of Spot Prices for previous 3 months and is calculated one month prior to commencement of next Quarter and these prices are also confirmed by NMDC	Iron Ore Sales Division & NMDC
1.5.	Tripartite Agreement is signed between the parties with all the terms & conditions Parties are : <ul style="list-style-type: none"> <li>• MMTC as Exporter</li> <li>• NMDC as Supplier</li> <li>• JSMs/POSCO as Buyer</li> </ul>	Iron Ore Sales Division
2.	Iron Ore Export – Chinese Buyer (MMTC/NMDC Ore)	
2.1.	Iron Ore Sales Section ascertains availability of cargo for exports from concerned ROs / NMDC.	
2.2.	A global tender is floated using e tendering facility at MMTC portal	Iron Ore Sales Division , System Division
2.3.	Based on tender evaluation , and the financial health of selected buyer sale contract is signed with selected buyer	Iron Ore Sales Division , System Division
3.	Iron Ore to Chinese Buyers – FOBT Basis	

Sr.No.	Process Detail	Responsibility Centre
3.1.	FOBT Supplier offers material to MMTC for exports with quality / quantity / overseas buyers details	FOBT Supplier
3.2.	MMTC scrutinizes the offer and accords approval	Iron Ore Sales Division
3.3.	Supplier settles the terms of sale directly with the overseas buyer	FOBT Supplier
3.4.	MMTC finalizes purchase contract with the Supplier & Sale contract with the Buyer	Concerned RO / Iron Ore sales Division
4.	Iron ore Export to China – MMTC’s own shipment	
4.1.	Based on prices declared by Iron Ore Procurement section, concerned RO/SRO arrange movement of iron ore on FOR basis and quality determination and wagon assessment through assayers	Iron ore Procurement cell
4.2.	At unloading station, unloading of rakes is arranged through handling agents/ port tippler plant. Quality determination and wagon assessment is arranged through assayers.	RO/SRO of MMTC at unloading station
4.3.	Based on the availability of Grade & Quantity of Iron Ore at specific port, MMTC floats a global tender.	Iron Ore Sales Division
4.4.	Based on tender evaluation and the financial health of selected buyer sale contract is signed with the selected buyer	Iron Ore Sales Division
4.5.	Buyer nominates the vessel, opens LC and performance bank guarantee as per contract. LC is scrutinized by respective Regional Office and BG by Corporate office	Buyer / Iron Ore Sales Division

### 1.4.1.2 Process for Shipping Schedule & Nomination of Vessel

#### 1.4.1.2.1 Description

The purpose of this process is to ensure pre-shipment formalities and necessary statutory compliances are followed at the time of vessel loading as per the contract.

#### 1.4.1.2.2 Process Summary

Name of process	Shipping Schedule & Vessel Nomination
<b>Process Goal</b>	
Pre-shipment formalities are completed and necessary statutory compliances are followed at the time of vessel loading as per the contract.	
<b>Process Owner</b>	
Regional Office	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Regional Office	<input checked="" type="checkbox"/> Sub-Regional Office <input checked="" type="checkbox"/> Customs / Port Authorities <input checked="" type="checkbox"/> Vessel Agent /Master

	<input checked="" type="checkbox"/> Handling agents  <input checked="" type="checkbox"/> Surveyors (Samplers, Weight, Assayers )
--	--

Name of process	Pre shipment documentation
<b>Process Goal</b>	
To process & complete all pre-shipment documentation before arrival of vessel	
<b>Process Owner</b>	
Regional / Sub regional office	
Input	Output
<input checked="" type="checkbox"/> Receipt of export duty & Port Charges from supplier  <input checked="" type="checkbox"/> Forward cover, if booked	<ol style="list-style-type: none"> <li>1. Generation of GR form</li> <li>2. Shipping Bill</li> <li>3. Proforma Invoice</li> <li>4. Drawl of sample at the time of loading into Vessel/Stuffing into Containers</li> <li>5. TML Certificate from supplier</li> <li>6. Date of booking of forward cover, exch rate, period for which FC is booked, amount</li> </ol>



<b>Process Details</b>	
<input checked="" type="checkbox"/> On receipt of export duty and Port charges form supplier, regional/ sub regional office processes Performa invoice, shipping bill, GR Form	
<input checked="" type="checkbox"/> Draft Shipping bill and GR Form is prepared by supplier and submitted to MMTC who verifies and signs it for onward submission with Customs authority	
<b>Reporting Requirements</b>	
<ul style="list-style-type: none"><li>• Name of the Buyer</li><li>• Name of vessel</li><li>• Shipping bill No.</li><li>• GR Form No.</li><li>• Date of "Let export order"</li><li>• TML Certificate No.</li><li>• Details of forward cover, date of booking, period for which FC is booked, amount, exch rate.</li></ul>	

Name of process	Serving of NOR
<b>Process Goal</b>	
To accept notice of readiness (NOR)	
<b>Process Owner</b>	
Regional / Sub regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> NOR from master of vessel/agent	1. Acceptance of NOR by MMTC
<b>Process Details</b>	
<input checked="" type="checkbox"/> Master/agent of vessel serves notice of readiness to sub regional office as per contract <input checked="" type="checkbox"/> Following documents/conditions are checked before accepting the NOR: <ol style="list-style-type: none"> <li>1. Receipt of Workable LC</li> <li>2. Registration Certificate</li> <li>3. Fitness Certificate &amp; P&amp;I Club Membership</li> <li>4. "Let Export Order" from Customs authority</li> <li>5. Vessel is within laycan</li> </ol>	

Cargo readiness is ensured

Reporting Requirements

Reports having following details:

- Buyer's name
- Vessel's Name
- NOR date
- Acceptance date
- Any comments or remarks

Name of process	Pre-loading operations
<b>Process Goal</b>	
To complete all loading formalities at port & custom level	
<b>Process Owner</b>	
Regional / Sub regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Daily traffic rotation meetings	<b>1.</b> Finalization of berthing schedule
<b>Process Details</b>	
<input checked="" type="checkbox"/> Port authorities conducts daily traffic meetings with exporters, shipping agents and supplier agents <input checked="" type="checkbox"/> On finalization of berthing schedule, stowage plan is provided to port authorities <input checked="" type="checkbox"/> Loading plan and transit moisture limit are verified for acceptance <input checked="" type="checkbox"/> Hatch inspection by Assayers <input checked="" type="checkbox"/> Initial draft survey by Surveyor	
<b>Reporting Requirements</b>	
<ul style="list-style-type: none"> <li>• Daily progress report</li> <li>• Hatch Inspection Report</li> </ul>	

- Initial Draft Survey Report

Name of process	Loading of vessel
<b>Process Goal</b>	
To complete all loading operations as per compliance & contract terms	
<b>Process Owner</b>	
Regional / Sub regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Stowage plan	<input checked="" type="checkbox"/> Daily Progress Report <input checked="" type="checkbox"/> Report of sampling agency for quality & quantity <input checked="" type="checkbox"/> Initial draft survey
<b>Process Details</b>	
<input checked="" type="checkbox"/> As per stowage plan and after receipt of Hatch inspection certificate from Assayer, supplier does the loading of vessel ,duly monitored by surveying agency or owner <input checked="" type="checkbox"/> MMTC monitors loading operations through port office. <input checked="" type="checkbox"/> Mate receipt is obtained from master of the vessel after completion of loading <input checked="" type="checkbox"/> Statement of fact (SOF) is prepared and signed by master of vessel, shipping agent, supplier and MMTC	

Original Mate Receipt is surrendered and Bill of lading is obtained from agent of vessel

### Reporting Requirements

Report having details of following:

- Name of the Buyer.
- Vessel's name
- Engaged Quantity
- On board quantity
- Mate receipt No, date & time
- Bill of Lading No.
- Any short loaded quantity for calculation of dead freight

Name of process	Preparation of post shipment documents
<b>Process Goal</b>	
To process & complete all post-shipment formalities before vessel sails	
<b>Process Owner</b>	
Regional / Sub regional office	
Input	Output
<input checked="" type="checkbox"/> Generation of Bill of lading <input checked="" type="checkbox"/> Daily loading report <input checked="" type="checkbox"/> Loading completion <input checked="" type="checkbox"/> Proforma invoice <input checked="" type="checkbox"/> Application to the Chamber of Commerce	<ol style="list-style-type: none"> <li>1. Mate Receipt</li> <li>2. Weight Certificate</li> <li>3. Final draft Survey Report</li> <li>4. Statement of Facts</li> <li>5. Final Shipping bill &amp; GR Form</li> <li>6. Bill of lading (on surrender of original Mate Receipt)</li> <li>7. Quality Certificate</li> <li>8. Certificate of Origin</li> <li>9. Commercial Invoice</li> </ol>



	<p><b>10. Shipping/Sailing Advice</b></p> <p><b>11. Sight Draft for drawing payment through LC</b></p> <p><b>12. Short Shipment Notice, if required</b></p> <ul style="list-style-type: none"><li>• No dead freight, no damages certificate</li><li>• Refund claim from Customs/Port authorities for short shipped quantity</li><li>• Lay Days Statement (to calculate dispatch / demurrage), if required as per contract</li><li>• Shut out advice</li></ul>
<b>Reporting Requirements</b>	
<p>Report having details of following:</p> <ul style="list-style-type: none"><li>• Name of the Buyer</li><li>• Vessel's name</li><li>• Engaged Quantity</li><li>• On board quantity</li><li>• Mate receipt No, date &amp; time</li><li>• Bill of Lading No.</li><li>• Sailing Advice</li><li>• Any short loaded quantity for calculation of dead freight</li></ul>	

Name of process	Negotiations of documents for payment through LC
<b>Process Goal</b>	
To get payment from overseas buyer against LC	
<b>Process Owner</b>	
Regional Office	
Input	Output
<input checked="" type="checkbox"/> Letter to bank for negotiation along with original document as per LC.	<ol style="list-style-type: none"> <li>1. Receipt of Credit advice or acknowledgement of documents from bank</li> <li>2. Credit advice on receipt of payment from opening bank on due date.</li> </ol>
<b>Process Details</b>	
<input checked="" type="checkbox"/> LC negotiations are carried out with banking channels with banking channels by submitting documents <input checked="" type="checkbox"/> Verification at MMTC office level <input checked="" type="checkbox"/> Submission of documents to negotiating bank & opening bank.	
<b>Reporting Requirements</b>	
Report having details of following: <ul style="list-style-type: none"> <li>• LC Number</li> <li>• Date of submission of documents</li> <li>• Amount of LC</li> </ul>	

- LC validity

Name of process	Post Shipments
<b>Process Goal</b>	
To get remittance from bank	
<b>Process Owner</b>	
Regional Office	
Input	Output
<input checked="" type="checkbox"/> Submission of Invoice, Draft, LC and other shipping documents as per LC to Negotiating bank <input checked="" type="checkbox"/> Appointment of discharge port surveyor by CO	<input checked="" type="checkbox"/> Payment advice from negotiating bank <input checked="" type="checkbox"/> Bank Realization Certificate <input checked="" type="checkbox"/> Refund claim of export duty or payment of additional export duty
<b>Process Details</b>	
<input checked="" type="checkbox"/> After preparation of invoice, RO shall calculate final export duty on the basis of "ACTUAL TRANSACTION VALUE" and make final settlement of export duty with customs authority. <input checked="" type="checkbox"/> Additional export duty, if payable is to be intimated to NMDC for arranging payment. In case export duty paid initially is found to be in excess, refund claim shall be filed by RO	

- Opening bank of foreign buyer make remittance to the Negotiating bank
- Amount is credited in MMTC account at RO indicating exchange rate
- Bank Charges are deducted by Bank
- After MMTC has prepared its invoice for overseas supplier, final export duty is recalculated based on actual transaction value. If additional export duty is to be paid, it is released to Customs authorities and if it is found that excess is paid, refund claim is filed.

#### Reporting Requirements

- Buyer's Name
- MMTC's Invoice Value (USD)
- Sale Value (INR)
- Payment received in USD
- Date of realization of payment
- Exchange rate
- Payment received in INR
- Date of Forward Cover, if any
- Amount of forward cover
- Exch rate of forward cover
- Bank Charges
- Difference between Invoice Value and BRC Value, if any

Name of process	Payment to supplier
<b>Process Goal</b>	
To release payment to supplier against their invoice	
<b>Process Owner</b>	
Regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Supplier's Invoice <input checked="" type="checkbox"/> Bank Credit advice	<input checked="" type="checkbox"/> Release of payment.
<b>Process Details</b>	
<input checked="" type="checkbox"/> Supplier raises purchase invoice to MMTC <input checked="" type="checkbox"/> On the basis of supplier's invoice and MMTC's sale realization, payment is released in INR to supplier after deducting bank charges and other expenses, if any incurred by MMTC on behalf of supplier. Exch gain / loss on forward cover, if any, is to be shared equally between MMTC & NMDC. <input checked="" type="checkbox"/> Form H is issued to supplier for sales tax	
<b>Reporting Requirements</b>	
Reports should have following details:	

- Name of supplier/foreign buyer
- Supplier's Invoice
- Purchase Value (INR)
- Deductions from purchase value
- Amount paid in INR
- Payment advice
- Trading margin (Sale Value – Purchase Value)
- Whether gain / loss on forward cover is settled with supplier (Yes / No)

Name of process	Final settlement with Buyer & supplier
<b>Process Goal</b>	
To get final payment from Buyer & release final payment to supplier based on discharge port results	
<b>Process Owner</b>	
Regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Discharge port results  <input checked="" type="checkbox"/> Final invoice from buyer	<input checked="" type="checkbox"/> Final invoice of MMTC  <input checked="" type="checkbox"/> Debit / credit note  <input checked="" type="checkbox"/> Receipt of final payment from buyer or remittance of overdrawn value to buyer  <input checked="" type="checkbox"/> Final settlement with NMDC
<b>Process Details</b>	
<input checked="" type="checkbox"/> Based on discharge port results, buyer forwards to MMTC their invoice <input checked="" type="checkbox"/> In case of overdrawn value, MMTC remits the overdrawn value to the buyer and claim the amount from NMDC. <input checked="" type="checkbox"/> In case, value is due to MMTC, MMTC forwards it's invoice to the buyer and on receipt of payment from buyer, NMDC's a/c is settled. <input checked="" type="checkbox"/> On the basis of supplier's invoice and MMTC's sale realization, payment is released in INR to supplier after deducting bank charges and other expenses, if any incurred by MMTC on behalf of supplier.	

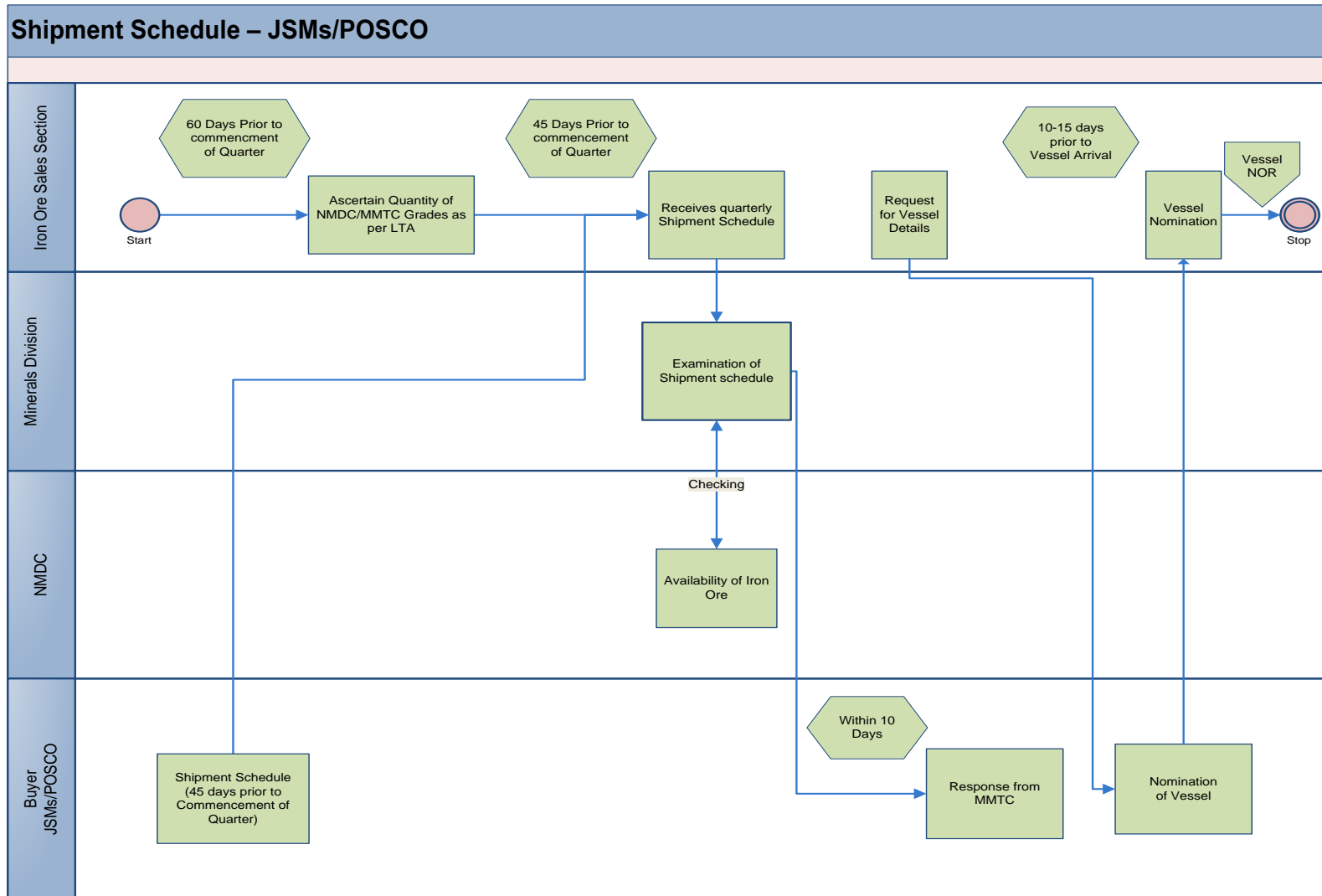
**Reporting Requirements**

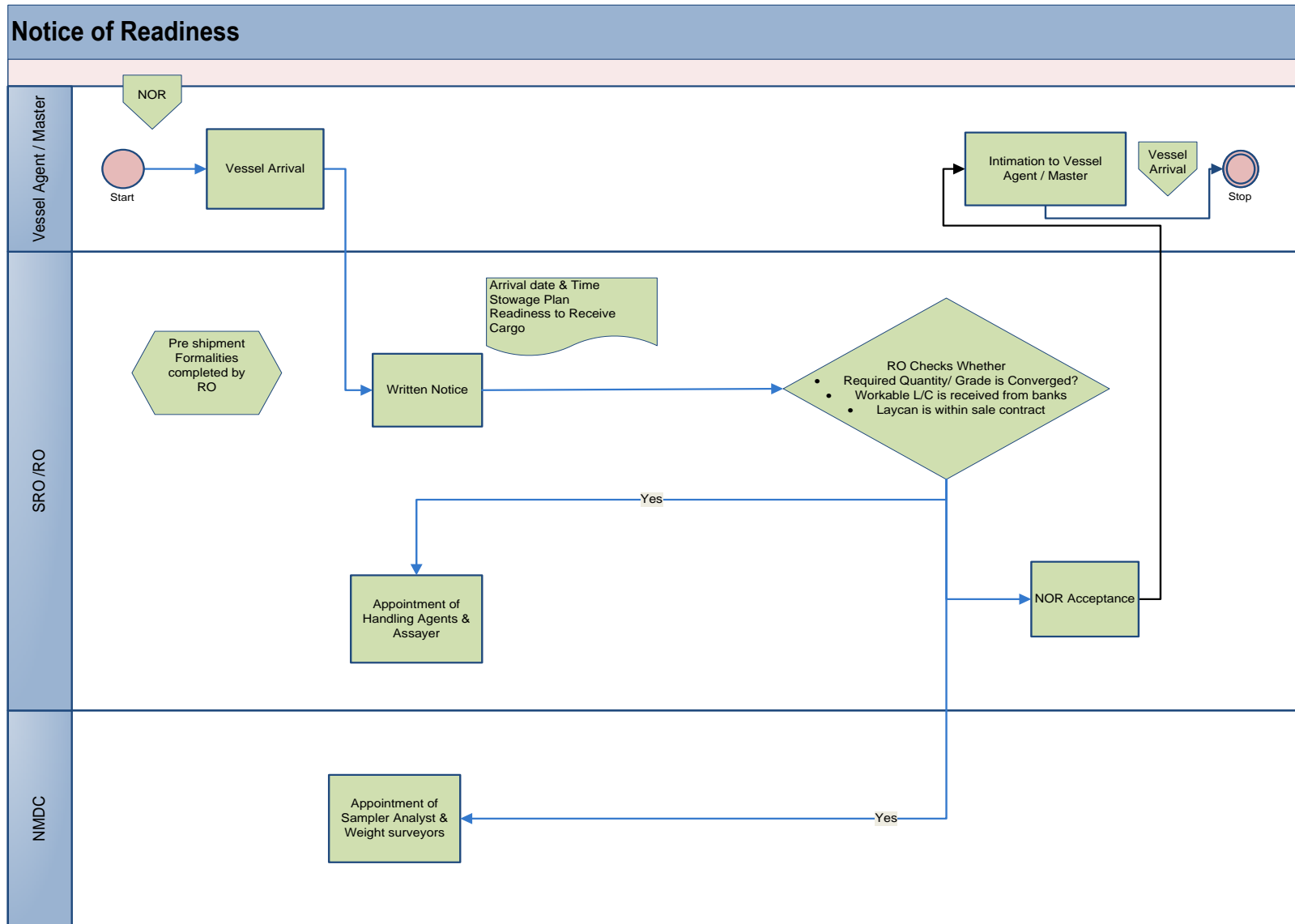
Reports should have following details:

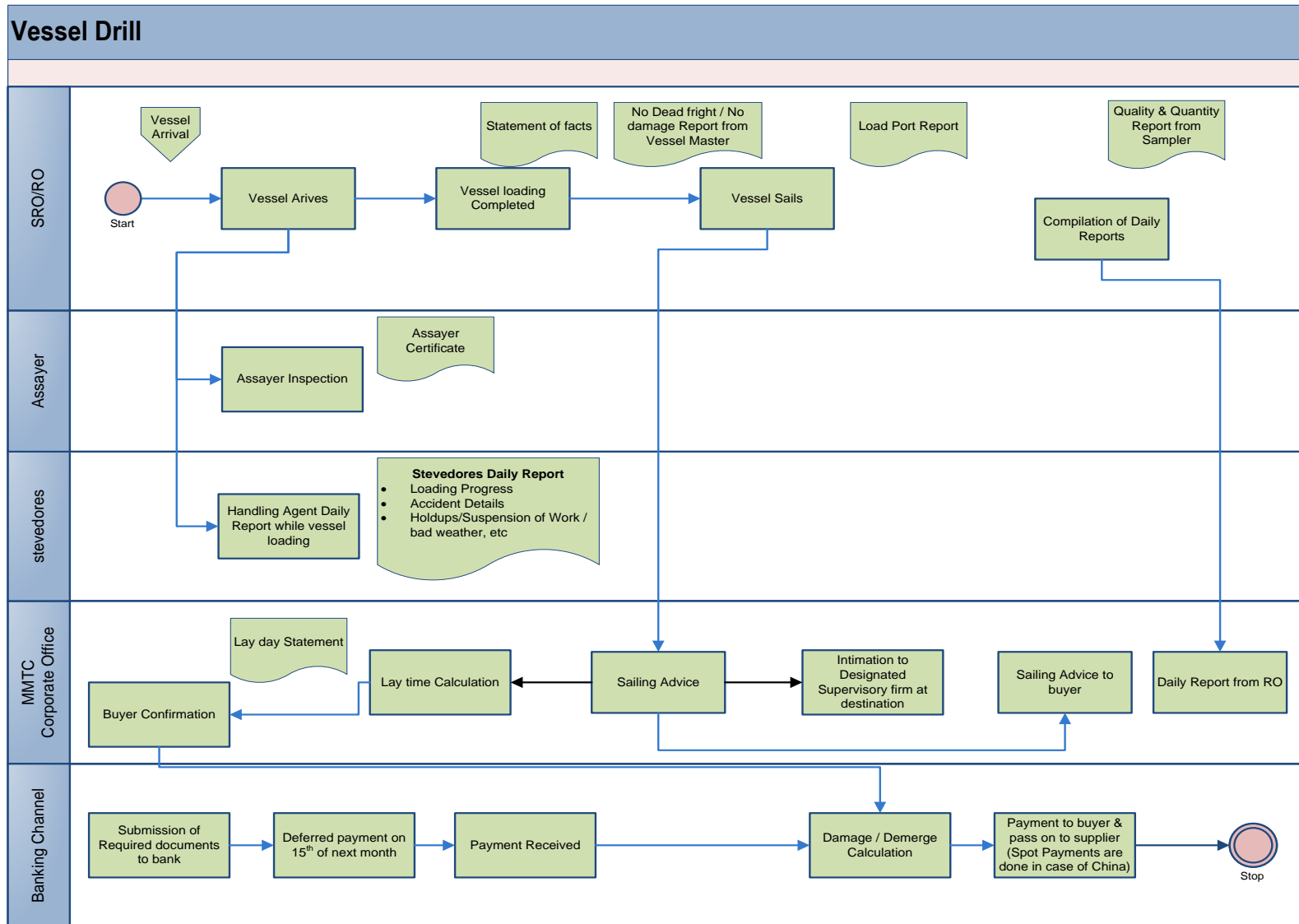
- Name of supplier/foreign buyer
- Supplier's Invoice
- Comparison of discharge port analysis with loadport analysis
- Final 100% invoice value vis a vis provisional value drawn against Lc
- Payment / remittance advice
- Trading margin (Sale Value – Purchase Value) for the vessel

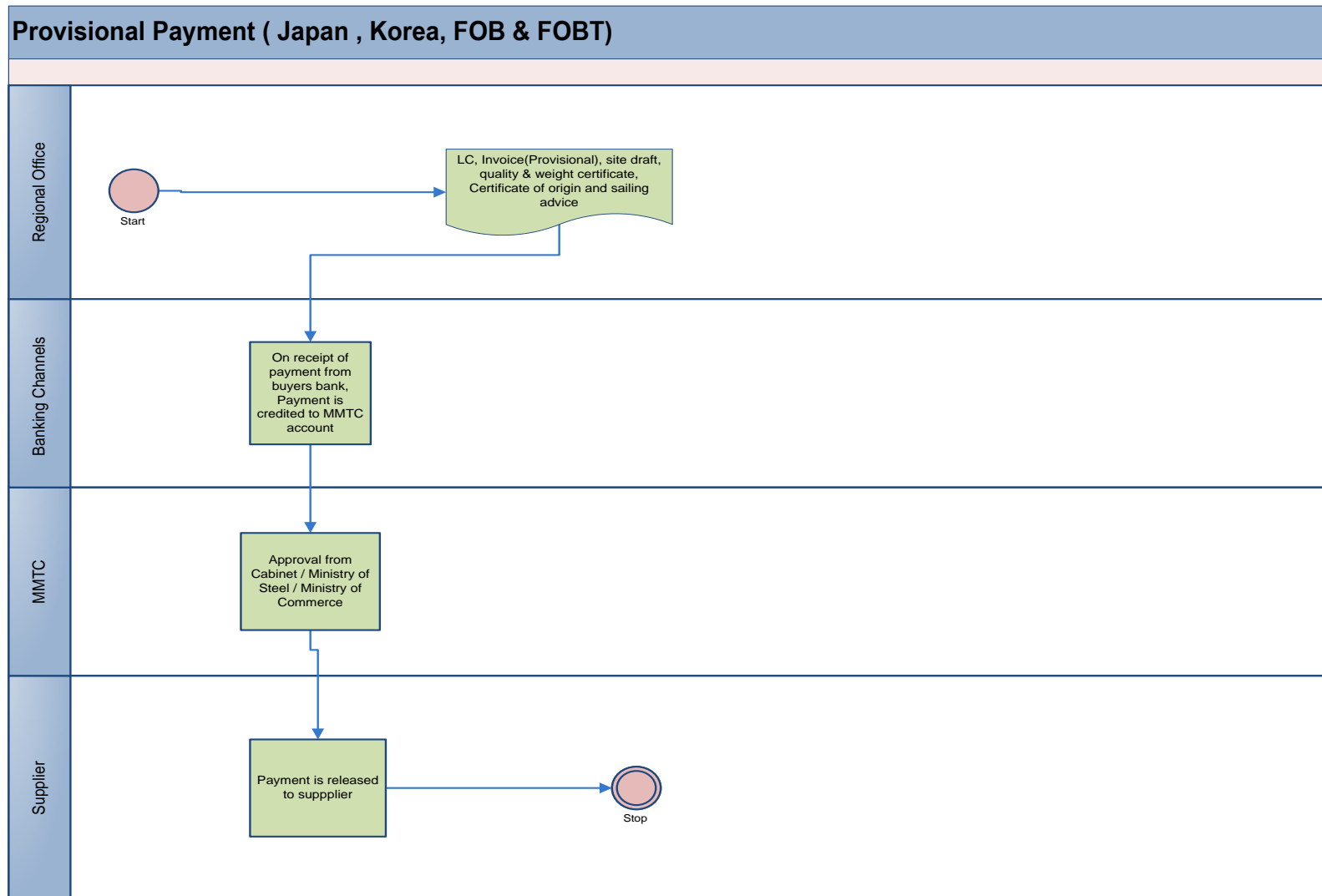


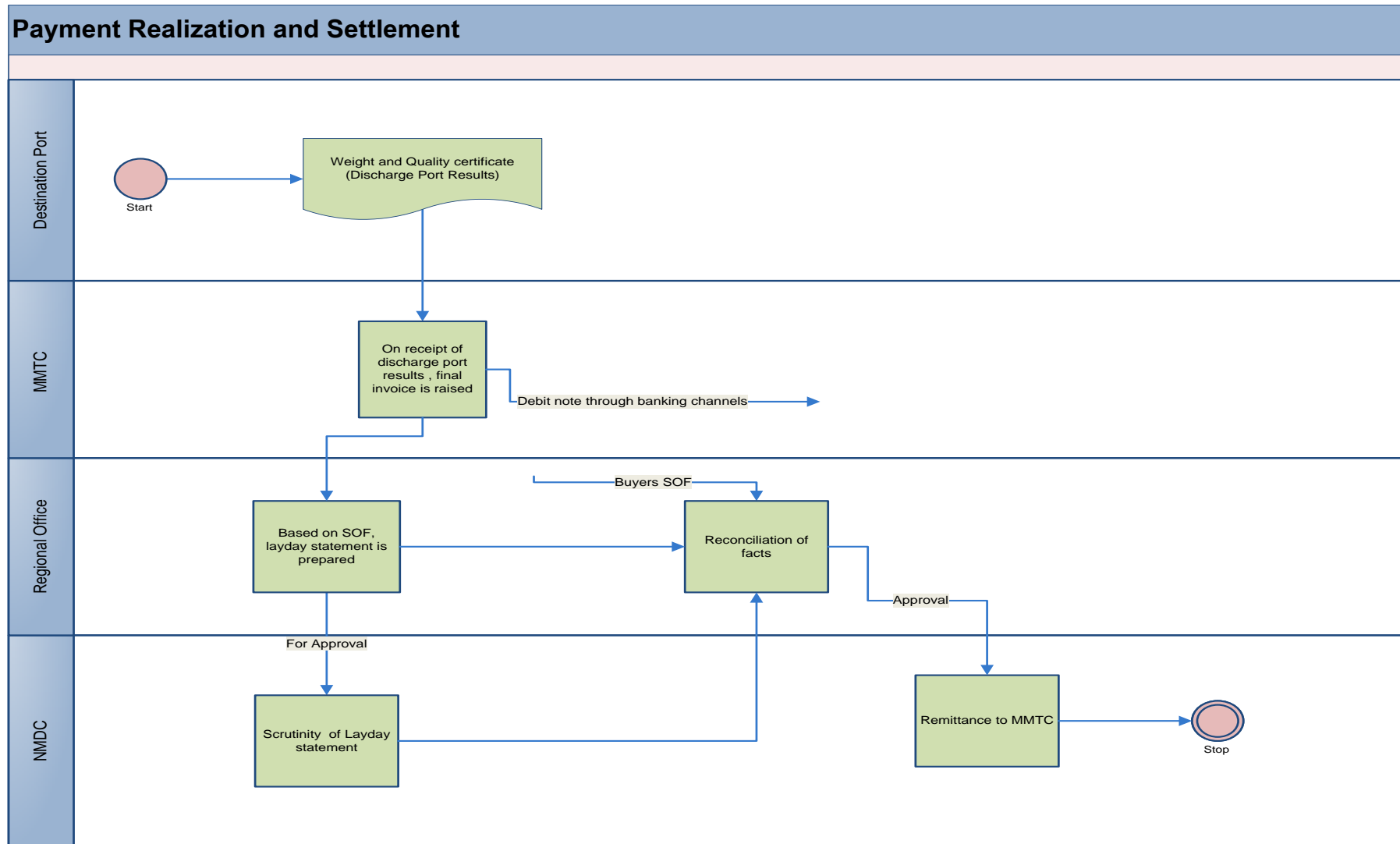
1.4.1.2.3 Process Map











#### **1.4.1.2.4 Process Description**

##### **1) Shipment Schedule**

Iron Ore Sales Section ascertains if the quantity, grade and other parameters of ore as per contract and is available, 60 days prior to commencement of quarter. 45 days ahead of commencement of quarter shipment schedule is examined and shared with all stakeholders i.e. NMDC & the Buyer. MMTC then requests the buyer to respond with the vessel details 10-15 days prior to the vessel arrival.

##### **2) Notice of Readiness**

As soon as the vessel arrives in the vicinity of the port, the vessel agent or master gives a written notice to the SRO/ RO which has the details of arrival date & stowage plan attached with it. The SRO/RO is responsible for completing the pre-shipment formalities beforehand. The RO then ensures the required quantity and grade of ore is converged and a workable Letter of Credit is received from bank. Upon acceptance of the NOR, the same is intimated to the vessel agent/master followed by appointment handling agent & assayer. Simultaneously NMDC appoints sampler analyst & weight surveyors.

##### **3) Vessel Drill / Operations**

Once the vessel arrives on port, an independent assayer performs vessel survey & provides fitness certificate. Handling agents provides daily report of loading operations. Once vessel loading is completed shipping documents like Mate receipt, Bills of Lading etc are obtained and the vessel sails, a sailing advice is generated and forwarded to the corporate office (CO). At the CO, the sailing advice is sent to supervisory firm at destination.

##### **4) Realization of Payment**

To obtain payment from overseas buyer through letter of credit, concerned RO prepares invoice and bill of exchange as per LC and submit all necessary documents with negotiating bank. Negotiating bank checks the documents with reference to LC and claims reimbursement from the

LC opening bank. On receipt of payment from LC opening bank, MMTC's account is credited. Payments to all suppliers (except FOR supplier who are paid based on rake loading result) are released within 3 days of receipt of payment by MMTC from overseas buyers. In case of Japanese export, payment is released on 15<sup>th</sup> of next month of shipment.

When discharge results (Quality and weight certificate) are received from destination port in 60-90 days, final invoice is raised by MMTC and debit note is submitted to banking channels. For dispatch and demurrage settlement, regional office prepares lay day statement based on statement of facts. As per NMDC approvals in consultation with MMTC and buyer final reconciliation is done. If amount is payable, amount is taken from supplier and passed it on to buyer while if it is receivable, buyer credits it to MMTC and it is passed on to the supplier.

#### 1.4.1.2.5 Process Description

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Shipment Schedule	
<b>1.1.</b>	Ascertain the quality / grade of Ore as per LTA contract , 60 days prior to commencement of quarter	Iron Ore Sales Division / NMDC
<b>1.2.</b>	Creation of quarterly Shipment Schedule examination & seeking acceptance from all stakeholders including Regional office, buyer and NMDC, 45 days prior to commencement of quarter	Minerals Division / Iron Ore sales Division
<b>1.3.</b>	MMTC sends request for Vessel Nomination to buyers	Iron Ore Sales Division
<b>1.4.</b>	Buyer nominates Vessel and conveys details to MMTC	Buyer
<b>1.5.</b>	After verifying the details and receipt of FOB supplier's confirmation, nomination is accepted by MMTC.	Supplier/MMTC
<b>1.6.</b>	Buyer opens a LC in favor of MMTC, which is duly checked by concerned RO of MMTC	MMTC

Sr.No.	Process Detail	Responsibility Centre
<b>1.7.</b>	Assayer/Surveyor/Handling agent is appointed by Supplier/MMTC	Supplier/MMTC
<b>2.</b>	Notice for readiness (NOR)	
<b>2.1.</b>	Vessel agent / master gives a written notice to SRO/RO with arrival date & time along with stowage plan	Vessel Master/agent
<b>2.2.</b>	Pre shipment formalities (liaisoning with Customs & Port Authorities )are completed before vessel arrives	SRO/RO
<b>2.3.</b>	Scrutiny of Letter of Credit along with the sale contract & ascertaining convergence of required Quantity/grade of ore	SRO/RO
<b>2.4.</b>	The vessel agent /master is sent an acceptance of Notice of Readiness	SRO/RO
<b>3.</b>	Vessel Drill	
<b>3.1.</b>	On Vessel arrival , assayer conducts vessel inspection & provides assayer certificate for fitness of vessel	Assayer
<b>3.2.</b>	During vessel loading , daily operational incidents & progress is reported which includes loading progress ,daily accidents along with details for holdup, suspension of work, bad weather, etc.	Stevedores
<b>3.3.</b>	Once vessel is loaded , detailed statements of facts is compiled & signed by Master/Vessel's Agent and Shipper/shipper's agent	SRO/RO
<b>3.4.</b>	Before vessel sails , documents like Mate Receipt, Weight Certificate, No dead freight / damage report is obtained by concerned SRO/ RO of MMTC from Master of the vessel	Vessel master/agent
<b>3.5.</b>	Final Sailing advice is prepared & sent to Corporate Office/Buyer	SRO/RO



Sr.No.	Process Detail	Responsibility Centre
3.6.	Concerned SRO/RO obtains all shipping documents like quality certificate, draft survey report, Certificate of Origin and any other document required as per LC. RO prepares invoice and bill of exchange and submit all documents along with LC with negotiating bank for obtaining payment through banking channels	RO
3.7.	After realization of payment by MMTC, MMTC releases payment to its suppliers (NMDC, FOB suppliers as the case may be)	RO
3.8.	Based of Statement of Facts and Sale Contract, Lay Time Calculation is done by RO and forwarded to supplier for their consent. After approval of the supplier, the same is forwarded to the Buyer for confirmation.	RO
3.9.	Sale / Purchase are booked by RO	RO
4.	Final Payment realization	
4.1.	Weight and quality surveys are received from discharge port within 60-90 days	Discharge port surveyor
4.2.	Final invoice is raised after receiving discharge port results and debit note is forwarded to banking channels and payment is obtained	MMTC
4.3.	Final adjustment in Supplier's and Buyer's a/c are made for residual value of shipment	RO
4.4.	Reconciliation of statements is performed and approved	NMDC, buyer and Regional office

#### 1.4.2 Export of Chrome Ore, Chrome Concentrate and Manganese Ore on FOB Basis

The Mineral division of MMTC exports Manganese and chrome ore on FOB (free on board) Basis. The Export comprises of series of activities performed by various stakeholders in consultation with each other.

- Chrome Producers meet
- Tendering
- Contracting
- Furnishing of Bank Guarantee(BG)
- Letter of credit(LC) opening
- Vessel Nomination
- Pre-shipment documents Completion
- Serving of Notice of readiness(NOR)
- Pre loading operations
- Loading of vessel
- Preparation of Post shipment documents
- Negotiation of documents for payments
- Realization of payment
- Payment to supplier
- Release of performance guarantee (PG)

<b>Name of process</b>	<b>Chrome producers meet</b>
<b>Process Goal</b>	
To arrange chrome producers meet & decide on reserve prices and other terms & conditions	
<b>Process Owner</b>	
Mineral division, Corporate Office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Invitation to supplier <input checked="" type="checkbox"/> Finalization of agenda for meet <input checked="" type="checkbox"/> Preparation of write up having brief details for meet	<input checked="" type="checkbox"/> Reserve prices and other terms & conditions <input checked="" type="checkbox"/> Minutes of meeting of the meet <input checked="" type="checkbox"/> Circulation to all concerned suppliers
<b>Process Details</b>	

<input checked="" type="checkbox"/> Chrome producers meet is organized by Minerals division for which invitation is sent to all suppliers with an agenda & brief write up
<input checked="" type="checkbox"/> During the meet, suppliers provide input on market conditions and with due consultation reserve prices and other terms & conditions are finalized
<input checked="" type="checkbox"/> The output of meeting is duly recorded and circulated amongst all concerned stakeholders
<b>Reporting Requirements</b>
<input checked="" type="checkbox"/> Minutes of Chrome producers meet i.e. the output of meet such as details of reserve prices & grade of ore

Name of process	Tendering
<b>Process Goal</b>	
To float a tender for export of ore	
<b>Process Owner</b>	
Mineral division, Corporate Office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Offer from supplier	<input checked="" type="checkbox"/> Award of tender to H1 bidder
<b>Process Details</b>	

- MMTC receives offer from interested supplier with specifications of ore quantity & grade
- Approval of competent authority is taken for floating a tender for said quantity & grade of ore
- Tender is published on MMTC and CPP website and is simultaneously published in India trade Journal along with two(2) national daily newspapers (One each in English & Hindi)
- Minimum 21 day's time is allowed for bidding against the tender.
- Technical bids are received in physical format while price bids are received via electronic mode
- As per the tender closing date, bids are scrutinized and validated and tender is awarded to H1 bidder after approval from competent authority. The same is notified on the website as well.
- For Manganese ore, if only one bid is received, the retendering process is initiated and again if only one bid is received as per approval from competent authority tender is awarded.
- In case of Chrome, single bid is acceptable if the same is above the reserve price declared in the producer's meeting.

#### **Reporting Requirements**

- Reports having details of tendering process with details of following:
  1. Tender Number
  2. Bids received
  3. Successful bid
  4. Grade
  5. Successful bidder
  6. Quantity awarded

- |  |
|--|
| <ul style="list-style-type: none"><li><b>7. Total Value</b></li><li><b>8. EMD Amount</b></li></ul> |
|--|

Name of process		Contracting	
<b>Process Goal</b>			
To draw a sale contract between buyer & MMTC and a purchase contract between the supplier & concerned regional office			
<b>Process Owner</b>			
Mineral division, Corporate Office			
<b>Input</b>		<b>Output</b>	
<input checked="" type="checkbox"/> Award of contract		<input checked="" type="checkbox"/> Signing of sale and purchase contract  <input checked="" type="checkbox"/> Copies of contract forwarded to all stakeholders <ol style="list-style-type: none"> <li>1. Sale Contract to buyer</li> <li>2. Sale and purchase contract to supplier</li> <li>3. Sale and purchase contract to concerned regional office</li> </ol>	
<b>Process Details</b>			
<input checked="" type="checkbox"/> Sale contract is drawn between MMTC and H1 Bidder while purchase contract is drawn between MMTC and supplier and forwarded to Buyer and supplier for signature.			
<input checked="" type="checkbox"/> After contracts are duly signed and verified by MMTC, copies of contracts are forwarded to all concerned.			

1. Sale Contract to buyer
2. Sale and purchase contract to supplier
3. Sale and purchase contract to concerned regional office

As per the contract, performance guarantee is submitted by the buyer and concerned regional office starts ground level work

#### **Reporting Requirements**

Reports having details of contracting process with details of following:

1. Contract Number
2. Name of the Buyer
3. Name of the Supplier
4. Contracted Quantity
5. Grade
6. Unit price
7. Total value
8. Shipment period



Name of process	Furnishing of Bank Guarantee
<b>Process Goal</b>	
To establish performance guarantee by the buyer through Indian bank	
<b>Process Owner</b>	
Mineral division, Corporate Office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Intimation to buyer <input checked="" type="checkbox"/> Sale Contract	<ol style="list-style-type: none"> <li>1. Receipt of BG</li> <li>2. Confirmation of BG with issuing bank</li> <li>3. Copy of BG is forwarded to concerned regional office</li> </ol>
<b>Process Details</b>	
<input checked="" type="checkbox"/> MMTC intimates the buyer regarding the amount of BG needs to be furnished within 10 working days in terms of sale contract <input checked="" type="checkbox"/> Buyer establishes BG through Indian bank	
<input checked="" type="checkbox"/> Once confirmation is received with the issuing bank , A copy of BG is sent to concerned regional office <input checked="" type="checkbox"/> In case the contract obligations are not fulfilled, BG is invoked	
<b>Reporting Requirements (BG Register Reports having following details)</b>	
<ol style="list-style-type: none"> <li>1. BG No</li> <li>2. BG issuing date</li> </ol>	

- 3.** BG amount USD
- 4.** Issuing Bank
- 5.** Purpose(EMD or PBG)
- 6.** Valid till date
- 7.** Claim period
- 8.** Last date of shipment

Name of process	LC opening
<b>Process Goal</b>	
To open letter of credit by the buyer as per contracting terms	
<b>Process Owner</b>	
Regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Buyer's application for LC	<b>1.</b> Letter of credit
<b>Process Details</b>	
<input checked="" type="checkbox"/> Buyer establishes letter of credit as per contract terms in favor of MMTC Limited at regional office <input checked="" type="checkbox"/> The buyer shall establish workable LC at least two days before vessel's arrival <input checked="" type="checkbox"/> Verification of Letter of credit, In case of LC is not workable and amendments are required, buyer is contacted and necessary amendments are made by the buyer	
<b>Reporting Requirements</b>	

Report having details of following:

1. Contract No
2. LC Number
3. Value
4. Validity
5. Name of the party
6. Any discrepancy

Name of process		Vessel Nomination	
<b>Process Goal</b>			
To receive nomination of vessel by the buyer			
<b>Process Owner</b>			
Mineral division, Corporate Office			
<b>Input</b>		<b>Output</b>	
<input checked="" type="checkbox"/> Nomination of vessel from buyer		1. Acceptance of vessel	
<b>Process Details</b>			
<input checked="" type="checkbox"/> Buyer nominates a vessel and sends the information to corporate office			
<input checked="" type="checkbox"/> Corporate office forwards the vessel details to supplier for confirmation & acceptance			

- After receipt from supplier for acceptance of same, CO intimates buyer about acceptance of nominated vessel
- Copy of vessel acceptance is sent to concerned Regional office and port office against the sale contract

**Reporting Requirements**

Report having details of following:

1. Vessel Name
2. ETA
3. Engagement qty  $\pm 10\%$
4. Grade for loading
5. Laycan period
6. Contract number
7. LC No.
8. Stowage Plan

Name of process	Pre shipment documentation
<b>Process Goal</b>	
To process & complete all pre-shipment documentation before arrival of vessel	
<b>Process Owner</b>	
Regional / Sub regional office	
Input	Output
<input checked="" type="checkbox"/> Receipt of export duty from supplier/buyer	<ol style="list-style-type: none"> <li>1. Generation of GR form</li> <li>2. Shipping Bill</li> <li>3. Proforma Invoice</li> <li>4. Drawl of sample at the time of loading into Vessel/Stuffing into Containers</li> <li>5. TML Certificate from supplier</li> </ol>
<b>Process Details</b>	
<input checked="" type="checkbox"/> On receipt of export duty form supplier or buyer, regional/ sub regional office processes Performa invoice, shipping bill, GR Form  <input checked="" type="checkbox"/> Draft Shipping bill and GR Form is prepared by supplier and submitted to MMTC (SRO) who verifies and signs it for onward submission with Customs authority	
<b>Reporting Requirements</b>	

- Contract No.
- Name of vessel
- Shipping bill No.
- GR Form No.
- Date of “Let export order”
- TML Certificate No.

Name of process	Serving of NOR
<b>Process Goal</b>	
To accept notice of readiness (NOR)	
<b>Process Owner</b>	
Regional / Sub regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> NOR from master of vessel/agent	1. Acceptance of NOR by MMTC
<b>Process Details</b>	
<input checked="" type="checkbox"/> Master/agent of vessel serves notice of readiness to sub regional office <ol style="list-style-type: none"> <li>1. 10 days before arrival</li> <li>2. 48 hrs. before arrival</li> <li>3. 24 hrs. before arrival to lighthouse</li> </ol> <input checked="" type="checkbox"/> Following documents/conditions are checked before accepting the NOR: <ol style="list-style-type: none"> <li>1. Receipt of Workable LC</li> <li>2. Registration Certificate</li> </ol>	



3. Fitness Certificate & P&I Club Membership

4. "Let Export Order" from Customs authority

5. Vessel is within laycan

- Based on all the above mentioned conditions, NOR Acceptance is obtained from associate supplier and thereafter NOR acceptance is provided to vessel master
- Cargo readiness is ensured
- If documentation is not completed, conditional acceptance is provided which will be taken into consideration while calculation of detention charges

#### Reporting Requirements

Reports having following details:

- Contract No
- Vessel's Name
- NOR date
- Acceptance date
- Any comments or remarks

Name of process	Pre-loading operations
<b>Process Goal</b>	
To complete all loading formalities at port & custom level	
<b>Process Owner</b>	
Regional / Sub regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Daily traffic rotation meetings	<b>1.</b> Finalization of berthing schedule
<b>Process Details</b>	
<input checked="" type="checkbox"/> Port authorities conducts daily traffic meetings with exporters, shipping agents and supplier agents <input checked="" type="checkbox"/> On finalization of berthing schedule, stowage plan is provided to port authorities <input checked="" type="checkbox"/> Loading plan and transit moisture limit are verified for acceptance <input checked="" type="checkbox"/> Hatch inspection by Assayers appointed by Seller <input checked="" type="checkbox"/> Initial draft survey by Surveyor appointed by Seller	
<b>Reporting Requirements</b>	
<ul style="list-style-type: none"> <li>• Daily progress report</li> <li>• Hatch Inspection Report</li> </ul>	

- Initial Draft Survey Report

Name of process	Loading of vessel
<b>Process Goal</b>	
To complete all loading operations as per compliance & contract terms	
<b>Process Owner</b>	
Regional / Sub regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Stowage plan	<input checked="" type="checkbox"/> Daily Progress Report  <input checked="" type="checkbox"/> Initial draft survey
<b>Process Details</b>	
<input checked="" type="checkbox"/> As per stowage plan and after receipt of Hatch inspection certificate from Assayer, supplier does the loading of vessel ,duly monitored by surveying agency or owner  <input checked="" type="checkbox"/> MMTC monitors loading operations through port office.	

- Mate receipt is obtained from master of the vessel after completion of loading
- Statement of fact (SOF) is prepared and signed by master of vessel, shipping agent, supplier and MMTC
- Original Mate Receipt is surrendered and Bill of lading is obtained from agent of vessel

**Reporting Requirements**

Report having details of following:

- Contract No.
- Vessel's name
- Engaged Quantity
- On board quantity
- Mate receipt No, date & time
- Bill of Lading No.
- Any short loaded quantity for calculation of dead freight

Name of process	Preparation of post shipment documents
<b>Process Goal</b>	
To process & complete all post-shipment formalities before vessel sails	
<b>Process Owner</b>	
Regional / Sub regional office	
Input	Output
<input checked="" type="checkbox"/> Generation of Bill of lading <input checked="" type="checkbox"/> Daily loading report <input checked="" type="checkbox"/> Loading completion	<ol style="list-style-type: none"> <li>1. Mate Receipt</li> <li>2. Weight Certificate</li> <li>3. Final draft Survey Report</li> <li>4. Statement of Facts</li> <li>5. Final Shipping bill</li> <li>6. Bill of lading (on surrender of original Mate Receipt)</li> <li>7. Quality Certificate</li> <li>8. Certificate of Origin</li> <li>9. Commercial Invoice</li> </ol>

	<p><b>10. Shipping Advice</b></p> <p><b>11. Sight Draft for drawing payment through LC</b></p> <p><b>12. Short Shipment Notice, if required</b></p> <ul style="list-style-type: none"> <li>• No dead freight, no damages certificate</li> <li>• Refund claim from Customs/Port authorities for short shipped quantity</li> <li>• Lay Days Statement (to calculate dispatch / demurrage), if required as per contract</li> </ul>
<b>Process Details</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> All post shipment documents are prepared &amp; complied in terms of LC and contract</li> <li><input checked="" type="checkbox"/> Certificate of Origin issued by Chamber of Commerce &amp; Industries, Quality Certificate, Weight certificate or Draft survey report issued by assayers, SOF signed by master of vessel, shipping agent, MMTC port office.</li> <li><input checked="" type="checkbox"/> Copy outputs as shown above.</li> <li><input checked="" type="checkbox"/> Commercial invoice against LC</li> <li><input checked="" type="checkbox"/> Bill of lading signed by mater of vessel or their behalf of vessel's Agent.</li> </ul>	
<b>Reporting Requirements</b>	

1. Contract No.
2. Name of Vessel
3. Bill of lading No.
4. Commercial invoice No., date & time
5. Weight Certificate No., date & time
6. Quality Certificate No., date & time
7. Certificate of Origin No., date & time
8. Shipping Advice date, value

Name of process	Negotiations of documents for payment through LC
<b>Process Goal</b>	
To get payment from overseas buyer against LC	
<b>Process Owner</b>	
Regional Office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Completion of post shipment documents	<b>1.</b> Submission of Invoice, Draft and other shipping documents, as per LC with negotiating bank
<b>Process Details</b>	
<input checked="" type="checkbox"/> LC negotiations are carried out with banking channels with banking channels by submitting documents  <input checked="" type="checkbox"/> Verification is done by negotiating bank & opening bank.	
<b>Reporting Requirements</b>	
Report having details of following: <ul style="list-style-type: none"> <li>• LC Number</li> <li>• Date of submission of documents</li> <li>• Amount of LC</li> <li>• LC validity</li> </ul>	



Name of process	Realization of payments
<b>Process Goal</b>	
To get remittance from bank	
<b>Process Owner</b>	
Regional Office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> After submission of Invoice, Draft, LC and other shipping documents as per LC to Negotiating bank	<input checked="" type="checkbox"/> Payment advice from negotiating bank <input checked="" type="checkbox"/> Bank Realization Certificate <input checked="" type="checkbox"/> Refund claim of export duty or payment of additional export duty
<b>Process Details</b>	
<input checked="" type="checkbox"/> After preparation of invoice, RO shall calculate final export duty on the basis of "ACTUAL TRANSACTION VALUE" and make final settlement of export duty with customs authority. <input checked="" type="checkbox"/> Additional export duty, if paid shall be recovered from suppliers. In case export duty paid initially is found to be in excess, refund claim shall	

be filed by RO

- Opening bank of foreign buyer make remittance to the Negotiating bank
- Amount is credited in MMTC account at RO indicating exchange rate
- Bank Charges are deducted by Bank
- After MMTC has prepared its invoice for overseas supplier, final export duty is recalculated based on actual transaction value. If additional export duty is to be paid, it is released to Customs authorities and if it is found that excess is paid, refund claim is filed.

#### Reporting Requirements

- Contract Number
- Buyer's Name
- MMTC's Invoice Value (USD)
- Sale Value (INR)
- Payment received in USD
- Date of realization of payment
- Exchange rate
- Payment received in INR
- Bank Charges
- Difference between Invoice Value and BRC Value, if any

Name of process	Payment to supplier
<b>Process Goal</b>	
To release payment to supplier against raised invoice	
<b>Process Owner</b>	
Regional office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Supplier's Invoice	<input checked="" type="checkbox"/> Acknowledgement of payment by Supplier / Bank's Report
<b>Process Details</b>	
<input checked="" type="checkbox"/> Supplier raises purchase invoice to MMTC <input checked="" type="checkbox"/> On the basis of supplier's invoice and MMTC's sale realization, payment is released in INR to supplier after deducting bank charges and other expenses, if any incurred by MMTC on behalf of supplier <input checked="" type="checkbox"/> Form H is issued to supplier for sales tax	
<b>Reporting Requirements</b>	
Reports should have following details: <ul style="list-style-type: none"> <li>• Contract Number</li> <li>• Name of supplier/foreign buyer</li> <li>• Supplier's Invoice</li> </ul>	

- Purchase Value (INR)
- Deductions from purchase value
- Amount paid in INR
- Payment advice
- Trading margin (Sale Value – Purchase Value)
- PG Number

Name of process	Release of PG
<b>Process Goal</b>	
To release PG submitted against payment realized	
<b>Process Owner</b>	
Mineral Division, Corporate Office	
<b>Input</b>	<b>Output</b>
<input checked="" type="checkbox"/> Bank Realization Certificate <input checked="" type="checkbox"/> Bills of Lading <input checked="" type="checkbox"/> No Dues Certificate from RO	<input checked="" type="checkbox"/> Letter to Bank for cancellation of BG
<b>Process Details</b>	
<input checked="" type="checkbox"/> After satisfactory performance of sale contract by buyer, approval of competent authority is obtained for cancellation of BG. Letter is issued to bank for cancellation of BG. <input checked="" type="checkbox"/> In case the buyer fails to fulfill contractual obligation, PBG is invoked	
<b>Reporting Requirements</b>	
Reports should have following details: <ul style="list-style-type: none"> <li>• Purchase contract Number</li> </ul>	

- Sale Value
- Amount Realized
- Date of realization of payment
- Purchase Contract
- Purchase value
- Deductions made from supplier
- Amount paid to supplier
- Balance {Sale Value in USD - Amount Realized in USD), if any

## 1.5 Coal and hydrocarbons

### 1.5.1 Process of Procurement/Purchase

#### 1.5.1.1 Description

The purpose of this process is to shortlist suppliers from amongst the empanelled suppliers based on the requirement received.

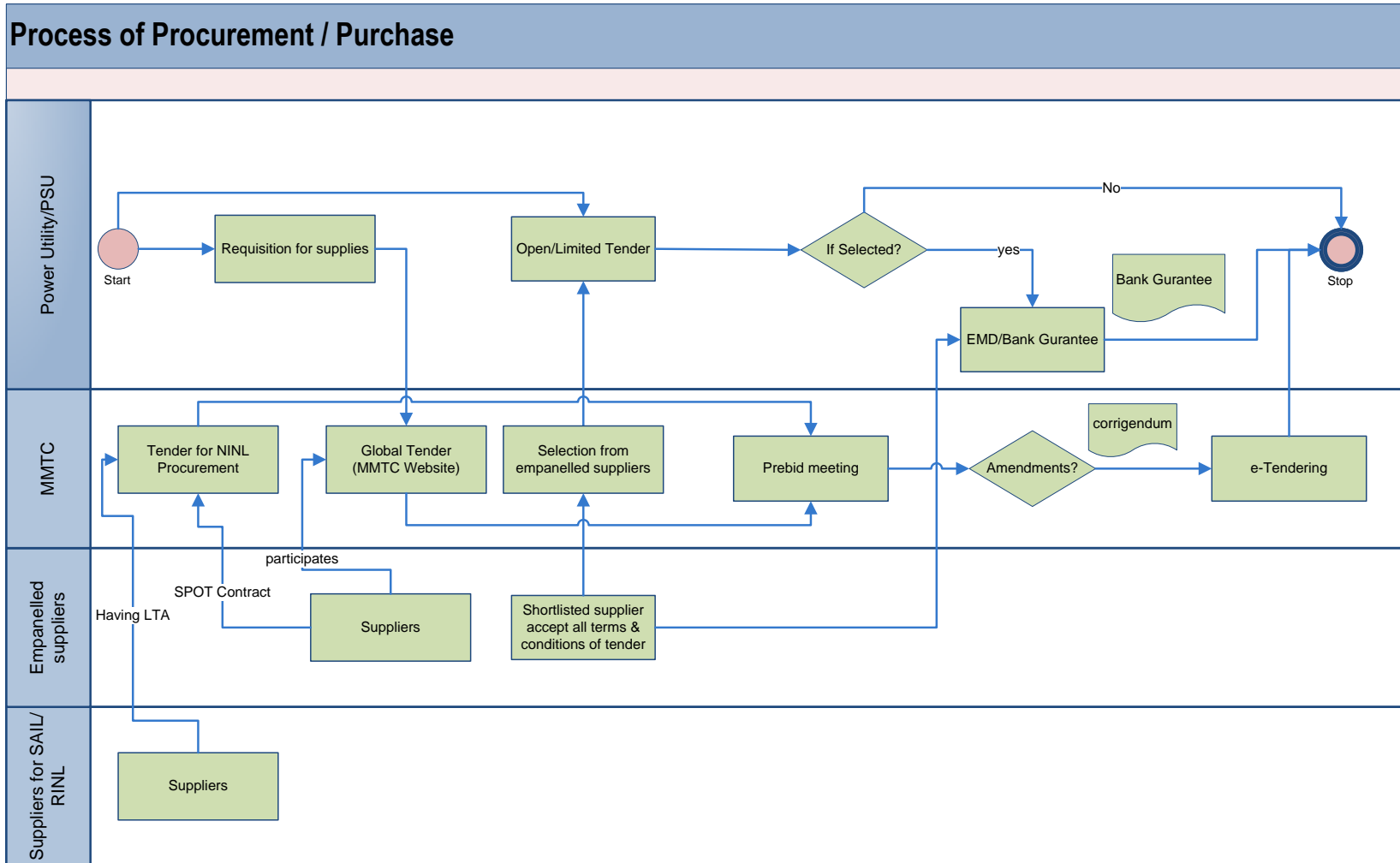
#### 1.5.1.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>	
<b>Process Goal</b>	To shortlist suppliers from amongst the empanelled suppliers based on the requirement received.	
<b>Process Owner</b>	Coal & Hydrocarbon Project	
<b>Primary Actors</b>	<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Coal & Hydrocarbon Division	<input checked="" type="checkbox"/> Buyer <input checked="" type="checkbox"/> Empanelled Suppliers <input checked="" type="checkbox"/> Approval authority <input checked="" type="checkbox"/> Power Utility / PSU's <input checked="" type="checkbox"/> Suppliers for SAIL/RINL	
<b>Process Input</b>	<b>Process Output</b>	
<input checked="" type="checkbox"/> Open/Limited global tenders <input checked="" type="checkbox"/> Requisition from Suppliers	<input checked="" type="checkbox"/> Approval for Tendering <input checked="" type="checkbox"/> Selection of bidder	
<b>Transactional Volume</b>	<input checked="" type="checkbox"/> No data available	
<b>Documentation</b>	<b>Formats</b>	

Name of process	Contracting
<input checked="" type="checkbox"/> Requisition from Supplier <input checked="" type="checkbox"/> Contracts	<input checked="" type="checkbox"/> Contract <input checked="" type="checkbox"/> Requisition from Supplier <input checked="" type="checkbox"/> Bank Guarantee(BG) as Earnest Money deposit (EMD)



1.5.1.3 Process Map



#### 1.5.1.4 Process Description

##### a. Non-coking ( Steam / Thermal) Coal

Whenever a power utility / PSU float an open/limited tender, MMTC participates with the support of backup supplier, selected from the empanelled suppliers. The short listed supplier will accept all the terms and conditions of the tender floated by power utility / PSU. The Supplier then furnishes the EMD/ Bank Guarantees as required by MMTC.

##### b. Global Tender

In case of high-value coal tenders, a global tender is prepared and floated on MMTC website. It is then followed by a pre-bid conference with all prospective bidders for clarifying any doubts that may be raised by them before submission of final bids. Based on the clarifications sought by various bidders, necessary amendments are made to the tender document and the same are hosted on MMTC website. The price bids for import of high value coal tenders are invited by the process of e-tendering.

##### c. Coking Coal

In case of procurement of coking coal for NINL, the tendering is done through the suppliers having long term contracts with SAIL / RINL as per the price, major terms and conditions approved by empowered Joint Committee of SAIL / RINL. Other than long term agreement, procurement for NINL and other steel units is done on spot basis by inviting global tenders.

Sr.No.	Process Detail	Responsibility Centre
1.	Process of Procurement / Purchase	
	Non-coking ( Steam / Thermal) Coal	

Sr.No.	Process Detail	Responsibility Centre
1.1.	Power Utility / PSU floats an open/limited tender , MMTC participates in it with required documentation	MMTC
1.2.	MMTC selects supplier from a pool of already empanelled suppliers	MMTC
1.3.	The shortlisted supplier accepts the terms and conditions of tender floated	Supplier
1.4.	The Supplier furnishes the BG as EMD to power utility / PSU	Supplier
	Global Tender	
1.5.	MMTC floats high value global tender on its website	MMTC
1.6.	Pre bid meeting is organized on clarification of doubts of prospective bidders	MMTC
1.7.	Based on the clarifications sought by various bidders, necessary amendments are made to the tender document and the same are hosted on MMTC website.	MMTC
1.8.	The price bids for import of high value coal tenders are invited by the process of e-tendering.	MMTC
	Coking Coal	
1.9.	In case of procurement of coking coal for NINL, the tendering is done through the suppliers having long term contracts with SAIL / RINL	MMTC
1.10.	The price, major terms and conditions approved by empowered Joint Committee of SAIL / RINL	SAIL / RINL

Sr.No.	Process Detail	Responsibility Centre
1.11.	Other than long term agreement, procurement for NINL and other steel units is done on spot basis by inviting global tenders	MMTC

## 1.5.2 Tendering Procedure

### 1.5.2.1 Description

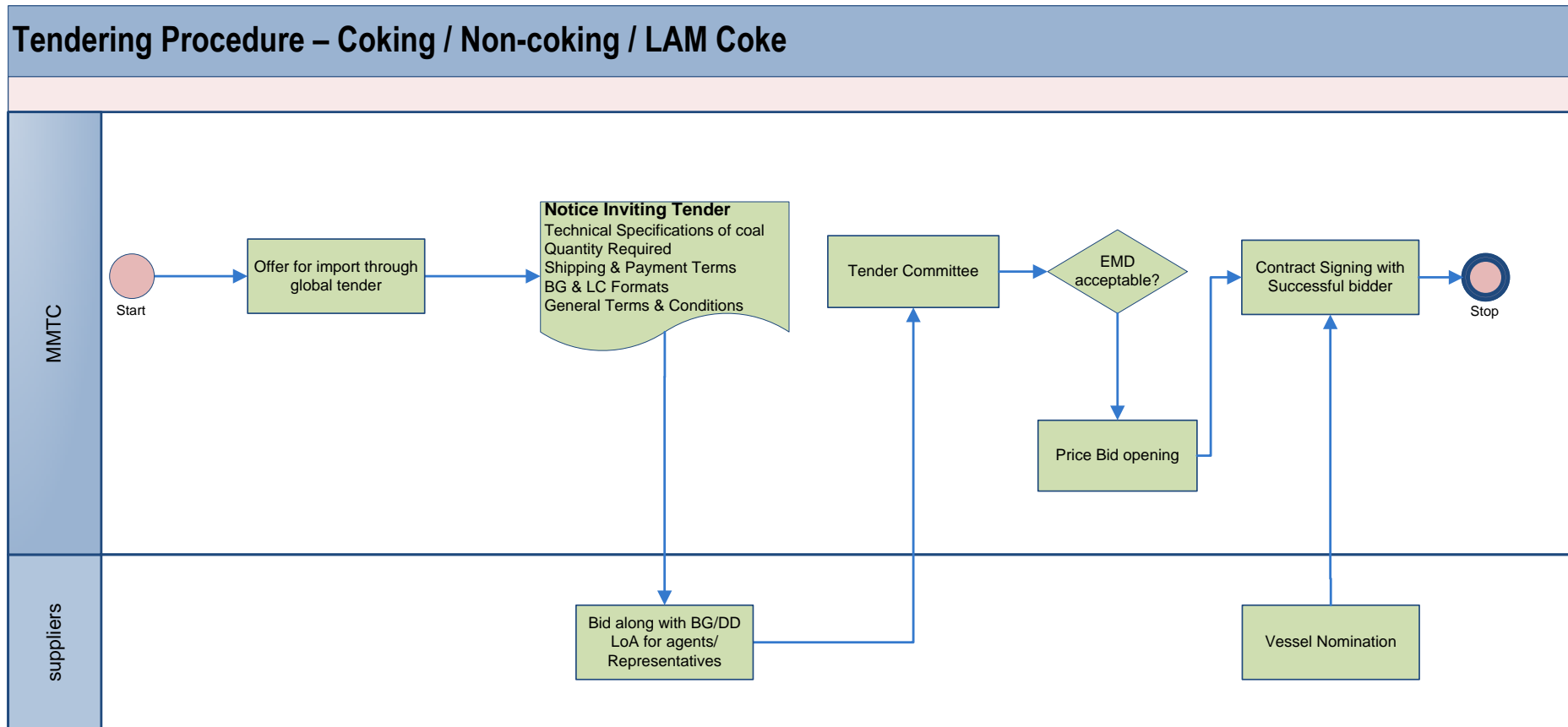
The purpose of this process is to finalize contracting terms for import of coking/non-coking/LAM Coke.

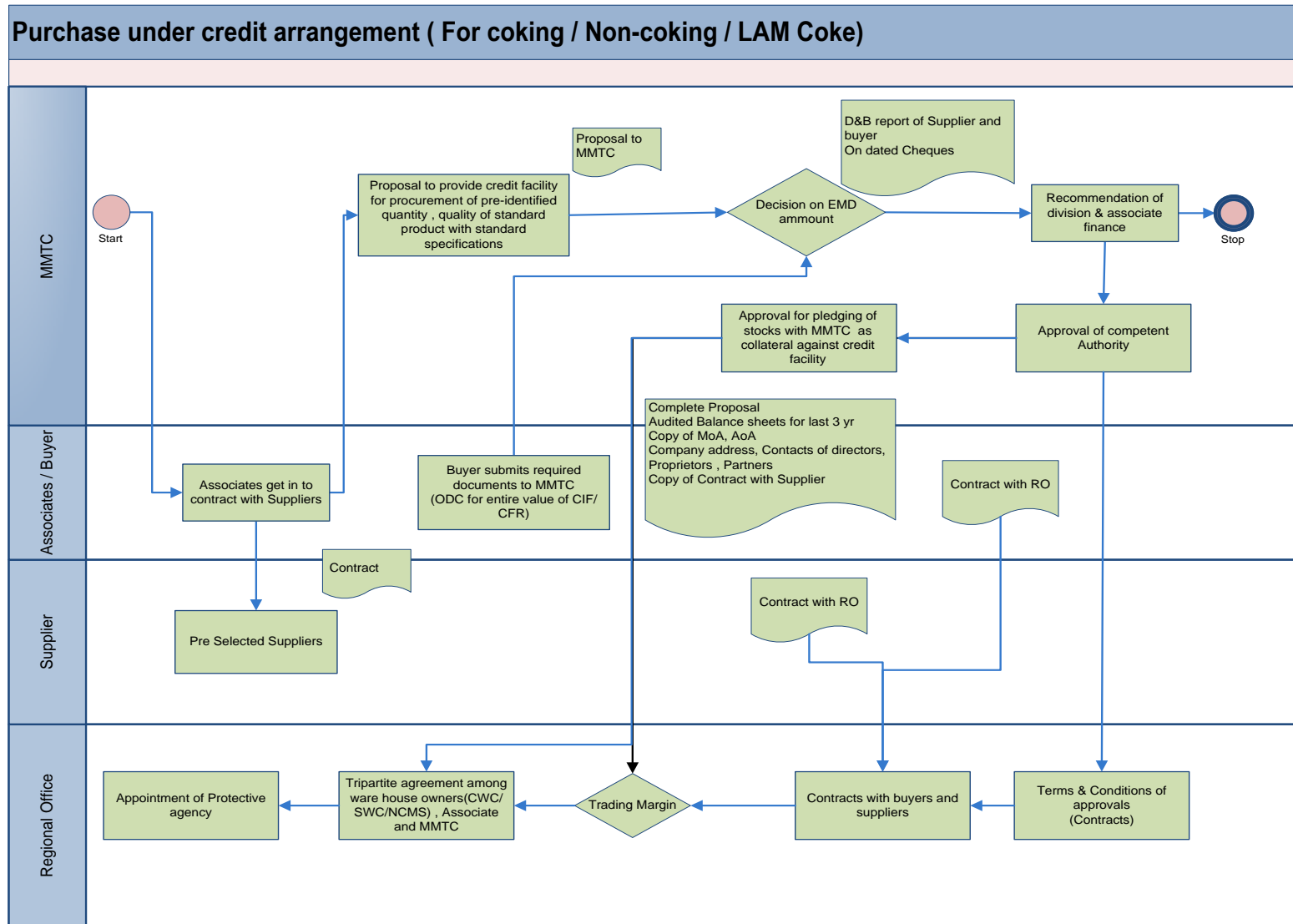
### 1.5.2.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>	
<b>Process Goal</b>		
To finalize contracting terms for import of coking/non-coking/LAM Coke.		
<b>Process Owner</b>		
Coal & Hydrocarbon Division		
<b>Primary Actors</b>	<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Coal & Hydrocarbon Division	<input checked="" type="checkbox"/> Buyer <input checked="" type="checkbox"/> Suppliers <input checked="" type="checkbox"/> Tender Committee <input checked="" type="checkbox"/> Regional office	
<b>Process Input</b>	<b>Process Output</b>	
<input checked="" type="checkbox"/> Global tender <input checked="" type="checkbox"/> Proposal to provide credit facility for procurement.	<input checked="" type="checkbox"/> Contract <input checked="" type="checkbox"/> Tripartite agreement with warehouse owners and associate <input checked="" type="checkbox"/> Vessel Nomination from Supplier <input checked="" type="checkbox"/> Appointment of Protective agency	
<b>Transactional Volume</b>		
<input checked="" type="checkbox"/> No data available		
<b>Documentation</b>	<b>Formats</b>	

Name of process	Contracting
<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Notice inviting Tender</li><li><input checked="" type="checkbox"/> Letter of authorization</li><li><input checked="" type="checkbox"/> Approval from competent authority</li><li><input checked="" type="checkbox"/> Tripartite agreement with warehouse owners and associate</li><li><input checked="" type="checkbox"/> D&amp;B Report</li></ul>	<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Contract</li><li><input checked="" type="checkbox"/> Notice inviting Tender</li><li><input checked="" type="checkbox"/> Letter of authorization</li><li><input checked="" type="checkbox"/> Tripartite agreement with warehouse owners and associate</li></ul>

1.5.2.3 Process Map







#### 1.5.2.4 Process Description

##### 1.1. Procurement of tender – for Coking / Non-coking /LAM Coke

MMTC floats notice for global tender in two national daily's and is also hosted at MMTC website. The NIT (Notice inviting tender) has information regarding Technical specification of coal, Quantity required, Shipping terms, Payment terms, BG/ LC formats with general terms and conditions. The EMD as per NIT is to be submitted by way of DD or BG through a scheduled commercial bank along with the tender. The price bids to be quoted are required to be per metric ton basis on FOB basis or C&F for designated port basis and should be in US Dollars. For participating in tender meetings, a letter of authorization is to be submitted from agents/representatives behalf to MMTC. The Tender bids are opened by a committee consisting of Coal, Finance and Internal Audit Officials. The price bids of the bidders are only opened after acceptance of techno-commercial bids along with the bids.

##### 1.2. Purchase Under Credit arrangements – for coking / Non-coking / LAM Coke

Associates interested in purchase of coke enter into contracts with their pre-selected suppliers and approach MMTC with the proposal to provide credit facility for procurement of pre-identified quantity, quality of standard products with standard specifications. MMTC examines the proposal, contract between supplier and associate, company profile, D&B credit rating, etc. Buyer is required to submit on date cheques for the entire value. Based on the scrutiny and on case to case basis, EMD amount is decided as per the guidelines of sale purchase committee of directors (SPC). After approval from competent authority, contracts with supplier and buyer are signed and forwarded to concerned regional office. Regional office appoints protective agents and a tripartite agreement is signed between MMTC, associate and warehouse owners.

Sr.No.	Process Detail	Responsibility Centre
1.	Tendering procedure	
	Procurement of tender – for Coking / Non-coking /LAM Coke	
1.1.	MMTC floats notice for global tender in two national daily's and is also hosted at MMTC website	MMTC
1.2.	The EMD as per NIT is to be submitted by way of DD or BG through a scheduled commercial bank along with the tender	Supplier
1.3.	For participating in tender meetings, a letter of authorization is to be submitted from agents/representatives behalf to MMTC	Supplier
1.4.	The Tender bids are opened by a committee consisting of Coal, Finance and Internal Audit Officials	MMTC
1.5.	Based on evaluation, Contract is awarded to successful bidder	MMTC
1.6.	Supplier sends vessel nomination to MMTC	Supplier
	Purchase Under Credit arrangements – for coking / Non-coking / LAM Coke	
1.7.	Associates interested in purchase of coke enter into contracts with their pre-selected suppliers	Associates / Suppliers
1.8.	Associates approach MMTC with the proposal to provide credit facility for procurement of pre-identified quantity, quality of standard products with standard specifications	Associates
1.9.	MMTC examines the proposal, contract between supplier and associate, company profile, D&B credit rating, etc.	MMTC
1.10.	The Buyer is required to submit on date cheques for the entire value	Buyer

Sr.No.	Process Detail	Responsibility Centre
1.11.	Based on the scrutiny and on case to case basis, EMD amount is decided as per the guidelines of sale purchase committee of directors (SPC)	MMTC
1.12.	After approval from competent authority contracts with supplier and buyer are signed and forwarded to concerned regional office.	MMTC
1.13.	Regional office appoints protective agents and a tripartite agreement is signed between MMTC, associate and warehouse owners	Regional Office/MMTC/ warehouse owners

### 1.5.3 Checklist at Regional Office procurement / purchase

#### 1.5.3.1 Description

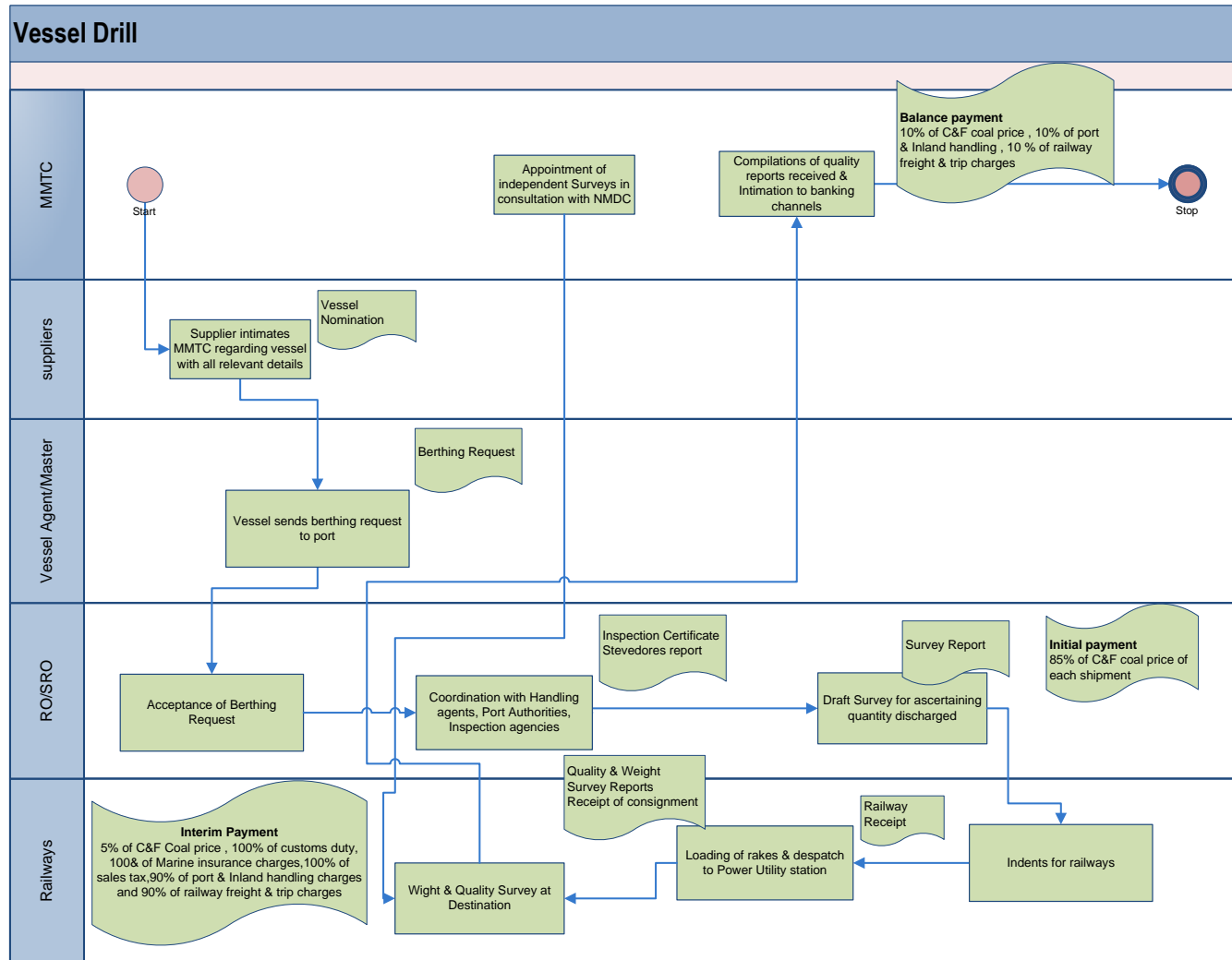
The purpose of this process is to ensure pre-shipment formalities and necessary statutory compliances are followed till the shipment is received at destination.

#### 1.5.3.2 Process Summary

Name of process		Shipping Schedule & Vessel Nomination	
<b>Process Goal</b>			
To ensure pre-shipment formalities are completed and necessary statutory compliances are followed till the shipment is received at destination.			
<b>Process Owner</b>			
Regional Office			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Regional Office <input checked="" type="checkbox"/> MMTC Corporate Office		<input checked="" type="checkbox"/> Suppliers <input checked="" type="checkbox"/> Railways <input checked="" type="checkbox"/> Vessel Agent /Master <input checked="" type="checkbox"/> Handling agents <input checked="" type="checkbox"/> Surveyors (Samplers, Weight, Assayers )	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Supplier Intimation <input checked="" type="checkbox"/> Berthing Request		<input checked="" type="checkbox"/> Quality & Quantity reports <input checked="" type="checkbox"/> Balance Payment	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			

Documentation	Formats
<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Vessel Nomination</li><li><input checked="" type="checkbox"/> Berthing Request</li><li><input checked="" type="checkbox"/> Inspection Report</li><li><input checked="" type="checkbox"/> Stevedores Report</li><li><input checked="" type="checkbox"/> Survey Report</li><li><input checked="" type="checkbox"/> Railway Receipt</li><li><input checked="" type="checkbox"/> Quality Report</li><li><input checked="" type="checkbox"/> Weight Survey Report</li></ul>	<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Vessel Nomination</li><li><input checked="" type="checkbox"/> Berthing Request</li><li><input checked="" type="checkbox"/> Inspection Report</li><li><input checked="" type="checkbox"/> Stevedores Report</li><li><input checked="" type="checkbox"/> Survey Report</li><li><input checked="" type="checkbox"/> Railway Receipt</li><li><input checked="" type="checkbox"/> Quality Report</li><li><input checked="" type="checkbox"/> Weight Survey Report</li></ul>

1.5.3.3 Process Map



### 1.5.3.4 Process Description

Once the vessel arrives in the vicinity of port, Supplier intimates MMTC regarding vessel with all relevant documents. Regional office has to accept berthing request from vessel master/agent and coordinate with handling agents, Port authorities and inspection agencies for clearing of imported material. Regional office is required to arrange draft survey for ascertaining the quantity discharged from vessel and obtain relevant certificate. The initial payment is done based on the draft survey report. As per intimation from railways regarding availability of rakes, material is loaded in rakes and dispatched for destination. Quality and weight inspection are again carried out at destination and receipt of confirmation is sent to regional office for release of interim payment. After final quality and quantity reports are received from concerned buyer (Power Unit/ PSU), balance payment is released.

Sr.No.	Process Detail	Responsibility Centre
1.	Regional Office procurement / purchase	
1.1.	Vessel arrives in vicinity of port , supplier intimates MMTC and forwards necessary documents	supplier
1.2.	Vessel Master/agent sends berthing request to SRO/RO	Vessel master /agent
1.3.	Regional office accepts berthing request from vessel master/agent and coordinate with handling agents, Port authorities and inspection agencies for clearing of imported material	Regional Office
1.4.	Regional office arranges draft survey for ascertaining the quantity discharged from vessel and obtain relevant certificate. The initial payment is done based on the draft survey report	Regional Office
1.5.	As per intimation from railways regarding availability of rakes, material is loaded in rakes and dispatched for destination	Regional office
1.6.	Quality and weight inspection are again carried out at destination and receipt of confirmation is sent to regional office for release of interim payment	Regional office
1.7.	After final quality and quantity reports are received from concerned buyer (Power Unit/ PSU), balance payment is released	Regional office

## 1.6 Steel

### 1.6.1 Process for import of steel

#### 1.6.1.1 Description

The purpose of this process is to import steel from a foreign supplier and sale of imported steel to the buyer through high seas sale.

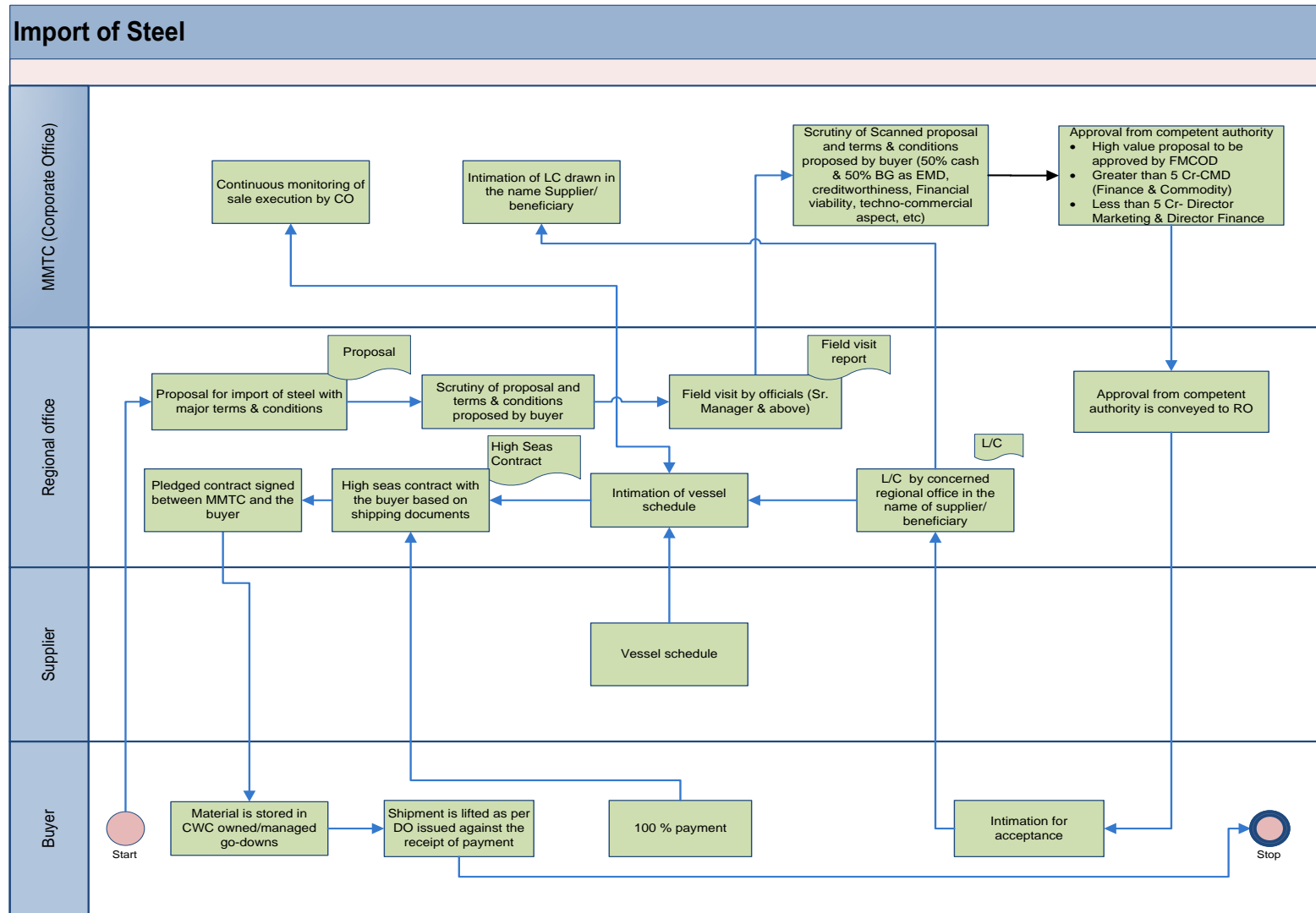
#### 1.6.1.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>	
<b>Process Goal</b>	To import steel from a foreign supplier and sale of imported steel to the buyer through high seas sale.	
<b>Process Owner</b>	Steel Division	
<b>Primary Actors</b>	<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Steel division	<input checked="" type="checkbox"/> Regional office <input checked="" type="checkbox"/> Supplier <input checked="" type="checkbox"/> Buyer	
<b>Process Input</b>	<b>Process Output</b>	
<input checked="" type="checkbox"/> Proposal for import of steel from buyer	<input checked="" type="checkbox"/> High seas contract with Buyer	
<b>Transactional Volume</b>	<input checked="" type="checkbox"/> Depending upon the requirement of buyer conveyed via RO	
<b>Documentation</b>	<b>Formats</b>	
<input checked="" type="checkbox"/> Proposal from buyer <input checked="" type="checkbox"/> Proposal to be analyzed at RO with field visit report	<input checked="" type="checkbox"/> High seas contract <input checked="" type="checkbox"/> Sale contract	



Name of process	Contracting
<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Forwarding the duly vetted proposal through by finance head at RO to CO for securing formal approval</li><li><input checked="" type="checkbox"/> Approval from competent authority</li><li><input checked="" type="checkbox"/> Communication of approval to RO from CO</li><li><input checked="" type="checkbox"/> Establishment of Letter of credit by concerned Regional Office in the name of supplier/ beneficiary.</li><li><input checked="" type="checkbox"/> High seas contract</li><li><input checked="" type="checkbox"/> Sale contract between buyer and seller</li><li><input checked="" type="checkbox"/> Contract between Buyer(MMTC RO) and seller</li><li><input checked="" type="checkbox"/> Vessel schedule</li></ul>	<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Buyer (MMTC RO) and sale agreement</li><li><input checked="" type="checkbox"/> Vessel schedule</li><li><input checked="" type="checkbox"/> Proposal from buyer</li><li><input checked="" type="checkbox"/> Proposal/ recommendation</li></ul>

1.6.1.3 Process Map



#### 1.6.1.4 Process Description

The buyer submits a proposal to MMTC regional office along with major terms and conditions for import of steel. Regional office scrutinizes the proposal and checks for adherence to MMTC's standard terms and conditions. Two officers of senior manager & above level visits supplier's site and submit their recommendation as field visit report. The scanned copy of proposal is then sent to MMTC corporate office where the proposal is scrutinized on creditworthiness, financial viability, and techno-commercial aspects. 50 % payment is done in cash and rest 50% in the form of bank guarantee (BG) as earnest money deposit (EMD) .The Major terms and conditions are finalized for the said contract by corporate office.

For proposals with more than five (5) crores, approval of Chief Managing Director (CMD), finance and commodity division is taken while for proposals of less than five (5) crores Director marketing and Director finance provides approval for proposal. All the high value proposals are approved by F MCOD. The approval of proposal is then conveyed to concerned regional office and the buyer. The concerned regional office opens letter of credit in the name of supplier or beneficiary and the supplier intimates concerned regional office on vessel schedule.

MMTC corporate office continuously monitors the regional office level operations. Once the vessel is in vicinity of port, MMTC regional office draws high sea contracts with the buyer. Material is sold to buyer on high seas basis as per the due diligence of shipping documents. Pledge agreement is signed between MMTC and the buyer. Material is stored in the custody of CWC owner or managed go-downs from where it is lifted as per the delivery order issued against receipt of payments.

In case, if the material is lifted beyond the lifting schedule i.e. 90 days an additional trade margin at the rate of 0.5% on the balance quantity is charged to the buyer. Full time penal interest at the rate of 1% p.a will be also levied on the buyer on the value of quantity remaining un lifted after 90 days.

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Process of import of steel	
1.1.	Proposal is submitted with major terms and conditions for import of steel	Buyer
1.2.	Proposal is scrutinized against MMTC's standard set of terms and conditions	Regional office
1.3.	Two(2) officers of senior manager & above level performs site inspection and submits field visit report	Regional Office officials
1.4.	Proposal is scrutinized for credit worthiness, financial viability and techno-commercial aspects	Corporate office
1.5.	The % amount of bank guarantee as earnest money deposit and cash deposit along with the other terms & conditions are finalized for the contract	Corporate Office
1.6.	Approval from competent authority is taken for the proposal	Corporate office
1.7.	The acceptance of proposal is conveyed to concerned regional office and to the buyer	Corporate office
1.8.	Letter of credit is drawn in the name of Supplier/beneficiary	Regional office
1.9.	Regional office is intimated regarding vessel schedule	Supplier
1.10.	The regional office level functions are monitored closely with support daily reports	Corporate office

Sr.No.	Process Detail	Responsibility Centre
1.11.	Once vessel is in vicinity of port, high seas contract is signed with buyer	Regional office
1.12.	Pledge agreement is signed between buyer and MMTC	Regional office
1.13.	Material is stored in CWC owned/managed go-downs and is lifted as per the DO issued against receipt of payment	CWC

## 1.6.2 Process for sale of Steel Billets (NINL)

### 1.6.2.1 Description

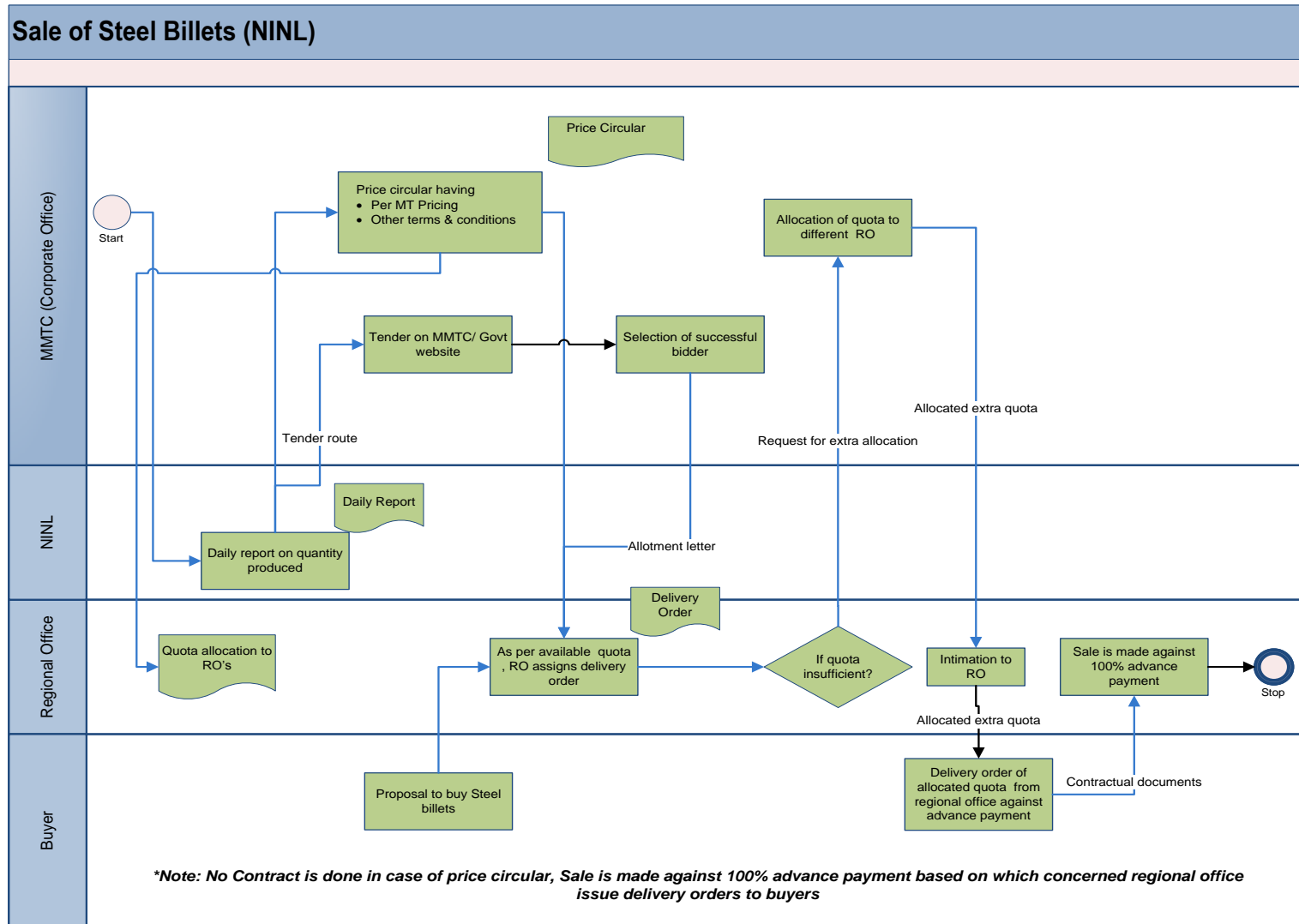
The purpose of this process is to sell steel billets to the buyer through price circular or global tender.

### 1.6.2.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>
<b>Process Goal</b>	
To sell steel billets to the buyer through price circular or global tender	
<b>Process Owner</b>	
Steel Division	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Steel division	<input checked="" type="checkbox"/> Neelachal Ispat Nigam Limited(NINL) <input checked="" type="checkbox"/> Regional Office <input checked="" type="checkbox"/> Buyer

Name of process		Contracting	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Daily report on quantity produced from NINL <input checked="" type="checkbox"/> Buyer approaches concerned regional office with a proposal after seeing price circular on MMTC website		<input checked="" type="checkbox"/> Buyer deposits advance money & lifts the material	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> Once in a month			
<b>Documentation</b>		<b>Formats</b>	
<input checked="" type="checkbox"/> Daily report from NINL <input checked="" type="checkbox"/> Proposal from buyer to concerned regional office <input checked="" type="checkbox"/> Tender <input checked="" type="checkbox"/> Price Circular <input checked="" type="checkbox"/> Delivery order		<input checked="" type="checkbox"/> Daily report from NINL <input checked="" type="checkbox"/> Tender <input checked="" type="checkbox"/> Price Circular <input checked="" type="checkbox"/> Delivery order	

1.6.2.3 Process Map



#### 1.6.2.4 Process Description

Neelachal Ispat Nigam Limited (NINL) sends a daily report on quantity produced to MMTC corporate office. Based on the production and available quantity for sale, MMTC corporate office decides to either float a global tender or price circular having details for price per metric tons, major terms and conditions.

In case of global tender, MMTC corporate office provides allotment letter to successful bidder for allocated quota and details of concerned regional office. In case of price circular, the buyer approaches concerned regional office with its proposal or sometimes regional offices contacts known buyers intimating them about price circulars. If concerned regional office is short of quota, it can request corporate office for allocation of extra quota. Regional office then issues delivery order to the buyer against 100% advance payment for purchase of steel billets.

Sr.No.	Process Detail	Responsibility Centre
1.	Process for sale of steel billets	
1.1.	NINL sends daily report on quantity produced and available for sale to MMTC corporate office	NINL
1.2.	Price circular or tender is floated for the sale of steel billets	MMTC Corporate office
1.3.	Successful bidder is selected based on terms of global tender and allotment letter is provided	MMTC Corporate office
1.4.	Based on the terms and conditions mentioned in price circular, the buyer approaches concerned regional office for purchase of steel billets	Buyer
1.5.	If concerned regional office is short on quota , it requests corporate office for allocation of extra quota	MMTC corporate office



Sr.No.	Process Detail	Responsibility Centre
1.6.	Based on the approvals of allocated quota, delivery order is provided to the buyer	Regional office
1.7.	Delivery order is issued to the buyer against 100% advance payment for purchase of steel billets	Buyer & regional office

### 1.6.3 Sale of NINL products (Domestic Sale and Export)

#### 1.6.3.1 Description

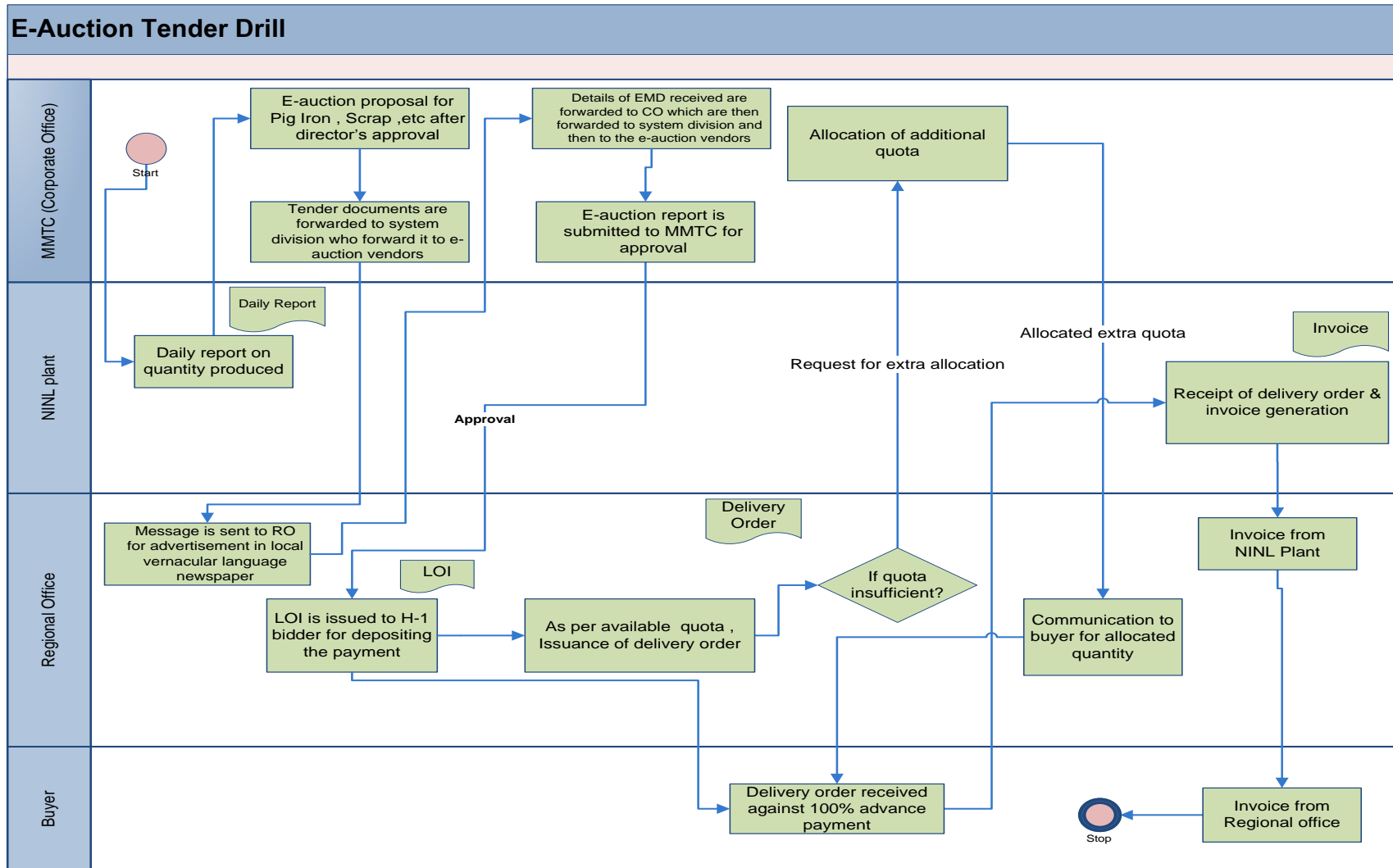
The purpose of this process is to perform sale of NINL products by floating global tender, e-auction or price circular.

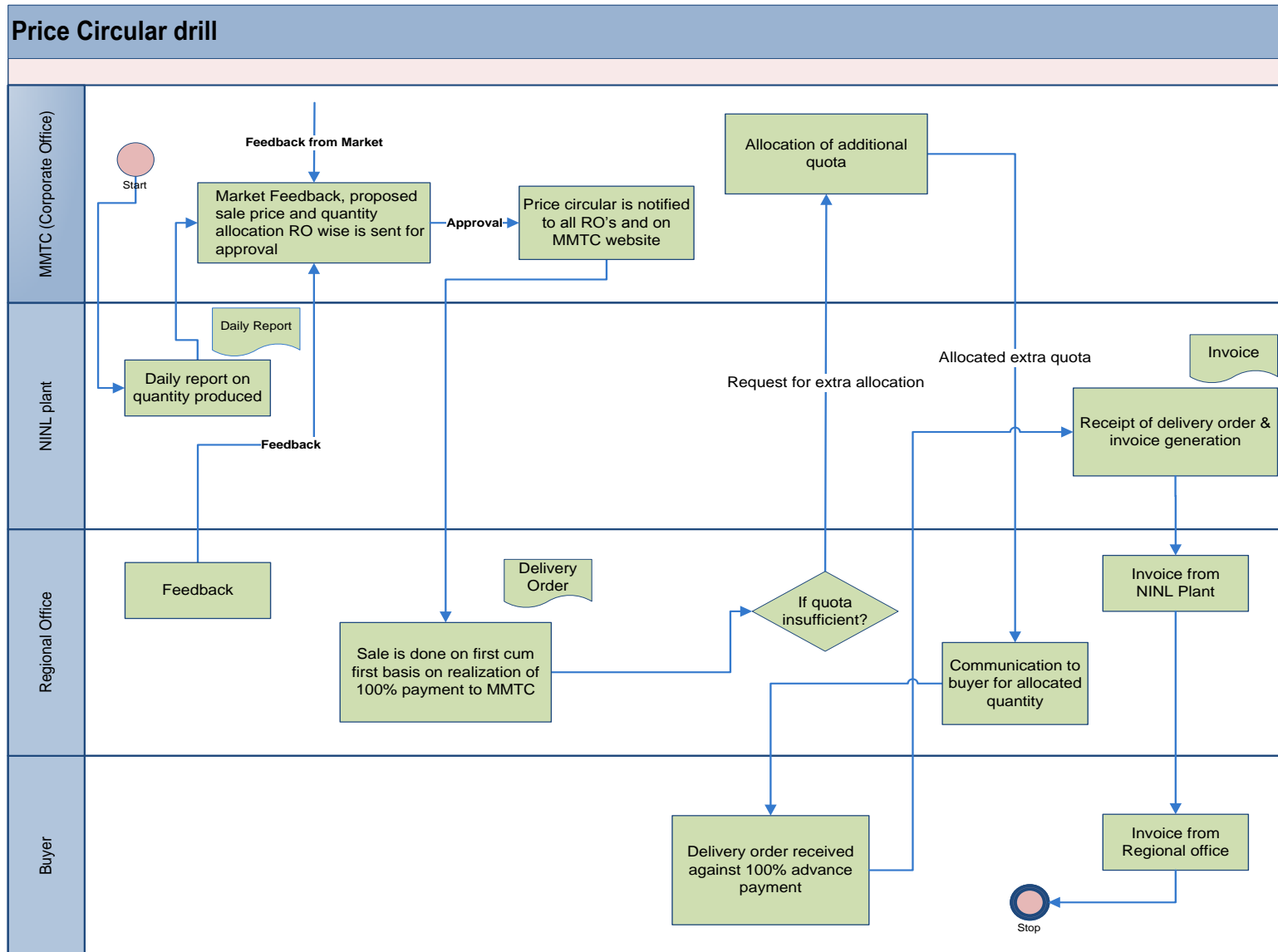
#### 1.6.3.2 Process Summary

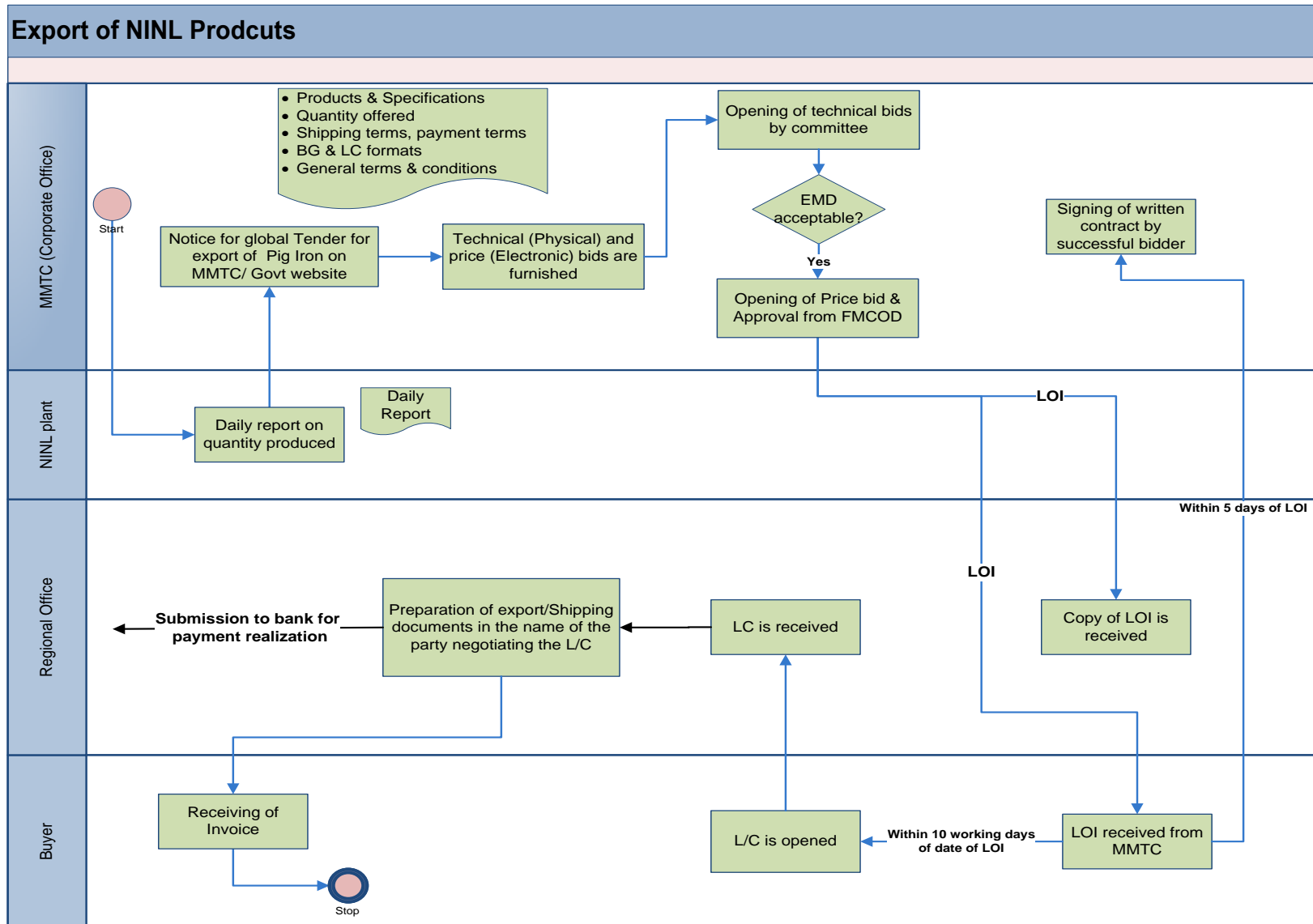
<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To perform sale of NINL Products by floating global tender, e-auction or price circular.			
<b>Process Owner</b>			
Steel Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Steel division		<input checked="" type="checkbox"/> Regional offices <input checked="" type="checkbox"/> Neelachal Ispat Nigam Limited(NINL) <input checked="" type="checkbox"/> Buyer	
<b>Process Input</b>		<b>Process Output</b>	

Name of process		Contracting	
<input checked="" type="checkbox"/> Daily report on quantity produced from NINL		<input checked="" type="checkbox"/> Sale to the buyer	
<input checked="" type="checkbox"/> Proposal from buyer			
Transactional Volume			
<input checked="" type="checkbox"/> No data available			
Documentation		Formats	
<input checked="" type="checkbox"/> Daily report on quantity produced from NINL		<input checked="" type="checkbox"/> Daily report on quantity produced from NINL	
<input checked="" type="checkbox"/> Price Circular		<input checked="" type="checkbox"/> E-auction notification	
<input checked="" type="checkbox"/> E-auction notification		<input checked="" type="checkbox"/> Global tender	
<input checked="" type="checkbox"/> Global tender		<input checked="" type="checkbox"/> Delivery order	
<input checked="" type="checkbox"/> Delivery order		<input checked="" type="checkbox"/> Invoice	
<input checked="" type="checkbox"/> Invoice			

1.6.3.3 Process Map







### 1.6.3.4 Process Description

#### Domestic sale of NINL Products

NINL sends a daily report of quantity produced and available for sale to MMTC corporate office. MMTC invites prospective bidder in two ways, namely:

- Price Circular for Pig Iron, lam Coke, etc.
- E-auction for Pig Iron, Scarp, etc.

#### Drill for e Auction

Proposal to e-auction having the tender quantity, auction date & EMD along with other terms and conditions are approved by Director in charge. Based on approval, the tender documents are sent to system division which in turn forwards the same to e-auction vendors nominated by MMTC. Notice of tender is issued in two (2) national dailies by concerned regional office and simultaneously on MMTC website. Details of EMD received by due date are the forwarded Corporate office which forwards it to system division and further to e-auction vendor for issuance of password & training to bidders. Auction is done on designated date & time and auction report having the name of bidder, quantity along with the price quoted details are sent to MMTC. After approval of competent authority, LOI is issued to H-1 bidder by RO concerned for depositing the payment as per terms and conditions of the tender.

#### Price Circular

MMTC takes feedback from markets and various regional offices through different sources. The market feedback is put along with proposed sale price by MMTC and the quantity allocated for RO's for approval. As per approval price circular is notified to all RO's and on MMTC website. Sale is done on first cum fist basis on realization of 100% payment in MMTC account.

#### Sale Execution

As per available quota, MMTC regional office issues delivery order to the selected buyer against 100% advance payment. If concerned RO has shortage of commodity stock, it requests corporate office for extra allocation. The buyer then approaches NINL plant with the delivery order, NINL plant generates invoice for RO and a copy of the same is sent to the buyer. Concerned RO is responsible for quantity, quality and statutory compliances as per the contract.

#### Sale to PSUs

For sale to PSUs (SAIL, RINL, IDICOL, etc.) MMTC negotiates the price with PSU concerned and sale is executed.

#### Export of NINL Products

MMTC invites offers for export of NINL basic grade (N-1) Pig Iron through a global tender. The notice inviting tender contains specific details like product and its specifications, quantity offered, shipping terms, payment terms, BG and LC formats along with other general terms and conditions. The notice inviting global tender is published in two national dailies and is also hosted at MMTC website and Govt. tender website. Bids are sent to GM (Steel) at MMTC CO in a sealed envelope.

Technical bids are received in physical formats while price bids are received electronically by MMTC corporate office. Tender bids are opened by a committee constituting officers from commodity, Finance and internal audit division. Price bids for a bidder are only opened if technical bid and EMD are acceptable. After evaluation of bids, approval from competent authority is taken and LOI is sent to the selected party. A written contract is signed by the successful bidder within five (5) days of LOI. A copy of LOI is sent to concerned regional office. Buyer will open LC within ten (10) working days from the date of LOI. The concerned regional office receives the LC prepares export/shipping documents in the name of party negotiating the LC. These documents are then submitted to banking channels for payment realization and invoice is released to the party.

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	<b>Domestic sale of Pig Iron</b>	
	<b>e-auction Tender</b>	
1.1.	Daily report of quantity produced and available for sale is sent to MMTC corporate office	NINL
1.2.	Proposal for e-auction having the tender quantity, auction date & EMD along with other terms and conditions are sent for approval	MMTC Corporate office
1.3.	Detailed tender documents are sent to system division e-auction vendor	MMTC Corporate office
1.4.	Tender documents are further forwarded to e-auction vendors	System Division
1.5.	Notice inviting tender is published in two national daily's and on MMTC website	Concerned RO and MMTC Corporate office
1.6.	Details of EMD received are forwarded Corporate office	Concerned RO
1.7.	Details of EMD received are then forwarded to System division and further to e-auction vendor	MMTC Corporate office
1.8.	Auction is conducted at designated date & time	e-auction vendor
1.9.	e-auction reports are sent for approvals with details of name of the bidder, quantity and price quoted	MMTC Corporate office
1.10.	Based on approval LOI is issued to H1 bidder	Concerned RO



Sr.No.	Process Detail	Responsibility Centre
	<b>Price Circular</b>	
1.11.	Feedback is gathered from market and all regional office and put up for approval along with proposed sale price and RO wise quota allocated	MMTC Corporate office
1.12.	Price circular is notified to all RO and hosted at MMTC website	MMTC Corporate office
	<b>Sale Execution</b>	
1.13.	If concerned RO is short of commodity stock , extra stock is allocated from different RO	MMTC Corporate office
1.14.	Delivery orders are issued to buyers against 100% advance payment	Concerned RO
1.15.	Delivery order is submitted to NINL plant	Buyer
1.16.	Invoice is generated and transferred to RO	NINL
1.17.	Invoice is generated for buyer	Regional office
<b>2.</b>	<b>Export of NINL Products</b>	
2.1.	Notice for global tender is published having details of product specifications, quantity offered, shipping & payment terms, BG & LC formats and other general terms & conditions	MMTC Corporate office

Sr.No.	Process Detail	Responsibility Centre
2.2.	Simultaneously a global tender for export of pig iron is floated on MMTC and Government of India website	MMTC Corporate office
2.3.	Technical bids are received in physical formats while price bids are received in electronic form	MMTC Corporate office
2.4.	Bids are evaluated and approval from competent authority is taken	MMTC Corporate office
2.5.	Letter of Intent (LOI) is sent to party and a copy of the same is sent to concerned regional office	MMTC Corporate office
2.6.	LC is opened	Buyer
2.7.	LC is received	Concerned RO
2.8.	Export documents are prepared and sent to banking channels for payment realization	Regional office
2.9.	Invoice is given to the party	Regional office

## 1.7 Agro products

### 1.7.1 Process for domestic sale of sugar (loading from godown to railway station)

#### 1.7.1.1 Description

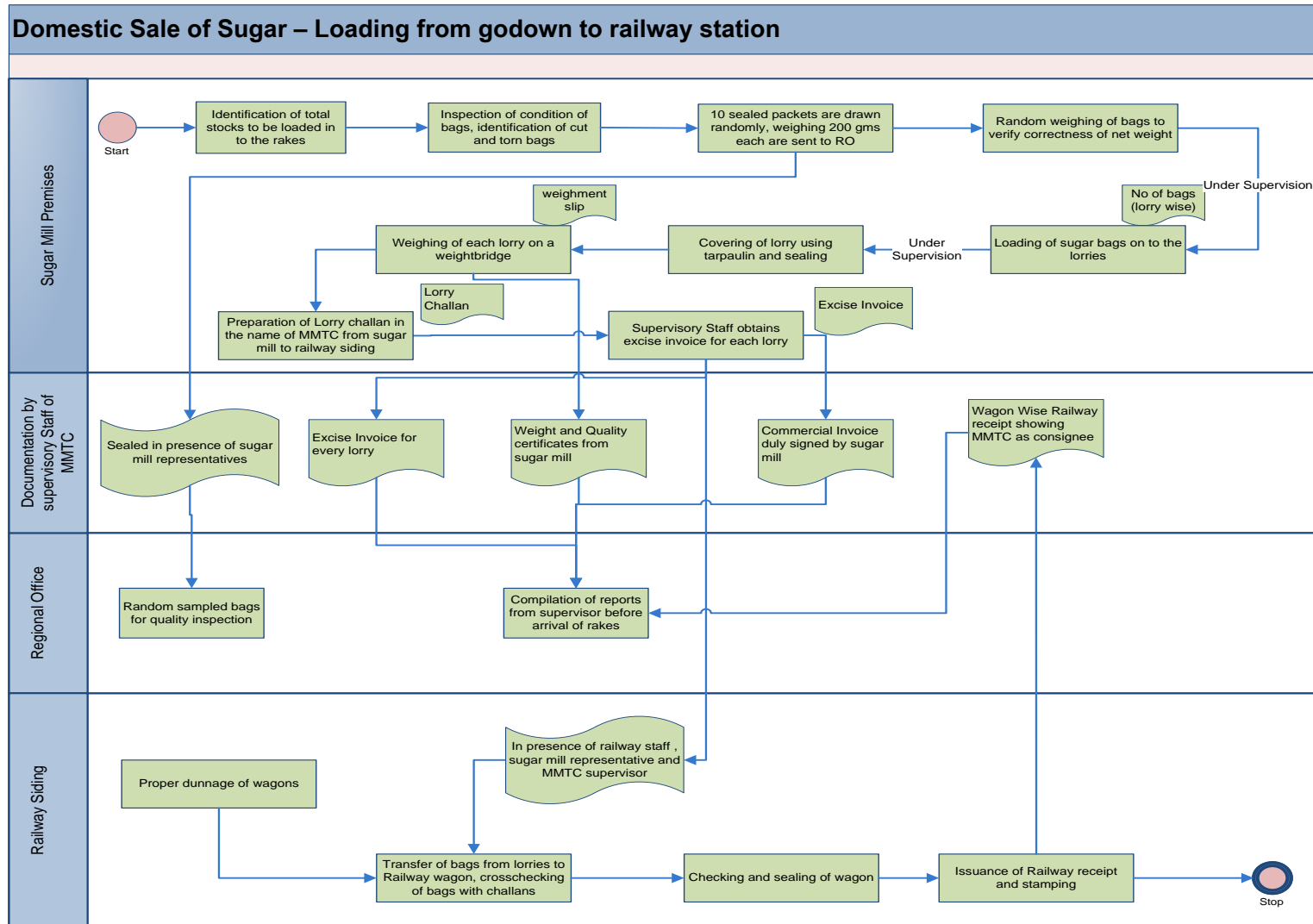
The purpose of this process is to ensure the delivery of stock from godown to railway station with all compliance as per contract for domestic sale of sugar.

#### 1.7.1.2 Process Summary

<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To ensure the delivery of stock from godown to railway station with all compliance as per contract for domestic sale of sugar.			
<b>Process Owner</b>			
Agro Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Supervisory staff nominated by MMTC		<input checked="" type="checkbox"/> Railway authorities <input checked="" type="checkbox"/> Sugar Mill representative <input checked="" type="checkbox"/> Regional office	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Intimation from MMTC to supervisors for identification of stocks		<input checked="" type="checkbox"/> Issuance of stamped railway receipt	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			

Name of process		Contracting	
Documentation		Formats	
<input checked="" type="checkbox"/> Lorry wise number of bags report		<input checked="" type="checkbox"/> Lorry wise number of bags report	
<input checked="" type="checkbox"/> Weighment slip		<input checked="" type="checkbox"/> Weighment slip	
<input checked="" type="checkbox"/> Lorry challan		<input checked="" type="checkbox"/> Lorry challan	
<input checked="" type="checkbox"/> Excise invoice		<input checked="" type="checkbox"/> Excise invoice	
<input checked="" type="checkbox"/> Weight and quality certificates from sugar mill representatives		<input checked="" type="checkbox"/> Weight and quality certificates from sugar mill representatives	
<input checked="" type="checkbox"/> Commercial invoice from sugar mill representative		<input checked="" type="checkbox"/> Commercial invoice from sugar mill representative	
<input checked="" type="checkbox"/> Wagon wise railway receipt		<input checked="" type="checkbox"/> Wagon wise railway receipt	

1.7.1.3 Process Map



#### 1.7.1.4 Process Description

Once stocks are identified to be loaded in to the Lorries, supervisor from MMTC is required to inspect the bags. At least 10 packets weighing 200 gms each are drawn randomly and sealed in the presence of the representative of sugar mill and sent to concerned Regional office. Weight of bags is required to be checked randomly on weighing scale to verify the correctness of the net weight of the sugar bags. Supervisor ensures loading of sugar bags from mill godowns on to the lorries and records number of bags for each lorry separately. After completion of loading, the supervisory staff ensures that each lorry is covered with tarpaulin and properly sealed to avoid transit loss on way from the mill godowns to the railway station. Whenever a lorry moves out of the sugar mill, it is again weighed on a weighbridge and weighment slip of each lorry is collected. Lorry challan for each loaded lorry is issued in the name of MMTC from Sugar Mill up to the Railway siding. The supervisor is required to obtain excise invoice for each lorry.

Once cargo is received at railway sidings and stock is uploaded in to railway wagons, supervisor again verifies number of bags using documents obtained at sugar mill premises. The loading exercise is conducted in presence of representatives from loading staff, sugar mills and the supervisor nominated by MMTC.

During the transfer of cargo from lorries to railway wagons, the supervisory staff ensures that number of bags loaded on to the wagon from each lorry is reconciled with the documents obtained from the sugar mills. Such a loading exercise is carried out in the presence of (a) railway staff (b) representative of sugar mills and the supervisory staff of MMTC.

Sr.No.	Process Detail	Responsibility Centre
1.	Process of domestic sale of sugar	
1.1.	Supervisor nominated by MMTC, identifies the stock to be loaded and performs inspection of bags	Supervisor
1.2.	Supervisor randomly picks out 10 bags of 200 gms and seals them in presence of sugar mill representative. These bags are then sent to concerned regional office.	Supervisor

Sr.No.	Process Detail	Responsibility Centre
1.3.	Weight of bags is checked and recorded randomly on weighing scale before loading in to lorries.	Supervisor
1.4.	Number of bags for each lorry are recorded as a separate document	Supervisor
1.5.	Once loading is completed, each lorry is covered using tarpaulin and is properly sealed.	Supervisor
1.6.	Each lorry moving out of the sugar mill is again weighed on a weighbridge and weightment slip of each lorry is collected.	Supervisor
1.7.	Lorry challan for each loaded lorry is issued in the name of MMTC from Sugar Mill up to the Railway siding and excise invoice is obtained.	Supervisor
1.8.	Commercial invoice, weight and quality certificates are collected from sugar mill representatives before stock is dispatched to railway siding	Supervisor
1.9.	At railway siding, proper dunnage of wagons is ensured before the cargo is loaded from the lorries	Supervisor
1.10.	During the transfer of cargo from lorries to railway wagons, the number of bags loaded on to the wagon from each lorry is tallied with the documents obtained from the sugar mills.	Supervisor, representatives from railway and sugar mill
1.11.	After completion of loading of every wagon, the wagon is sealed properly by railway staff and the same has to be properly checked.	Supervisor and railway representative
1.12.	Railway receipt is issued by the loading railway station which needs to be clear and duly attested.	Railway representative
1.13.	Separate wagon wise railway receipts are collected showing MMTC Limited as the consignee	Supervisor

## 1.7.2 Process for export of rice

### 1.7.2.1 Description

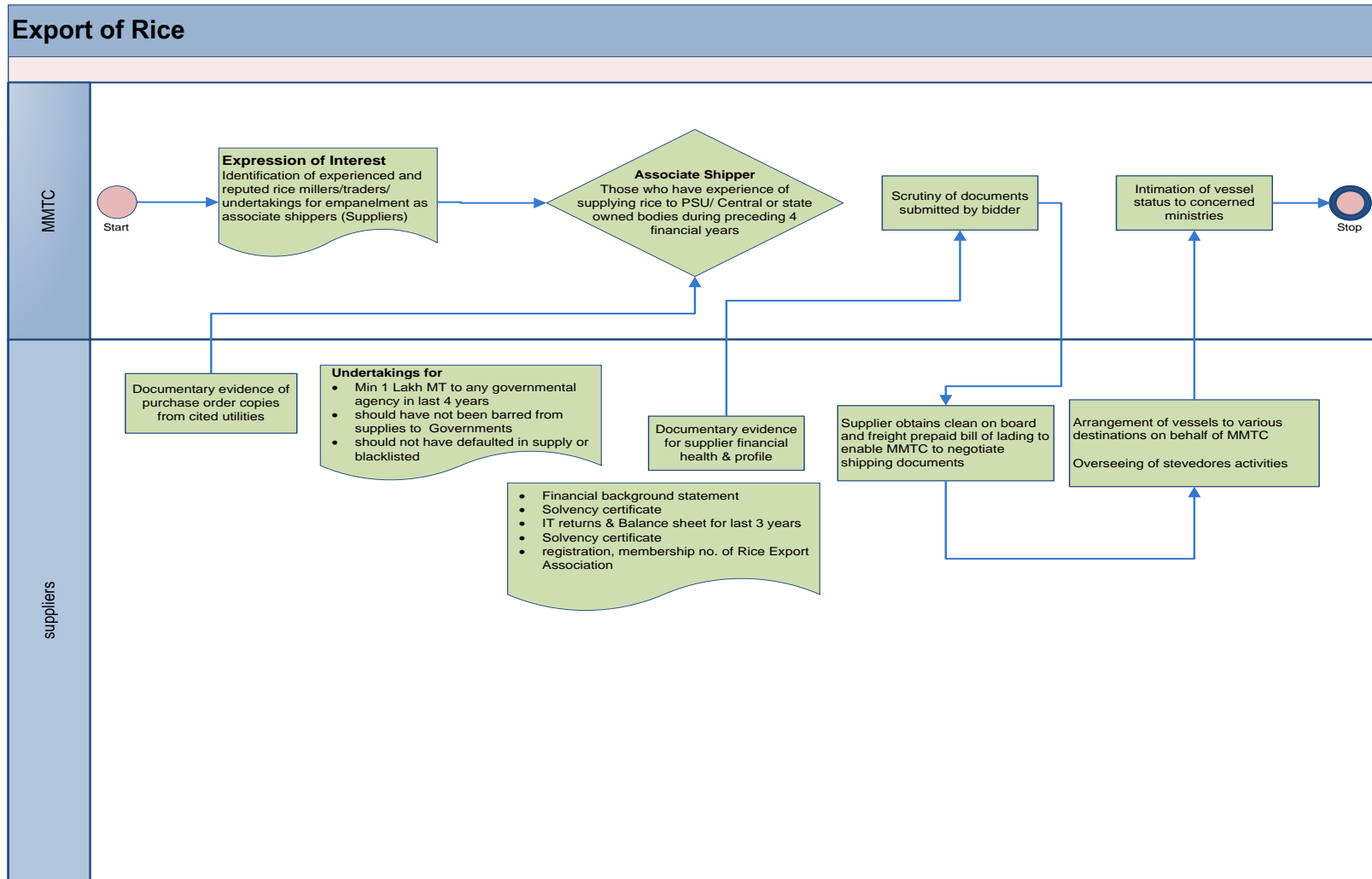
The purpose of this process is to select empanelled suppliers for export of rice.

### 1.7.2.2 Process Summary

<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To select empanelled suppliers for export of rice.			
<b>Process Owner</b>			
Agro Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Agro division		<input checked="" type="checkbox"/> Supplier	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Expression of interest in newspaper and on MMTC website		<input checked="" type="checkbox"/> Selection of supplier <input checked="" type="checkbox"/> Vessel arrangement from supplier	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			
<b>Documentation</b>		<b>Formats</b>	
<input checked="" type="checkbox"/> Expression of interest <input checked="" type="checkbox"/> Undertakings from bidder <input checked="" type="checkbox"/> Clean on board and freight prepaid bill <input checked="" type="checkbox"/> Stevedores daily report		<input checked="" type="checkbox"/> Expression of interest <input checked="" type="checkbox"/> Clean on board and freight prepaid bill <input checked="" type="checkbox"/> Stevedores daily report	



1.7.2.3 Process Map



#### 1.7.2.4 Process Description

MMTC identifies experienced and reputed rice millers/traders/undertakings for empanelment as associate shippers (suppliers) by bringing out an expression of interest in newspaper and on the website. The supplier should be experience in supplying rice to Public Sector Undertakings central or state owned for preceding four calendar years / financial year to qualify as an associate shipper. The bidder is required to furnish documentary evidence of purchase order copies from the mentioned utilities.

Bidder should have a sound financial background with minimum annual turnover of Rs100 crores. It is required that the bidder furnishes solvency certificate from the bank for a minimum amount of Rs. 25 crores along with income tax returns and balance sheet for last three years for evidence. The bidder is also required to fulfill other conditions as well such as documentary proof of export order for minimum quantity of 1 lakh MT to any Government Agency in any country during the past four years, should not been barred/blacklisted or defaulted in supplies to any Governments undertaking organizations for supply of rice in India. Bidder is also required to furnish details on their registration and membership no. of Rice Export Association.

Once the bidder is selected, selected supplier obtains clean on board and freight prepaid bill of lading to enable MMTC to negotiate shipping documents. All documents required for negotiation under LC / contract is submitted to MMTC for negotiation by Supplier in time. If required by MMTC, supplier indicates whether it will be possible for them to arrange vessels to various destinations. Supplier also carries out stevedoring / loading of vessels as per shipping schedule in export contract. MMTC keeps the concerned ministries informed at regular intervals on the shipment status.

Sr.No.	Process Detail	Responsibility Centre
1.	Process for export of rice	
1.1.	Expression of interest is floated in two daily newspapers and on website for empanelment of suppliers	MMTC

Sr.No.	Process Detail	Responsibility Centre
1.2.	Interested bidders submit documentary benefits as per contract terms.	Bidders
1.3.	Scrutiny of documentary evidence submitted by bidders and selection of suppliers	MMTC
1.4.	Clean on board and freight prepaid bill of lading to enable MMTC to negotiate shipping documents is obtained	Supplier
1.5.	Arrangement of vessels to various destinations	Supplier
1.6.	Supervision of stevedoring / loading of vessels activities as per shipping schedule in export contract	Supplier
1.7.	Intimation to concerned ministries at regular intervals on the shipment status.	MMTC

### 1.7.3 Trading of agro products on NSEL (National Spot Exchange Limited)

#### 1.7.3.1 Description

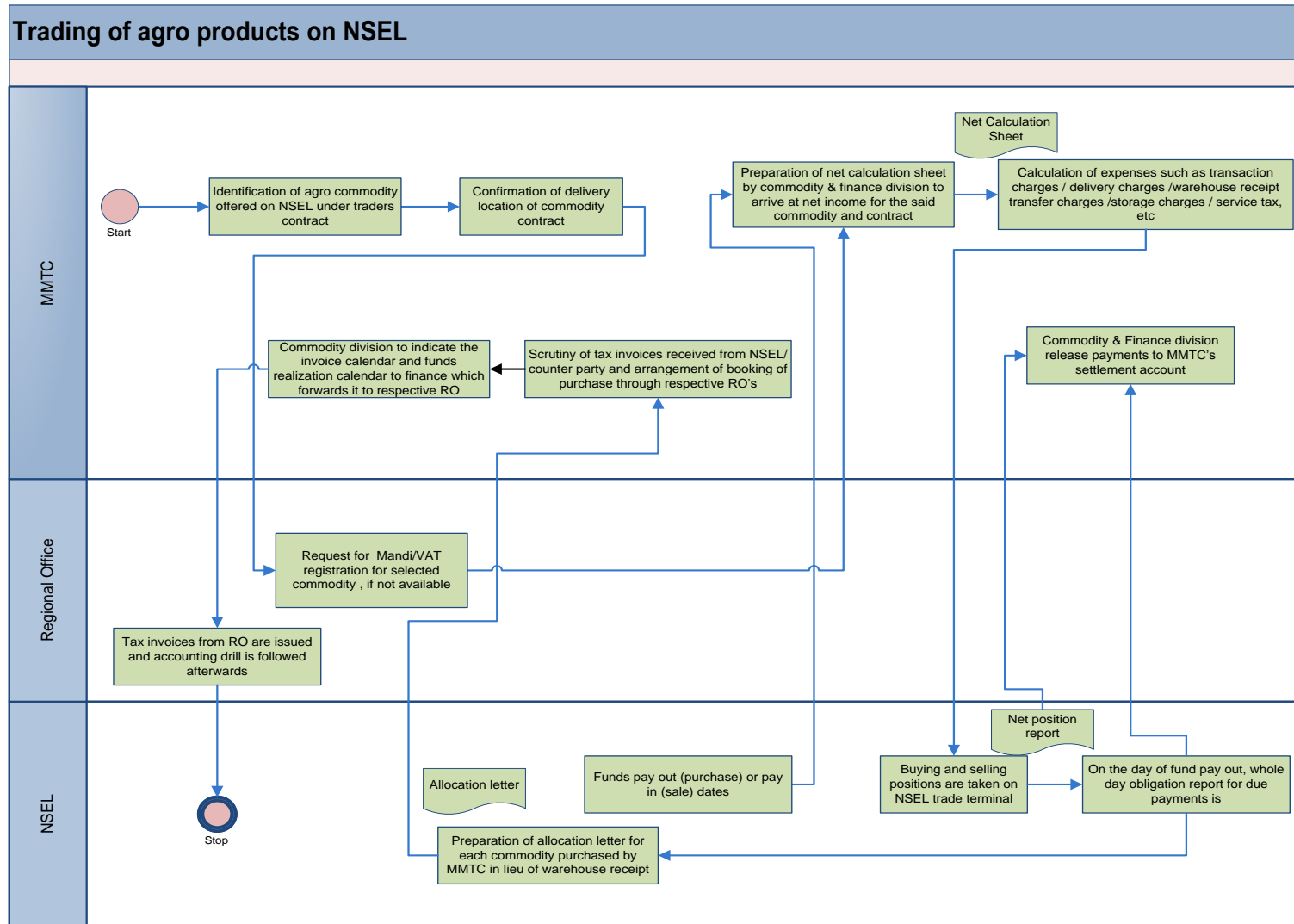
The purpose of this process is to trade select agro commodities on National Spot Exchange Limited (NSEL) based on SPCOD/FMCO approvals.

#### 1.7.3.2 Process Summary

<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To trade select agro commodities on National Spot Exchange Limited based on SPCOD/FMCO approvals.			
<b>Process Owner</b>			
Agro Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Agro division		<input checked="" type="checkbox"/> NSEL <input checked="" type="checkbox"/> Mandi / VAT authorities <input checked="" type="checkbox"/> Commodity & Finance division, MMTC	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Identification of agro commodity to be offered on NSEL		<input checked="" type="checkbox"/> Tax Invoices from regional office	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			
<b>Documentation</b>		<b>Formats</b>	
<input checked="" type="checkbox"/> VAT registration certificate for selected commodity <input checked="" type="checkbox"/> Net Calculation sheet <input checked="" type="checkbox"/> Net position report		<input checked="" type="checkbox"/> VAT registration certificate for selected commodity <input checked="" type="checkbox"/> Net Calculation sheet <input checked="" type="checkbox"/> Net position report	

Name of process	Contracting
<input checked="" type="checkbox"/> Allocation letter <input checked="" type="checkbox"/> Tax invoices	<input checked="" type="checkbox"/> Allocation letter <input checked="" type="checkbox"/> Tax invoices

1.7.3.3 Process Map



### 1.7.3.4 Process Description

MMTC identifies the agro commodities to be offered on NSEL under trader's contract. Concerned regional office verifies the delivery location for the said commodity so that purchase or sale contract can be drawn. The concerned RO/SRO is required to have necessary VAT/ Mandi registration for selected commodity before trading on its account. In case it is not there, RO/SRO should get the approval thirty days in advance of trading activity. Commodity and finance division prepares a net calculation sheet to arrive at a net income for said commodity and contract. Net income is calculate based on funds pay-out (purchase) and funds pay-in (sale) date taken from NSEL settlement calendar for the commodity and the contract selected. On the basis of calculation sheet, both buying and selling positions are simultaneously taken at NSEL trade terminal after which NSEL provides allocation letter for each commodity purchased by MMTC. Purchase tax invoices are received from NSEL and scrutinized by commodity & finance division. Tax invoices and other documents are then forwarded to regional office or sub-regional office for contract realization.

Sr.No.	Process Detail	Responsibility Centre
1.	Trading of agro products on NSEL	
1.1.	Identification of agro commodities to be offered on NSEL under traders contract	MMTC
1.2.	Verification from concerned regional office regarding delivery location for said commodity so that purchase or sale contract can be drawn	Regional office
1.3.	Required VAT/Mandi registration for selected commodity to be acquired by concerned RO/SRO in 30 days before trading , if not available	Regional office
1.4.	Preparation of net calculation sheet to arrive at a net income for said commodity and contract	Commodity and finance division
1.5.	Calculation of Net income based on funds pay-out (purchase) and funds pay-in (sale) date taken from NSEL settlement calendar for the commodity and the contract selected	NSEL

Sr.No.	Process Detail	Responsibility Centre
1.6.	On the basis of calculation sheet, both buying and selling positions are simultaneously taken at NSEL trade terminal after which allocation letter for each commodity purchased by MMTC is allocated	NSEL
1.7.	Purchase tax invoices are received from NSEL and scrutinized by commodity & finance division	NSEL & Commodity finance division
1.8.	Tax invoices and other documents are then forwarded to regional office or sub-regional office for contract realization	SRO/RO



## 1.7.4 Import and sale of edible oil

### 1.7.4.1 Description

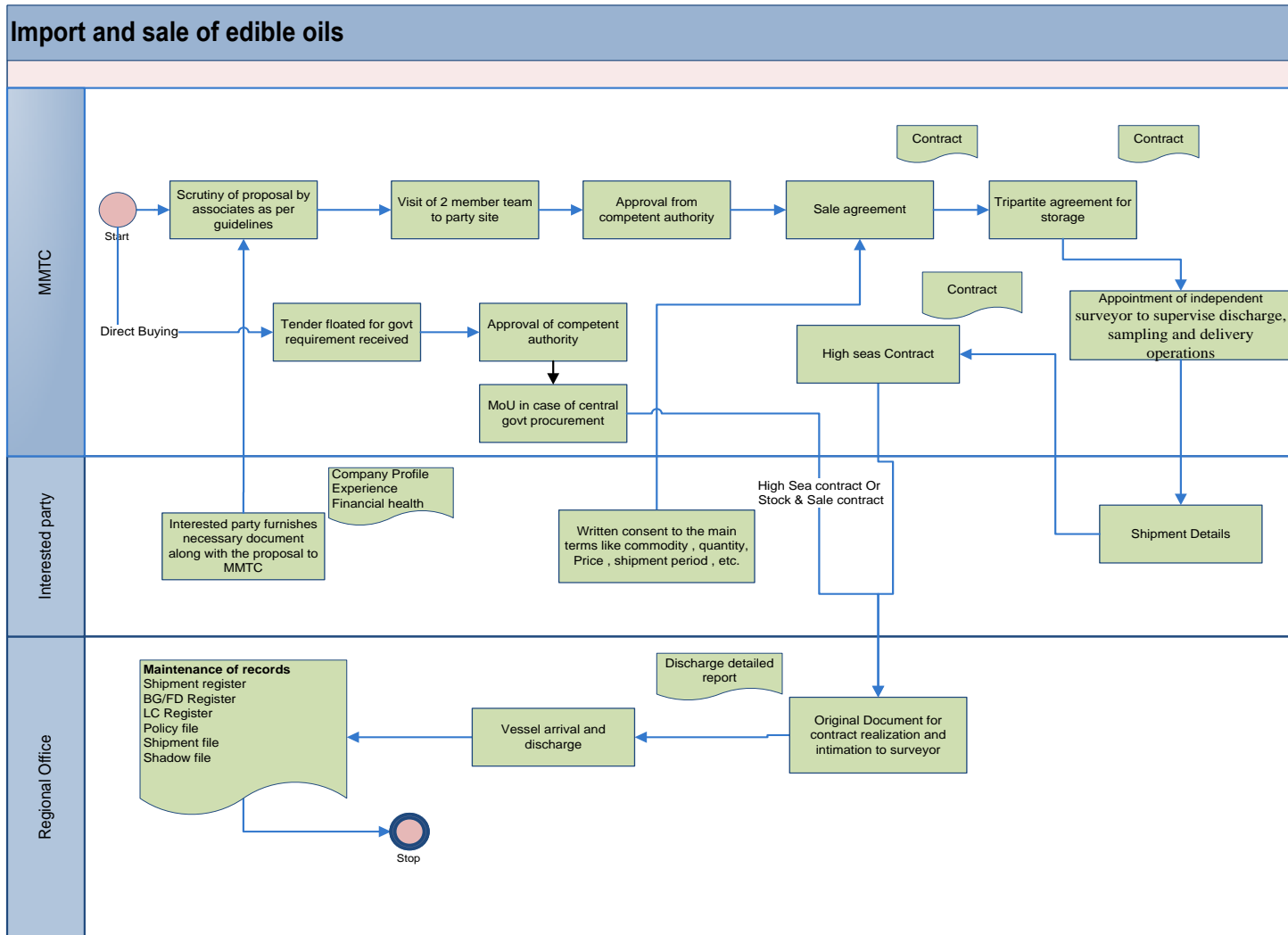
The purpose of this process is to import and sale edible oil using global tender or via contracting with interested parties.

### 1.7.4.2 Process Summary

<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To import and sale edible oil using global tender or via contracting with interested parties.			
<b>Process Owner</b>			
Agro Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Agro division		<input checked="" type="checkbox"/> Regional Office <input checked="" type="checkbox"/> Bidders/ Interested parties	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Proposal from prospective interested parties <input checked="" type="checkbox"/> Notification for a global tender <input checked="" type="checkbox"/> Bids from bidders <input checked="" type="checkbox"/> Contract for import		<input checked="" type="checkbox"/> Discharge of vessel <input checked="" type="checkbox"/> Duly updated registers from regional office	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			
<b>Documentation</b>		<b>Formats</b>	
<input checked="" type="checkbox"/> High sea contract <input checked="" type="checkbox"/> Sale contract		<input checked="" type="checkbox"/> High sea contract <input checked="" type="checkbox"/> Sale contract	

Name of process	Contracting
<input checked="" type="checkbox"/> Tripartite contract	<input checked="" type="checkbox"/> Tripartite contract
<input checked="" type="checkbox"/> Bidder proposal	<input checked="" type="checkbox"/> Bidder proposal
<input checked="" type="checkbox"/> Discharge detailed report	<input checked="" type="checkbox"/> Discharge detailed report
<input checked="" type="checkbox"/> Shipment register	<input checked="" type="checkbox"/> Shipment register
<input checked="" type="checkbox"/> BG/FD Register	<input checked="" type="checkbox"/> BG/FD Register
<input checked="" type="checkbox"/> LC Register	<input checked="" type="checkbox"/> LC Register
<input checked="" type="checkbox"/> Policy file	<input checked="" type="checkbox"/> Policy file
<input checked="" type="checkbox"/> Shipment file	<input checked="" type="checkbox"/> Shipment file
<input checked="" type="checkbox"/> Shadow file	<input checked="" type="checkbox"/> Shadow file

1.7.4.3 Process Map



#### 1.7.4.4 Process Description

Interested parties submit proposal to MMTC with their necessary documents indicating their financial health. MMTC scrutinizes the proposal submitted and a two member team visits bidder's site. Based on members report and approval from competent authority MMTC signs a sale contract with party and a tripartite contract including storage agency as well. MMTC appoints independent surveyors to oversee discharge, sampling and delivery operations. Once shipment details are exchanged, high sea contract is signed. All necessary documents are then forwarded to concerned regional office for contract realization. Regional office updates all respective registers and sends consolidated report to corporate office.

If MMTC decides to float a global tender then selected bidder signs a high sea and stock & sale contract with government agency after approval of competent authority.

Sr.No.	Process Detail	Responsibility Centre
1.	Import and sale of edible oil	
1.1.	Interested parties submit their proposal with necessary document for import and sale of edible oil	Interested Party
1.2.	The documents submitted as part of bids are scrutinized and a two member committee visit their site	MMTC
1.3.	Based on members report and approval from competent authority sale contract is signed with party and a tripartite contract including storage agency.	MMTC
1.4.	Independent surveyors are appointed to oversee discharge, sampling and delivery operations	MMTC
1.5.	Shipment details are forwarded to MMTC	Selected Party
1.6.	High sea contract is signed	MMTC
1.7.	In case of global tender , MoU is signed between government agency and successful bidder	MMTC

Sr.No.	Process Detail	Responsibility Centre
1.8.	Regional office maintains all statutory compliances and update all relevant registers	Regional office

### 1.7.5 Export of wheat

#### 1.7.5.1 Description

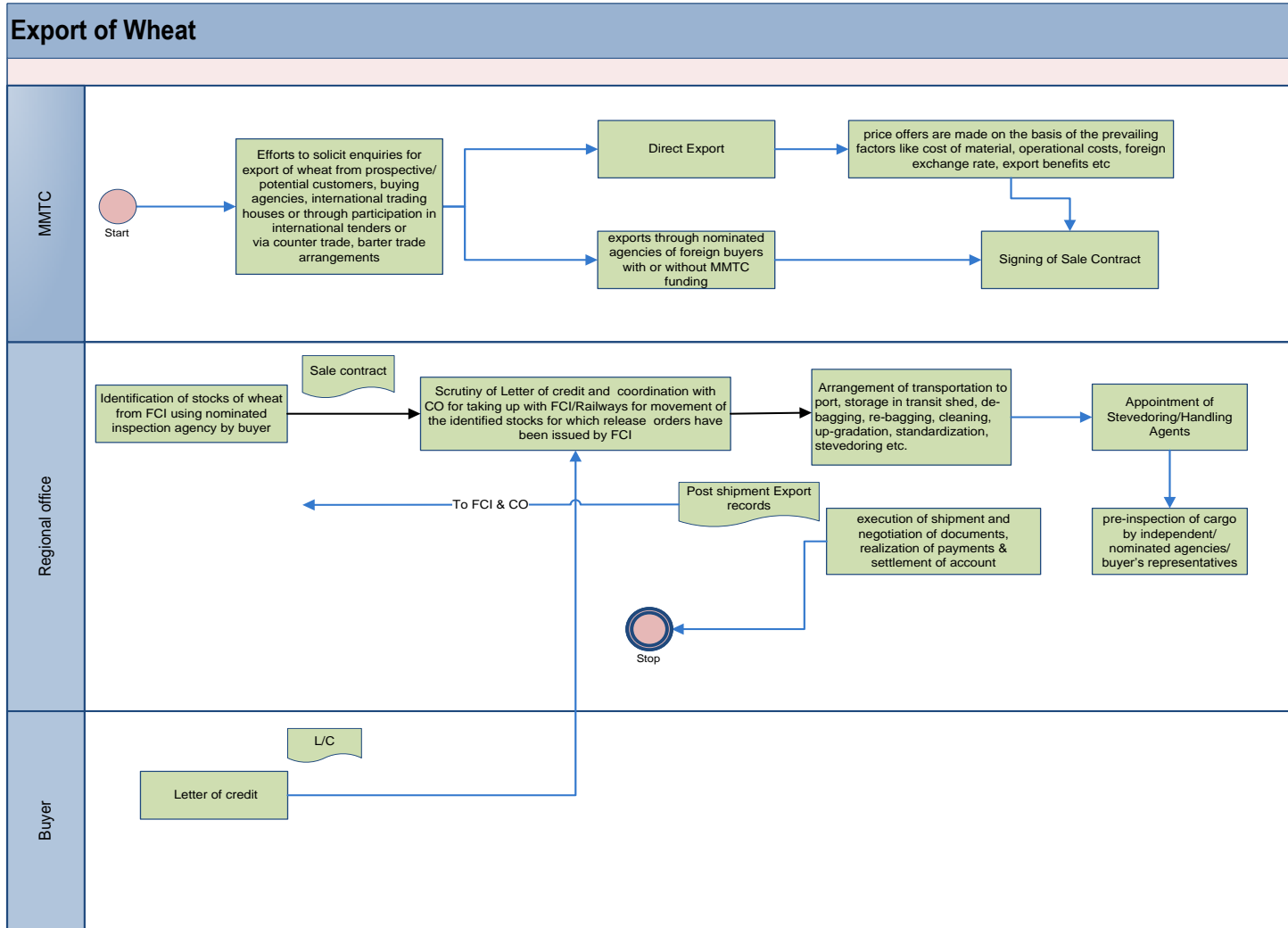
The purpose of this process export wheat either by soliciting inquiries or by participation in global tenders.

#### 1.7.5.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>	
<b>Process Goal</b>	To export wheat either by soliciting enquiries or by participation in global tenders.	
<b>Process Owner</b>	Agro Division	
<b>Primary Actors</b>	<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Agro division	<input checked="" type="checkbox"/> Regional Office <input checked="" type="checkbox"/> Buyer	
<b>Process Input</b>	<b>Process Output</b>	
<input checked="" type="checkbox"/> Enquiry from prospective bidders <input checked="" type="checkbox"/> Participation in a global tender	<input checked="" type="checkbox"/> Post shipment export records	
<b>Transactional Volume</b>	<input checked="" type="checkbox"/> No data available	
<b>Documentation</b>	<b>Formats</b>	

Name of process	Contracting
<input checked="" type="checkbox"/> Enquiry from bidder	<input checked="" type="checkbox"/> Enquiry from bidder
<input checked="" type="checkbox"/> Sale contract	<input checked="" type="checkbox"/> Sale contract
<input checked="" type="checkbox"/> Post shipment export records	<input checked="" type="checkbox"/> Post shipment export records
<input checked="" type="checkbox"/> Letter of credit	<input checked="" type="checkbox"/> Letter of credit

1.7.5.3 Process Map



#### 1.7.5.4 Process Description

Continuous efforts are made to solicit enquiries for export of wheat from prospective/potential customers, buying agencies, international trading houses dealing with these commodities as also through participation in international tenders. Possibilities are also explored for exporting these commodities under counter trade, barter trade or any other special trading arrangements. The various methods for export of commodities includes direct exports by MMTC, exports through nominated agencies of foreign buyers with or without MMTC funding on fixed margin so as to maximize export turnover, and or any other tool or modus operandi to be envisaged and operationalized to enhance the export opportunities keeping in view the dynamics of global trading.

In the case of direct exports by MMTC, price offers are made ensuring that there is a positive contribution to MMTC on the basis of the prevailing factors like cost of material, operational costs, foreign exchange rate, export benefits etc. All sale contracts are done at C.O. Once sale contract is entered into, the same is handed over to the concerned Regional Office of MMTC for execution of the export order.

On the basis of the sale contract, Regional Office proceeds to obtain allocation of wheat from FCI. For obtaining allocation, it is required to identify the stocks of the requisite quality. For this purpose, to the extent possible, services of the inspection agency nominated by the buyers is availed for identification of stocks and the stations/godowns. After receipt of workable L/C/Security deposit from the buyer as per contract, Regional Office scrutinizes the L/C with reference to contract and only on finding the L/C to be workable, it takes further necessary action to obtain release order from FCI.

Regional offices coordinates with the C.O. for taking up with FCI/Railways for movement of the identified stocks for which release orders have been issued by FCI. They take all necessary actions like transportation to port, storage in transit shed, de-bagging, re-bagging, cleaning, up-gradation, standardization, stevedoring etc. to complete the shipment in terms of the contract. Stevedoring/Handling Agents are appointed by the Regional Office/Port Offices of MMTC as per the laid down procedures of the agency. The cargo for export is then subjected to pre-inspection by independent/nominated agencies/buyer's representatives as the case may be.



Sr.No.	Process Detail	Responsibility Centre
1.	Export of Wheat	
1.1.	Continuous efforts are made to solicit enquiries for export of wheat from prospective/potential customers, buying agencies, international trading houses dealing with these commodities as also through participation in international tenders	MMTC
1.2.	Sale contracts are furnished at corporate office	MMTC
1.3.	On the basis of the sale contract, Regional Office proceeds to obtain allocation of wheat from FCI. For obtaining allocation, is required to identify the stocks of the requisite quality	RO and FCI
1.4.	After receipt of workable L/C/Security deposit from the buyer as per contract, Regional Office scrutinizes L/C with reference to contract	RO
1.5.	Regional offices coordinates with C.O. for taking up with FCI/Railways for movement of the identified stocks for which release orders have been issued by FCI	RO
1.6.	Stevedoring/Handling Agents are appointed by the Regional Office/Port Offices of MMTC as per the laid down procedures of the agency.	RO
1.7.	The cargo for export would be subjected to pre-inspection by independent/nominated agencies/buyer's representatives as the case may be	Independent surveyors

## 1.7.6 Domestic trading in cotton

### 1.7.6.1 Description

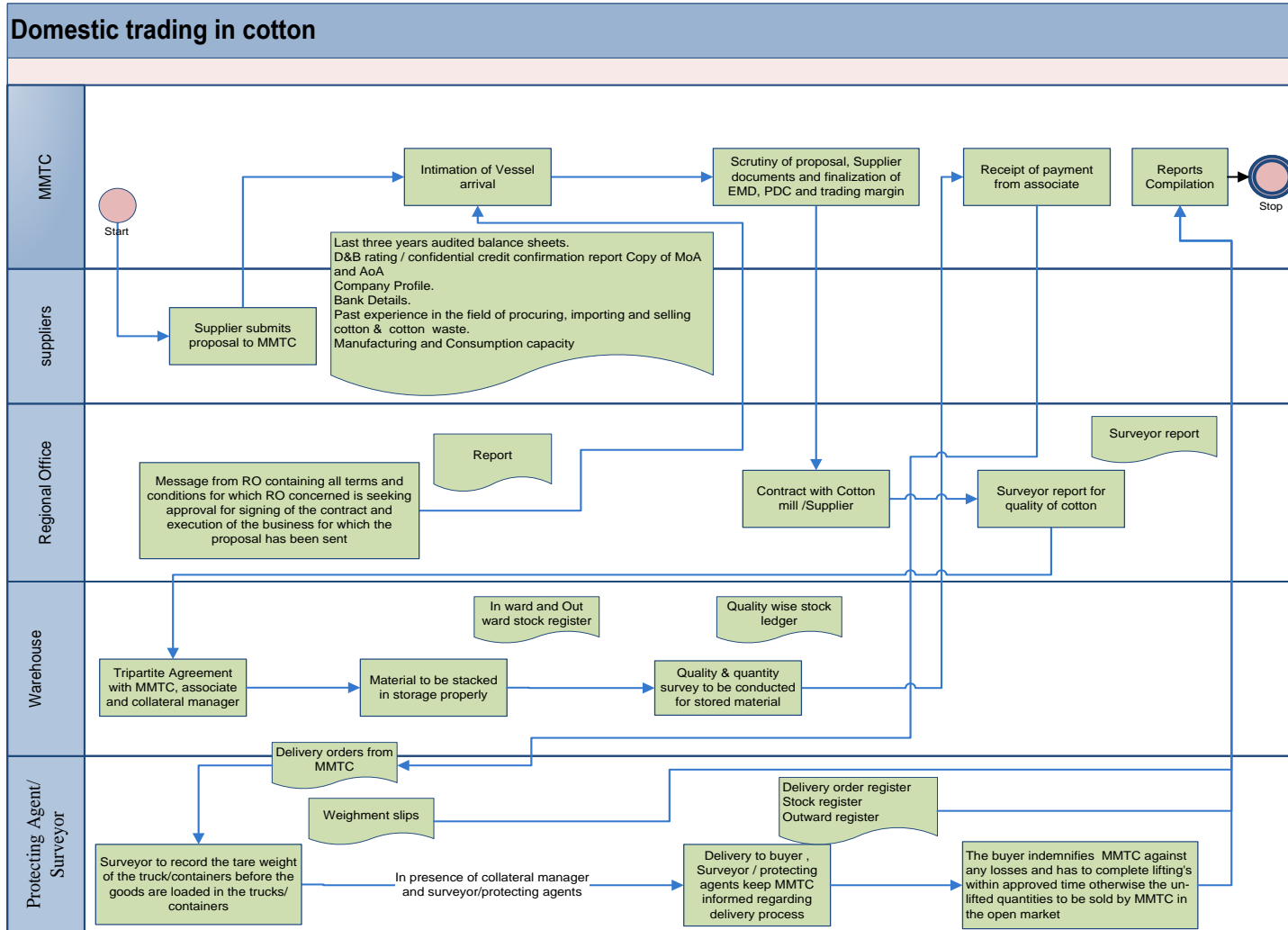
The purpose of this process is to perform trade of cotton in domestic market

### 1.7.6.2 Process Summary

<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To perform trade of cotton in domestic market			
<b>Process Owner</b>			
Agro Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Agro division		<input checked="" type="checkbox"/> Regional Office <input checked="" type="checkbox"/> Supplier <input checked="" type="checkbox"/> Warehouse Agency <input checked="" type="checkbox"/> Protecting Agent/Surveyor	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Proposal from prospective Supplier		<input checked="" type="checkbox"/> Post shipment export records	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			
<b>Documentation</b>		<b>Formats</b>	

Name of process	Contracting
<input checked="" type="checkbox"/> Enquiry from bidder	<input checked="" type="checkbox"/> Enquiry from bidder
<input checked="" type="checkbox"/> Sale contract	<input checked="" type="checkbox"/> Sale contract
<input checked="" type="checkbox"/> Post shipment export records	<input checked="" type="checkbox"/> Post shipment export records
<input checked="" type="checkbox"/> Letter of credit	<input checked="" type="checkbox"/> Letter of credit

1.7.6.3 Process Map



#### 1.7.6.4 Process Description

Interested supplier submits proposal to MMTC with their relevant documents. After scrutiny of documents and finalization EMD, Trading margin and PDC amount, consent from concerned regional office is taken. Regional office gets into contract with cotton supplier and a tripartite contract is signed including warehouse agency. Quality checks and inward /outward registers are maintained at warehouse. Once delivery order is received from MMTC, independent surveyor issue weighment slips and keeps MMTC informed regarding delivery process.

Sr.No.	Process Detail	Responsibility Centre
1.	Domestic trading in cotton	
1.1.	Interested supplier makes a proposal to MMTC with all relevant documents	Supplier
1.2.	Documents and scrutinized and decision on EMD, PDC and trading margin is taken	MMTC
1.3.	Concerned regional office provides its consent for getting into contract	Regional office
1.4.	Contracts are signed with supplier and warehouse agency	Regional office
1.5.	Quality checks are performed at warehouse and inward/outward movement of stock is registered	Warehouse
1.6.	Weighment of stock while loading and supervision of delivery	Independent surveyor

## 1.7.7 Handling of containerized consignment of pulses

### 1.7.7.1 Description

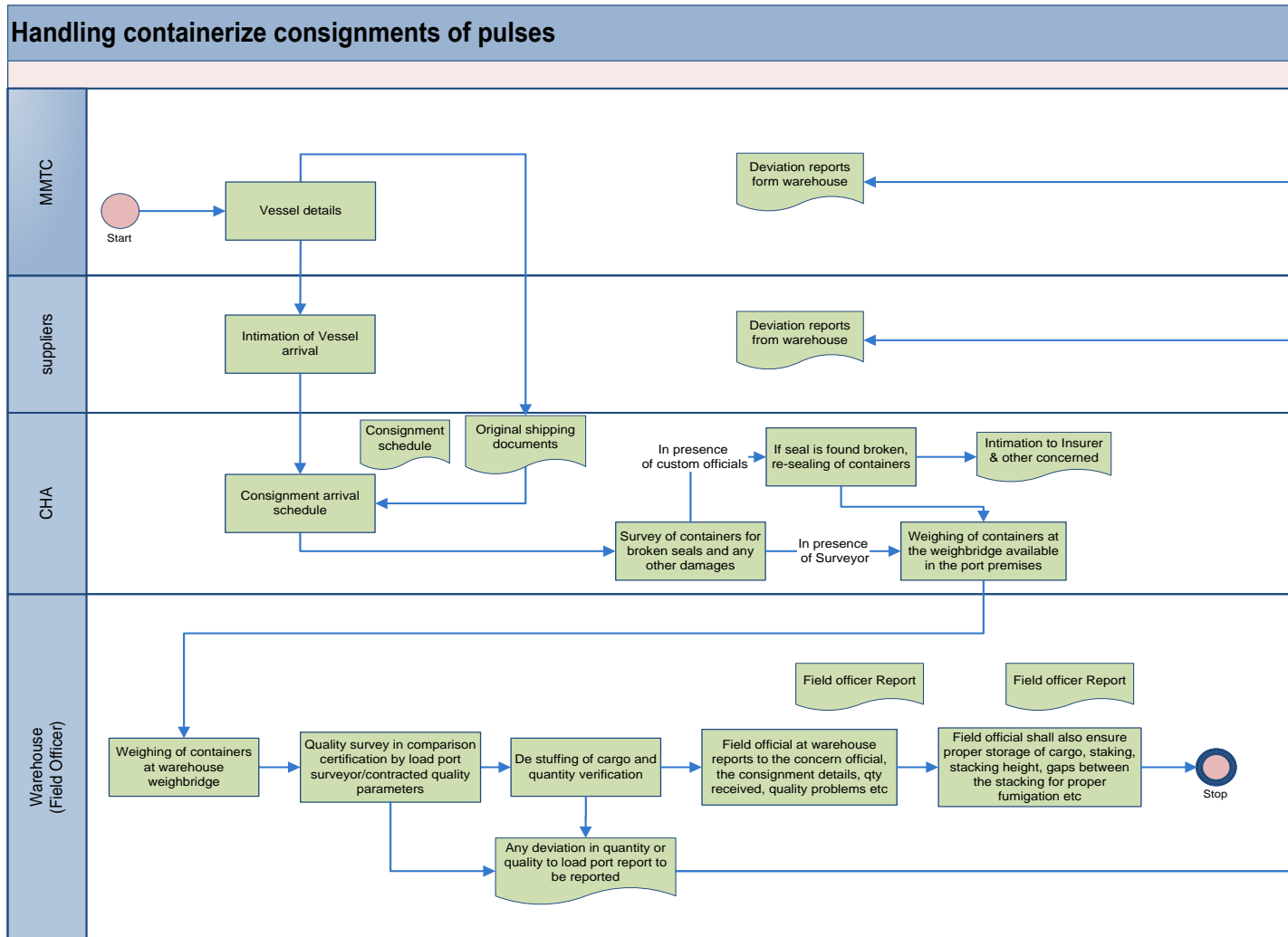
The purpose of this process is to oversee movement of containerized consignment of pulses from supplier to delivery at warehouse.

### 1.7.7.2 Process Summary

<b>Name of process</b>		<b>Contracting</b>	
<b>Process Goal</b>			
To oversee movement of containerized consignment of pulses from supplier to delivery at warehouse			
<b>Process Owner</b>			
Agro Division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Agro division		<input checked="" type="checkbox"/> CHA <input checked="" type="checkbox"/> Supplier <input checked="" type="checkbox"/> Warehouse Agency <input checked="" type="checkbox"/> Field officer	
<b>Process Input</b>		<b>Process Output</b>	
<input checked="" type="checkbox"/> Receipt of shipment details		<input checked="" type="checkbox"/> Field officer report	
<b>Transactional Volume</b>			
<input checked="" type="checkbox"/> No data available			
<b>Documentation</b>		<b>Formats</b>	
<input checked="" type="checkbox"/> Shipment details <input checked="" type="checkbox"/> Deviation reports from warehouse <input checked="" type="checkbox"/> Weighment reports		<input checked="" type="checkbox"/> Deviation reports from warehouse <input checked="" type="checkbox"/> Weighment reports <input checked="" type="checkbox"/> Intimation to insurer	

Name of process	Contracting
<input checked="" type="checkbox"/> Intimation to insurer <input checked="" type="checkbox"/> Field officer/survey reports	<input checked="" type="checkbox"/> Field officer/survey reports

1.7.7.3 Process Map





#### 1.7.7.4 Process Description

Upon receipt of the shipment details from Corporate Office (C.O.)/Supplier, official looking after the clearing immediately informs the CHA about the intended consignment arrival schedule and other details. The official concerned follows up with the C.O. for original shipping documents, and with the CHA for arrival schedule. Once the consignment is ready for dispatch to intended warehouse, concerned official advises CHA and CHA ensures that all the container(s) are surveyed for damages etc. surveyor checks the seal of the containers, and any seal if broken needs to be re-sealed in the presence of custom official by the surveyor taking note of these containers.

At the time of taking delivery of the container from the port, CHA /Surveyor verify seal and if any seal broken etc. is intimated to the concern official for intimation to Insurer and all other concerned. Official looking after clearance ensures that all the container(s) are weighed at the weighbridge available in the port premises only in the presence of surveyor and any difference between the weight at weighbridge and as per shipping document (Bill of Lading) is informed by CHA/Surveyor to the concern official.

Once the container is taken to the intended warehouse, the same is once again weighed near the warehouse weighbridge, any variation in weight from the weigh bridge near the port and near the warehouse the same is brought to the notice by surveyor/filed officers to the concern official.

The goods received from the containers/consignment are checked by the surveyor and if difference is found in the quality (as compared to the certification by load port surveyor/contracted quality parameters) than the load port certification, it is brought to the notice of the concerned official so that the supplier and other concern can be put on notice for the same.

Surveyor reports all the activity of weighing the container(s) at all weighbridge and de-stuffing of the cargo at warehouse. Any deviation than the load port certification and contracted quantity/quality, is brought to the notice of concerned official and shall form the part of surveyor report.

Field official ensures proper storage of cargo, staking, stacking height, gaps between the stacking for proper fumigation etc. and shall be solely held responsible for the deviation if any in proper storing the cargo at warehouse.

Sr.No.	Process Detail	Responsibility Centre
1.	Handling of containerized consignment of pulses	
1.1.	Receipt of the shipment details from Corporate Office (C.O.)/Supplier, official looking after the clearing shall immediately inform the CHA about the intended consignment arrival schedule etc	MMTC
1.2.	Once the consignment is ready for dispatch to intended warehouse, CHA ensures that all the container(s) must be surveyed for damages etc. surveyor to check the seal of the containers, and any seal if broken needs to be re-sealed in the presence of custom official by the surveyor taking note of these containers	CHA
1.3.	All the container(s) are weighed at the weighbridge available in the port premises only in the presence of surveyor and any difference between the weight at weighbridge and as per shipping document (Bill of Lading) is informed by CHA/Surveyor to the concerned official	Field officer
1.4.	The goods so received from the containers/consignment are checked by the surveyor and if difference is found in the quality than the load port certification	Surveyor
1.5.	Surveyor reports all the activity of weighing the container(s) at all weighbridge and de-stuffing of the cargo at warehouse	Surveyor
1.6.	Field official ensures proper storage of cargo, staking, stacking height, gaps between the stacking for proper fumigation etc	Field officer

## 1.8 General Trading

### 1.8.1 Process for Import/Export and Domestic trade in General Trade Division

#### 1.8.1.1 Description

The purpose of this process is to select a buyer / supplier for General Trade Commodities.

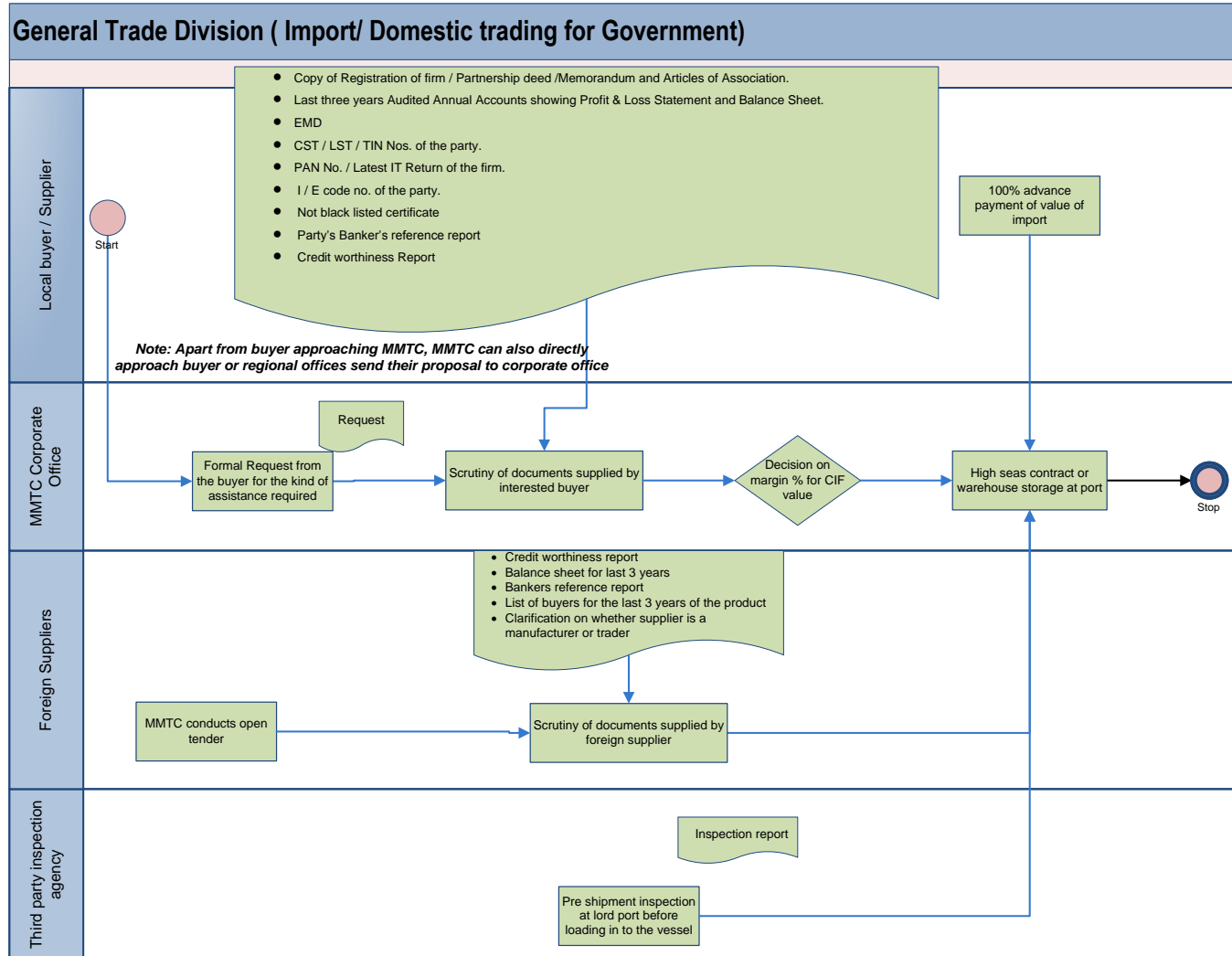
#### 1.8.1.2 Process Summary

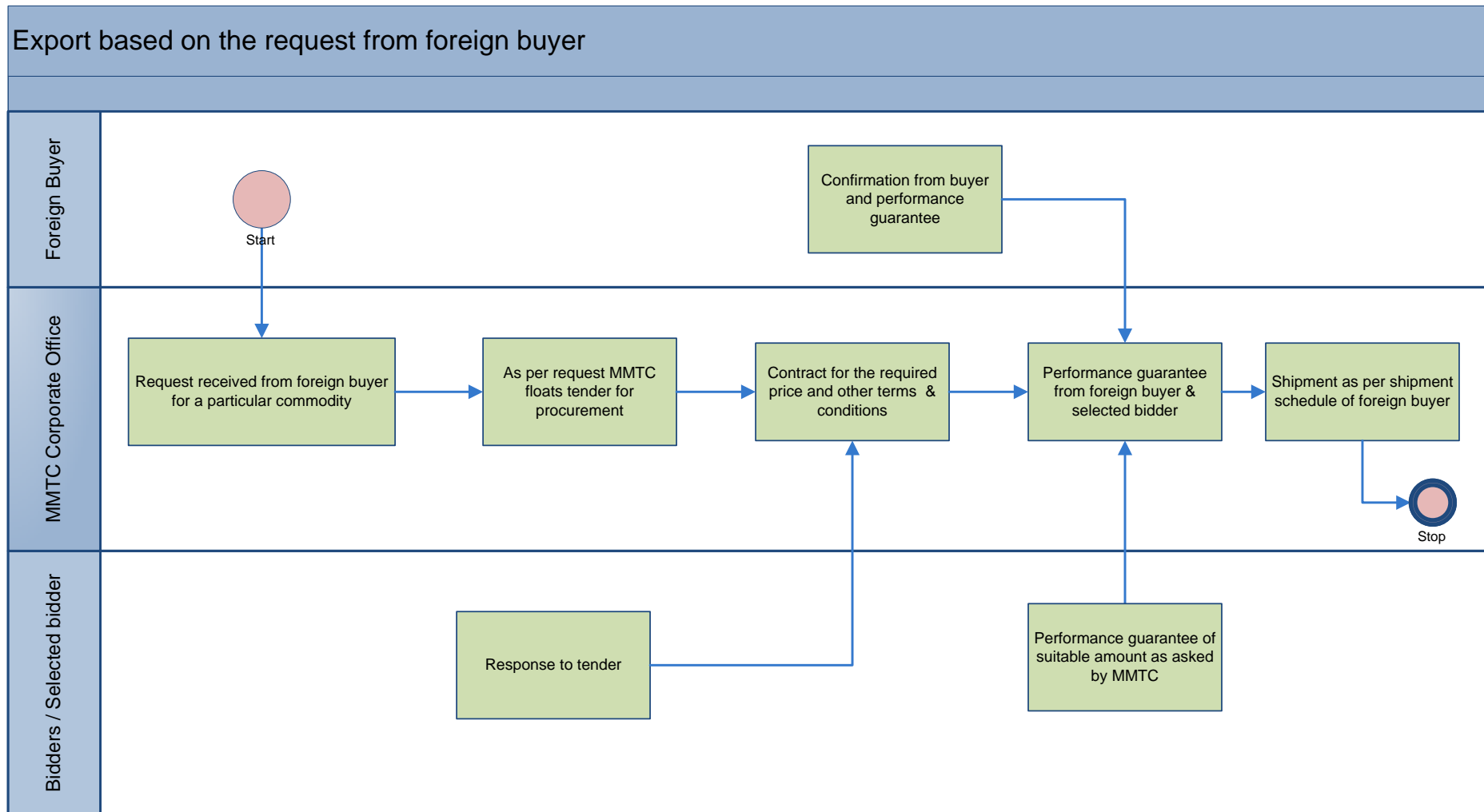
<b>Name of process</b>	<b>Contracting</b>
<b>Process Goal</b>	
To select a Buyer / Supplier for general trade commodities.	
<b>Process Owner</b>	
General Trade Division	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> General Trade division	<input checked="" type="checkbox"/> Interested Buyer/ Agency <input checked="" type="checkbox"/> Local & foreign supplier <input checked="" type="checkbox"/> Third party Inspection agency <input checked="" type="checkbox"/> Finance division <input checked="" type="checkbox"/> Insurance agency

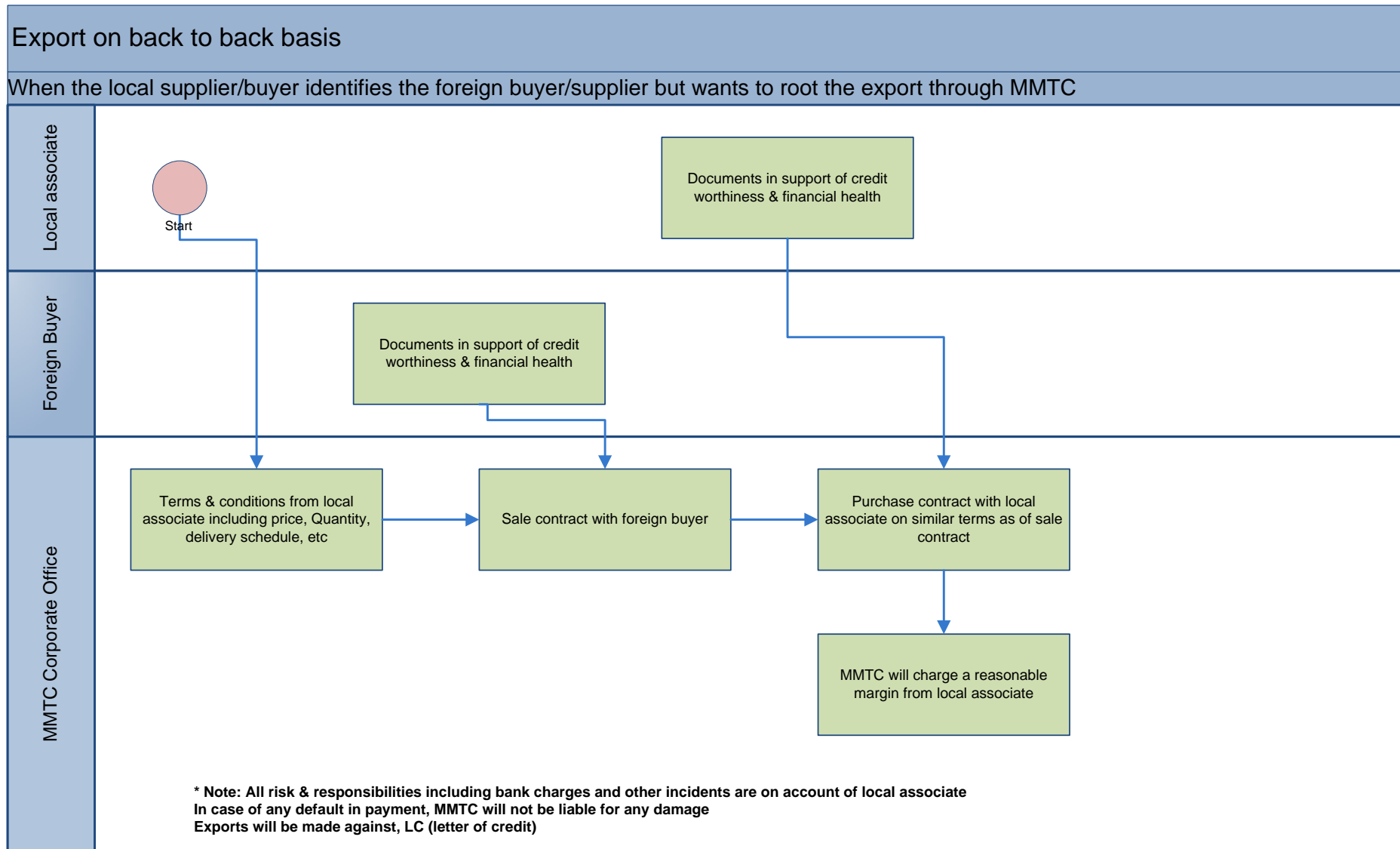
Name of process	Contracting
	<input checked="" type="checkbox"/> Warehouse agency <input checked="" type="checkbox"/> Credit rating agency <input checked="" type="checkbox"/> Clearing and handling agents (CHA)
Process Input	Process Output
<input checked="" type="checkbox"/> Formal request from interested Buyer. <input checked="" type="checkbox"/> For domestic trade the requisition from any Government agency or through open tender or from any manufactures / traders/ vendors	<input checked="" type="checkbox"/> Contract between MMTC and Foreign buyer/ supplier <input checked="" type="checkbox"/> Contract between MMTC and the local buyer/supplier. <input checked="" type="checkbox"/> For Domestic trade between MMTC and Government agency/private trader the contract shall be drawn between MMTC and the supplier/trader. <input checked="" type="checkbox"/> In case of direct supply to the government department the contract may also be drawn between MMTC and Government agency.
Transactional Volume	
<input checked="" type="checkbox"/> No definite frequency	
Documentation	Formats
<input checked="" type="checkbox"/> Proposal from interested buyer/supplier <input checked="" type="checkbox"/> Company profile of interested buyer/supplier	

Name of process	Contracting
<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Supporting documents for credit worthiness and credit rating.</li><li><input checked="" type="checkbox"/> Inspection report at load port/discharge for the cargo.</li><li><input checked="" type="checkbox"/> Inspection through reputed third party agency before supply to government agency/other buyers in case of domestic trading.</li></ul>	

1.8.1.3 Process Map









#### **1.8.1.4 Process Description**

The general trade division performs import/export/domestic trade of commodities which is not covered as part of minerals, agro, coal and hydrocarbons or precious metals groups. Such commodities may be resins, petrochemicals, security items, gypsum, clinker, cement, cotton, wool, yarn, naptha, bitumen, pharmaceutical, machinery, transformer, timber, engineering products, services, iron & steel items, minerals not being exported / imported by Minerals division, other fertilizers, other agro items, etc.

In case of domestic trading, if any government agency makes a request for a particular commodity MMTC finds a suitable backup supplier and gets into contract with the eligible supplier.

Usually MMTC does a high seas contract with the buyer or it is stored in CWC/SWC or any Government agencies warehouse at the port or nearby place. EMD, MMTC trading margin shall be decided on case to case basis subject to approval of competent authority.

In case of general trade involving foreign supplier, MMTC conducts an open tender and based on scrutiny of their creditworthiness, banker's reference report, past record, etc., It gets into a contract with them.

MMTC's General Trade Division at Corporate office has to examine the proposal duly concurred by finance and approved by Law Division on the basis of documents submitted by the buyer or through ROs.

General trade division ensures that the forex cover in respect of import and export commodities is taken in consultation with the local associates to hedge the risk of exchange fluctuations.

While entering in to the above transactions, General trade division ensures compliance of all the instructions issued by Finance & Accounts Division, Corporate Office from time to time.

In case of exports, MMTC does export on the request of foreign buyer or on the back to back basis where the local supplier/buyer identifies the foreign buyer/supplier but wants to root the export through MMTC.

On request from foreign buyer

Based on the request, MMTC floats a tender for procurement. Upon receipt of response and selection of bidder, contract for price and other terms & conditions is signed. On confirmation from the buyer MMTC ask for a PG of suitable amount selected bidder. The same is also taken from foreign buyer. Based on shipment schedule from foreign buyer, shipment is done.

#### Back to back basis

MMTC receive s terms & conditions from local associate including price, quality delivery schedule, etc. MMTC gets into sale contract with foreign buyer accordingly. Purchase contract with local associate is signed on similar terms as of sale contracts. All risk & responsibilities including back charges or other incidents are on the account of local associate. MMTC charges a reasonable margin from local associate. In case of any default in payment , MMTC is not liable for any damage.

Sr.No.	Process Detail	Responsibility Centre
<b>1.</b>	Process of import of general trade commodities	
	Domestic Trading for Government / Import	
<b>1.1.</b>	Formal Request is made for a particular commodity to MMTC corporate office	Government Agency /Local supplier or buyer
<b>1.2.</b>	Examination of the proposal duly concurred by finance and approved by Law Division on the basis of documents submitted by the buyer or through ROs	MMTC's General Trade Division
<b>1.3.</b>	Decision on margin percentage for CIF value	MMTC's General Trade Division
<b>1.4.</b>	Local buyer/suppliers provide 100% advance payment of value of import	Local buyer/supplier
<b>1.5.</b>	In case of foreign supplier, MMTC floats an open tender	MMTC's General Trade Division
<b>1.6.</b>	Supplier documents are scrutinized for credit worthiness	MMTC's General Trade Division
<b>1.7.</b>	Pre shipment inspection at lord port before loading in to the vessel	Third party inspection agency
<b>1.8.</b>	High seas contract or warehouse storage at port	All stakeholders concerned
	Export ( On the basis of request from foreign buyer)	
<b>1.9.</b>	Formal request is sent to MMTC	Foreign buyer

Sr.No.	Process Detail	Responsibility Centre
1.10.	As per request MMTC floats a tender	MMTC's General Trade Division
1.11.	Bidders response to open tender floated by MMTC	Prospective bidders
1.12.	Performance guarantee is asked from foreign buyer & selected bidder	MMTC's General Trade Division
1.13.	Shipment is done as per schedule from foreign buyer	Concerned Regional office
	Export ( On the basis of request from foreign buyer)	
1.14.	Terms & conditions from local associate including price, Quantity, delivery schedule, etc.	Local associate
1.15.	Sale & purchase contract are signed with foreign buyer & local associate respectively	MMTC's General Trade Division

## 1.9 Shipping

### 1.9.1 Process for selection of vessel

#### 1.9.1.1 Description

The purpose of this process is to select vessel or substitute as per requirements of commodity division via Ministry of Shipping (Transchart System).

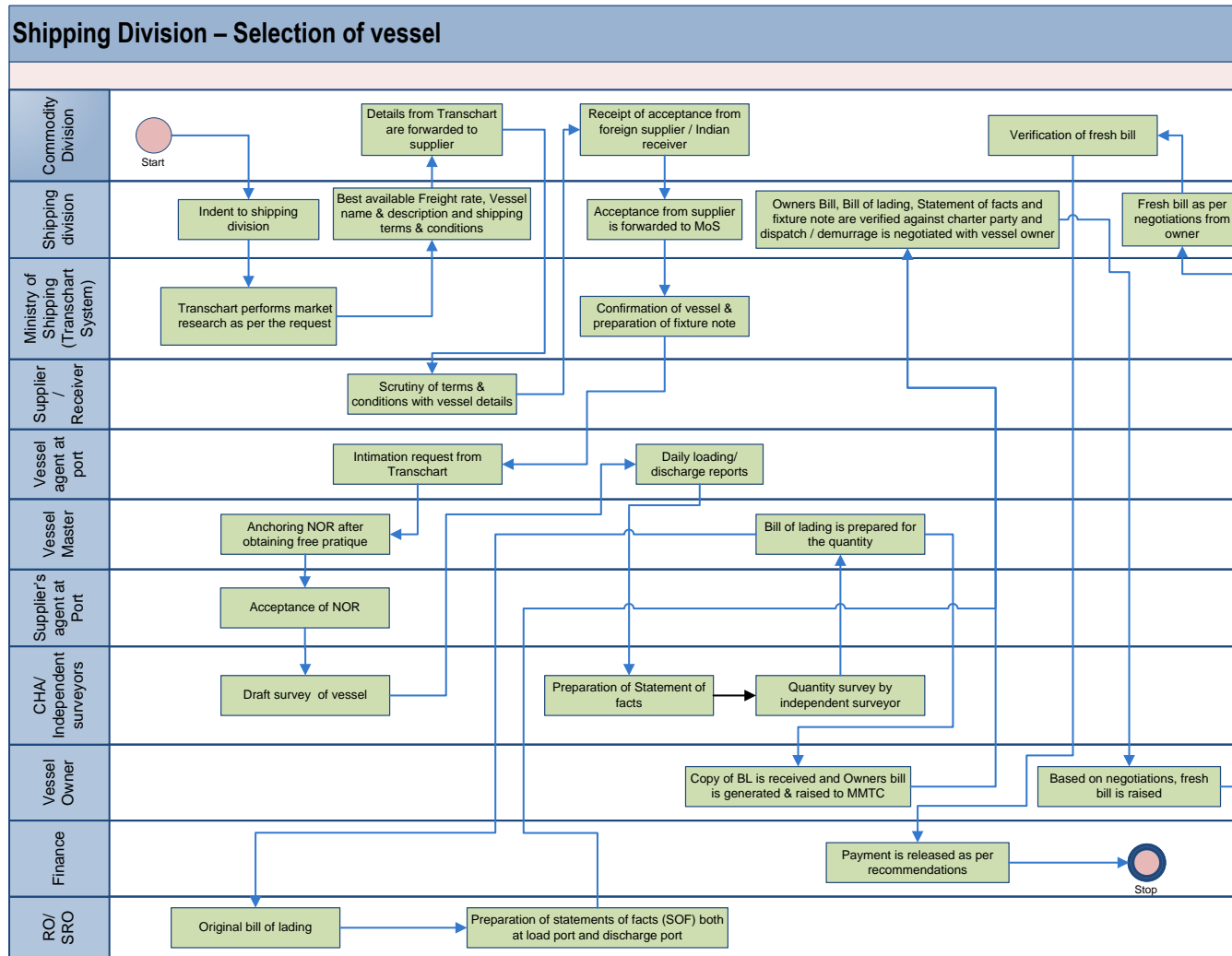
#### 1.9.1.2 Process Summary

<b>Name of process</b>	<b>Contracting</b>
<b>Process Goal</b>	
Select vessel or substitute as per requirements of commodity division via Ministry of Shipping	
<b>Process Owner</b>	
Shipping Division	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Shipping division	<input checked="" type="checkbox"/> Commodity division at MMTC <input checked="" type="checkbox"/> Insurance division at MMTC <input checked="" type="checkbox"/> Supplier

Name of process	Contracting
	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Ministry of shipping (Transchart system)</li> <li><input checked="" type="checkbox"/> Finance division at MMTC</li> <li><input checked="" type="checkbox"/> Vessel agents (at load port and disport)</li> <li><input checked="" type="checkbox"/> Independent surveyors (at load port and disport)</li> </ul>
Process Input	Process Output
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Indent from commodity division to shipping division</li> </ul>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Finalization of vessel through Ministry of shipping (Transchart system)</li> <li><input checked="" type="checkbox"/> Loading and discharge of vessel</li> <li><input checked="" type="checkbox"/> Demurrage / dispatch calculations at load port and disport</li> <li><input checked="" type="checkbox"/> As per charter party, vetting of bills by shipping and commodity division</li> <li><input checked="" type="checkbox"/> Release of payments by finance division</li> </ul>
Transactional Volume	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> No definite frequency</li> </ul>	
Documentation	Formats

Name of process	Contracting
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Indent from product division</li> <li><input checked="" type="checkbox"/> Request to Ministry of shipping (Tranchart system)</li> <li><input checked="" type="checkbox"/> Obtaining acceptance of vessel from supplier and load port terminal through commodity division</li> <li><input checked="" type="checkbox"/> Conveying acceptance of vessel to Ministry of shipping(Tranchart system) and finalization of vessel</li> <li><input checked="" type="checkbox"/> Notices of likely arrival of vessel at ports by vessel master/owner</li> <li><input checked="" type="checkbox"/> Serving of Notice of readiness(NOR) by vessel master on arrival</li> <li><input checked="" type="checkbox"/> Daily loading/unloading reports from supplier (at load port) and receiver(at disport) or their agents</li> <li><input checked="" type="checkbox"/> Statements of facts</li> <li><input checked="" type="checkbox"/> Owners bill</li> </ul>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Notices of likely arrival of vessel at ports by vessel master/owner</li> <li><input checked="" type="checkbox"/> Serving of Notice of readiness(NOR) by vessel master on arrival</li> <li><input checked="" type="checkbox"/> Daily loading/unloading reports from supplier (at load port) and receiver(at disport) or their agents</li> <li><input checked="" type="checkbox"/> Statements of facts</li> <li><input checked="" type="checkbox"/> Owners bill</li> </ul>

1.9.1.3 Process Map





#### 1.9.1.4 Process Description

The commodity division sends an indent to shipping division having details of laycan, quantity of commodity, etc. The shipping forwards this request to Ministry of Shipping (TRANSHART system) with the terms and conditions. The TRANSHART system enters in to market with quotes and timelines and replies back to shipping division with best possible freight rates, vessel name & description along with shipping terms & conditions.

Commodity division forwards the vessel details to supplier for acceptance. Once accepted by foreign supplier or Indian receiver and communicated to TRANSHART, vessel is confirmed and fixture note is prepared. An intimation of the same is forwarded to the on ground vessel agents. Once vessel is in the vicinity of port, after obtaining free pratique, the vessel master sends anchoring request to supplier's agent at port before hatching. Once accepted, clearing and handling agents conducts draft survey of vessel. During the course of loading of vessel, vessel agents stationed at port sends daily loading/discharge reports to suppliers and other charters. On the completion of loading, CHA prepares statement of facts having details of loading and unscheduled/scheduled delays. Independent surveyor performs quantity survey of vessel based on which bill of the lading for the said quantity is prepared by vessel master/agent.

A copy of bill of lading is sent to vessel owner while original is sent to concerned RO/SRO. Vessel owner then raises the owner's bill and submits it to MMTC. Statement of facts (SOF) is prepared by both port of loading and discharge and submitted MMTC. Shipping division verify all the documents (Bill of lading, owner's bill and fixture note) against charter party and mutually settles dispatch/ demurrage figures with vessel owner. As per negotiations owner raises a fresh bill to MMTC which is sent to finance division for release of payments by Commodity division.

Sr.No.	Process Detail	Responsibility Centre
1.	Process for selection of vessel	
1.1.	Indent having details of laycan, quantity, load port, disport, load rate & other contractual details is submitted to shipping division	Commodity Division
1.2.	The request for vessel is forwarded to Ministry of Shipping (TRANCHART System)	Shipping division
1.3.	Search of best suitable freight rate in market is performed as per terms & conditions	TRANSCART System
1.4.	The details of vessel name & descriptions along with shipping terms are forwarded to foreign supplier/ Indian receiver for acceptance	Commodity division
1.5.	Once accepted, vessel is confirmed and fixture note is prepared	TRANSCART System
1.6.	An intimation is sends to ground agents of vessel	TRANSCART System
1.7.	Anchoring NOR is send to Supplier's agent at port	Vessel Master
1.8.	On acceptance of NOR, Draft survey of vessel is performed	CHA
1.9.	Daily report of loading/discharge progress is sent to all charter parties	Vessel Agent
1.10.	On completion of loading, statement of facts is generated	CHA

Sr.No.	Process Detail	Responsibility Centre
1.11.	Independent survey for quantity loaded in vessel is conducted	Independent Surveyor
1.12.	Bill of lading is prepared for surveyed quantity, a copy is sent to owner while original is sent to concerned RO/SRO	Vessel master
1.13.	Owners bill is raised to MMTC for approved quantity	Vessel Owner
1.14.	Statement of facts (SOF) is prepared at load port and discharge port and is submitted to MMTC	RO/SRO
1.15.	Bill of lading, Owners bill, Statement of facts and fixture note are verified against charter party	Vessel Owner
1.16.	Dispatch /demurrage calculations are verified and negotiated with the vessel owner	Shipping Division
1.17.	As per owners fresh bill, payment is released	Finance Division
	Payment terms	
1.18.	For Performing Owner: 90% payment has to be released within seven(7) days of completion of loading at the load port	
1.19.	For despondent owner: 90% payment has to be released within seven (7) days of safe arrival of vessel at birth i.e. unloading point. Remaining 10% payment is released after 120 days of loading completion & safe arrival	

## Corporate function

### 1.10 Law

#### 1.10.1 Description

The Law division of MMTC primarily has the following major areas of work, namely:

- Vetting of documents from a legal angle.
- Appointment of advocates and senior advocates.
- Filing/ defending of litigations (in coordination with concerned divisions).
- Follow up of litigation.
- Opinion and advisory work.
- Meetings with senior advocates and senior government officials.
- Submission of various MIS to management- as and when required and on periodic basis.
- Issuing circulars on important current legal and regulatory developments and hosting the same on MMTC's intranet.
- Settlement of dispute through dispute settlement machinery.
- Holding in-house training and seminars on legal matters.
- Publication of law bulletin.
- Maintenance of law library.
- Processing of payment to advocates, senior advocates and arbitrators.
- Other matters related to Law and its enforcement

#### 1.10.2 Process Summary

Name of process	Law
<b>Process Goal</b>	
To carry out the various tasks associated with Law Division	

Process Owner	
Law Division	
Primary Actors	Secondary Actors
<input checked="" type="checkbox"/> Law Division	<input checked="" type="checkbox"/> Various divisions at CO, RO, SRO <input checked="" type="checkbox"/> Management <input checked="" type="checkbox"/> Advocates, Senior advocates, various courts, tribunals, forums, arbitrators, consultants, and various adjudicating authority
Process Details	
<ul style="list-style-type: none"> <li>• The law division requires following data in the system             <ul style="list-style-type: none"> <li>○ Serial number</li> <li>○ Commodity/ Division name</li> <li>○ Case number with year which are of the following types                 <ul style="list-style-type: none"> <li>▪ Suit number</li> <li>▪ Writ petition number</li> <li>▪ Criminal complaints</li> <li>▪ Criminal case number</li> <li>▪ Arbitration number</li> <li>▪ Assessment year</li> <li>▪ Civil appeal number</li> <li>▪ Criminal appeal number</li> <li>▪ Revision number</li> <li>▪ Execution petition number</li> <li>▪ Others</li> </ul> </li> <li>○ Name of the case/ parties</li> <li>○ Name of forum, which are of the following types:                 <ul style="list-style-type: none"> <li>▪ Supreme court</li> </ul> </li> </ul> </li> </ul>	

- High court
- District & Session court
- Tribunals
- Criminal court
- MM/JM court
- Small causes court
- National commission
- State commission
- District forum
- Labor court
- Others
- Claim amount
- Counter claim amount
  - In rupees
  - In dollar
  - In other foreign currency
- Name of arbitrator
- Name of advocate
- Name of senior advocate
- Legal expenses
- Details on security deposit / collateral security
- Details of deposit made by MMTC
- Brief facts about the case
- Date/ hearing wise development of the case
- Next date of hearing
- Award and decree cases

- Remarks / orders / highlights
- The Law division maintains details on
  - Arbitrator / advocate details like
    - Name
    - Address
    - Contact details
    - Email
- The following MIS reports are generated by the Law division:
  - Case wise
  - Commodity wise number of cases
  - Age wise list of cases
  - Amount (in user defined band ex up to 50,000, up to 1 lac, up to 10 lacs etc) wise list of cases
    - In rupees
    - In dollar
    - In other foreign currency
  - Civil cases
  - Arbitration cases
  - Region wise cases
  - Advocate wise cases
  - Legal expense – case wise / consolidated/ Advocate wise
  - Consolidated list of cases
  - Report over a time frame (user selectable) on the following parameters:
    - New cases filed
    - Number of cases disposed
    - Number of pending cases

- Forum / court wise number of cases
- Tribunal wise cases
- Award and decree cases
- The cases should be selectable/ searchable over parameters like:
  - Case wise
  - Advocate wise
  - Region wise
  - Claim wise
  - Division wise
  - Forum wise
  - Civil / criminal/ arbitration / tribunal case wise
  - Age wise
- The system should generate a report containing the full particulars of a user selected case



## 1.11 Corporate Communication

### 1.11.1 Description

The Corporate Communications division of MMTC primarily has the following major areas of work, namely:

- To publicize the business activities of the Corporation as and when required.
- Manage all publicity related works of MMTC
- To ensure wide publicity of the jewellery exhibitions being organized by Precious Metals division and JJC
- Publishing Tenders, Financial results (quarterly and annual) in Newspaper(s)
- On an average around 150 tenders are published in a year
- Publishing MMTC's quarterly magazine "*Spectrum*"
- Printing of calendars, diaries, brochures and Annual reports

### 1.11.2 Process Summary

<b>Name of process</b>	Corporate Communications	
<b>Process Goal</b>		
To carry out the various tasks associated with Corporate Communications		
<b>Process Owner</b>		
Corporate Communications		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Corporate Communications		<input checked="" type="checkbox"/> All divisions of MMTC

	<input checked="" type="checkbox"/> Empanelled agencies <input checked="" type="checkbox"/> Associate Finance <input checked="" type="checkbox"/> Finance - Administration & Establishment division <input checked="" type="checkbox"/> Rajbhasha division
<b>Process Details</b>	
<ul style="list-style-type: none"> <li>• This division empanels agencies through tender for awarding all work related to Publicity, printing of in-house magazines, annual reports, diaries, calendar etc.</li> <li>• These agencies carry out all décor designing, publicity related work while organizing these exhibitions</li> <li>• This division also may award work through limited invitation to agencies who have done similar kind of work with MMTC</li> <li>• All divisions of MMTC send their content for publishing of Tenders to this division with prior approval of the Director of the concerned division</li> <li>• This division gets printing of Calendars, Diaries, Annual report, Brochures etc. done through agencies selected through tender</li> <li>• This division initiates the work order and sends to the Director through associate finance for approval</li> <li>• After approval by competent authority, the division issues the work order</li> <li>• An entry of this work order is made by this division manually in a register. This register contains the following details: <ul style="list-style-type: none"> <li>○ Budget allocated for the FY</li> <li>○ Details of Work order issued with date, agency details, amount etc.</li> <li>○ Remaining budget for the FY</li> </ul> </li> <li>• After the work is executed by the agency they submit bill for payment to the Corporate Communications division who checks it with reference</li> </ul>	

to the approval, work order and supporting documents related to execution of work.

- The Associate Finance also verifies the bill and if everything is in order, concur it for payment and forward the bill to the division. Division retains a copy of the documents and forward it to Finance – Administration & Establishment division for release of payment.
- If the agency is a new one then they send a request to the System division for creation of vendor account through associate finance and subsequent to creation of vendor code documents are being forwarded by the division to Finance – Administration & Establishment division for release of test payment payment of Re.1/- only. After receipt of test payment, vendor confirms it to the division who provides a copy of the same to Finance – Administration & Establishment division and banking division. After this, bill is processed by the division as detailed in previous two paras.
- This division also prepares number of MIS reports like:
  - Financial position of the division with details of budget allocated, work order value and remaining budget
  - Payment made to agencies
  - Total number of advertisements published in Hindi and English (this report is sent to the Rajbhasha division)

## 1.12 Finance – Administration and establishment division

### 1.12.1 Description

This division primarily deals with all payments related to the administrative expenses of the corporate office. This division acts as the *Associate finance division* to the Administration & establishment division. The Administration division process the payments of both external vendors and regular employees of MMTC.

Establishment division deals with:

1. All employee related payments like salary, PRP, loans & advances to Employees,
2. Some housekeeping bills and bills related to upkeep of MMTC colony maintenance/ repairs / construction work are also done by this division.
3. This division deals mostly with employee related payments and works based on approvals from Personnel Division

FSA division deals with:

1. All administrative heads of expenditure like payments for:
  - a. office building,
  - b. electricity,
  - c. telephone,
  - d. hotel bills,
  - e. vehicle hire expenses,
  - f. tour expenses -both India and International
  - g. buying foreign currency ,
  - h. remittance to foreign office towards salary and office expenses,
  - i. legal expenses,
  - j. entertainment expenses,
  - k. directors sitting fees,

- I. Reimbursements to employees like TA/DA, telephone, ALTC, honorarium, out of pocket expenses, attendant's charges. With respect to any of these payments the applicable statutory levies of Income- tax, service tax, Vat payments are levied and remitted monthly.

### 1.12.2 Process Summary

Name of process		Payment to vendors and Receipts from vendors	
<b>Process Goal</b>			
To process the payment of vendors working with corporate office and also managing the receipts from the vendors and to make disbursements of salary/ loan , earned leave encashment, terminal benefits like service award to employees			
<b>Process Owner</b>			
Finance – Administration & Establishment division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Finance – Administration Accounts & Establishment division		<input checked="" type="checkbox"/> Vendors <input checked="" type="checkbox"/> Banking division <input checked="" type="checkbox"/> Administration division <input checked="" type="checkbox"/> Personnel division	
<b>Process Details</b>			
<p>The Administration division of MMTC sends the bills under various heads like Estates, Training etc. to this division for processing and making payments. This division checks the bills before making the payment.</p> <p>After checking the bills if the vendor already exists, vendor payment is made by entering the vendor bill/invoice in Accounts Payable module. Then a pay batch is created and the voucher is authorized for banking division to make payment. The bills along with pay batch voucher having '<b>passed for payment note</b>' is forwarded to banking division who makes the e- payment to vendor.</p> <p>If the vendor does not exist then this division sends a request to the Systems division to create a vendor account. After the vendor account is created this division maps the new vendor by making a test payment of Re.1. After receipt of confirmation from the vendor payment batch is created and</p>			

followed by payment advice.

**Receipts voucher:-**

This division also deals with all the payment receipts of MMTC. This division makes a bank receipt in the GL module of the ERP. The receipt could be in the form of Earnest Money Deposit (EMD)/Holiday home rent/RTI applications fee etc. This division interacts with the Banking division for managing these receipts.

Name of process		Payment to regular employees
<b>Process Goal</b>		
To process the payment of vendors corporate office.		
<b>Process Owner</b>		
Finance – Administration & Establishment division		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Administration Accounts & Establishment division		<input checked="" type="checkbox"/> Regular employees <input checked="" type="checkbox"/> Personnel division
<b>Process Details</b>		
<p>This division deals with all payments related to employees of MMTC – Corporate office. This division is responsible for Payroll processing, Loan processing and sanction.</p> <p>The Personnel division is responsible for:</p> <ul style="list-style-type: none"> <li>• Approval of loan request of employees</li> <li>• Updation of loan details of employees in the HRM module of ERP</li> <li>• Updation of leave details of employees in the HRM module of ERP</li> </ul>		
<p><b>The schedule of various activities with respect to payroll processing is as per the table given below:</b></p>		

S.No	Activity	Date	Action By
1.	Submission of attendance data	15th of every month	Personnel Div.
2.	Submission of any change in Business rule for payroll processing	15th of every month	A&E Div,
3.	Entry of employees' personal details which affect salary	19th of every month	Personnel Div.
4.	Completion of data entry in respect of loans/advances	19th of every month	A&E Div.
5.	Completion of data entry for payroll (TA/DA/TOUR/Telephone etc.)	23rd of every month	A&E Div./FSA
6.	Payroll processing	1st processing to be done before 20th of every month & subsequent processing to be done till 25th max.	Processing -Systems Div., Rechecking and updating by A&E Div.
7.	Authorization of salary	25th of every month/ 2 days prior to salary day	A&E Div. with help of systems division
8.	Data mapping for e-Payment / Release of Payment	One day prior to salary day	Banking Div.

Current month's salary is processed based on previous month's attendance data and recovery of loan/advances.

The Establishment division after processing the payroll authorizes it and sends to the Banking division for linking of payment to the employees concerned.

In addition to the above payments, if there are any other payments like loans, Tour Advance, Festival advance, Transfer advance etc. the employees submit their payment claim to the Personnel division which initiates and approves and sends the bill to Establishment division for payment which verifies the amount as per order before approving the payment.

When advances such as tour advance, transfer advance are claimed by employees in between a month the Administration accounts division verifies

the amount as per order before approving the payment.

Name of process		MIS Reports
<b>Process Goal</b>		
To generate various MIS reports		
<b>Process Owner</b>		
Finance – Administration & Establishment division		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Administration & Establishment division		<input checked="" type="checkbox"/> Employees <input checked="" type="checkbox"/> Divisions
<b>Process Details</b>		
The following reports are generated: <ul style="list-style-type: none"> <li>• Payroll reports through payroll module</li> <li>• Statutory reports like TDS, DVAT, Service tax</li> <li>• Remuneration details of all Board of Directors (Key personnel report)</li> </ul>		



## 1.13 Finance – Central accounts

### 1.13.1 Description

The central accounts division of MMTC finance primarily has major areas of work, namely:

- MIS reports
- Budgeting
- Preparation of financial statements
- Fixed assets accounting

### 1.13.2 Process Summary

Name of process		MIS
<b>Process Goal</b>		
To churn out various MIS reports based on the actual business scenario		
<b>Process Owner</b>		
Finance - Central accounts section		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Central accounts division		<input checked="" type="checkbox"/> Business segments <input checked="" type="checkbox"/> Various branches <input checked="" type="checkbox"/> Debtors <input checked="" type="checkbox"/> Management
<b>Process Details</b>		
<p>There are multiple types of MIS being generated by the central accounts division, some key reports are:</p> <p><b>A. Weekly turnover:</b> is created to capture details like turnover, gross profit etc, over various heads, namely</p> <ul style="list-style-type: none"> <li>- Export, Import, Domestic</li> <li>- Director level</li> <li>- Profit center heads</li> </ul>		

- 7 business segment wise
- Canalized / non- canalized (for export and import only)

**B. Profitability statement:** is created to capture details like

- Actuals for the previous year
- MOU target for the current year
- Proportionate MOU target for that period
- Actual for that period
- Actual of the previous year for that period

The above mentioned MIS is generated region wise, business segment wise, typically on a quarterly/ monthly basis

**C. Debtors statement:** is created to capture details like

- Debt statement (ageing is also done):
  - o 0-6 months
  - o >6- up to 12 months
  - o Greater than 1 yr. and up to 2 yrs.
  - o Greater than 2 yr. and up to 3 yrs.
  - o More than 3 years
- Doubtful debtors
- Net
- Nature of debtors i.e. secured or unsecured
- Nature of security

The above mentioned MIS is categorized:

- PSU wise
- Central government wise
- Private party wise

These MIS is typically generated on a monthly basis

**D. Establishment and Administration expense:** is created to capture details like

- Actuals for the previous year
- Target for the current year
- Proportionate target for that period
- Actual for that period
- Actual of the previous year for that period

The above mentioned MIS is generated region wise, typically on a monthly basis

**E. Inventory statement:** is created to capture details like

- Region wise statement (ageing is also done):
  - o 0-6 months
  - o >6- up to 12 months
  - o 1 year to 2 years
  - o 2 years to 3 years
  - o More than 3 years
  - o total

The above mentioned MIS is generated:

- Region wise
- For all seven business segments
- At product level

This MIS is typically generated on a monthly basis

**F. Miscellaneous :** various miscellaneous and adhoc reports are also generated as and when required

Name of process		Budgeting	
<b>Process Goal</b>			
To arrive at the budgetary requirements under various heads			
<b>Process Owner</b>			
Finance - Central accounts section			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Finance – Central accounts division		<input checked="" type="checkbox"/> Business segments <input checked="" type="checkbox"/> Regional offices <input checked="" type="checkbox"/> Management	
<b>Process Details</b>			
<p>Budgeting is done under various heads, some key heads of which are:</p> <p><b>A. Budget type:</b> is created to capture details like</p> <ul style="list-style-type: none"> <li>- Previous years actual audited expenditure</li> <li>- Current year budgeted expenditure</li> <li>- Current years proportionate budgeted expenditure</li> <li>- Current years actual expenditure till date</li> <li>- Current year balance period spending projection</li> <li>- Next full year projection</li> </ul> <p>The typical budgets can be</p> <ul style="list-style-type: none"> <li>- Trade budget – Segment wise, Product wise, Region wise with previous years turnover &amp; trading profit and next years projected figure for turnover and trading profit</li> <li>- Establishment &amp; Admin budget – which includes:               <ul style="list-style-type: none"> <li>o Salaries</li> <li>o Administrative Expenditure</li> </ul> </li> </ul>			

- Controllable Exp
- Uncontrollable Exp

**B. Capital expenditure:** is created to capture details for procurement of capital asserts like

- Land and building
- Office equipment
- Vehicles
- Plant & Equipment
- Furniture's & fixtures
- Computers etc.

Details such as the following are captured

- Previous years budget
- Current year expenditure till date- actual (consumption of budget)
- Current year balance period expenditure projection
- Next full year expenditure projection

**C. Loans and advances:** is created to capture details of loans and advances under the following head:

- House building advance
- Car advance
- Scooter advance
- Marriage advance
- Festival advance
- Education advance
- Household advance
- Gold jewellery
- Miscellaneous advance etc.

Some of these advances are interest bearing and some are interest free

Details such as the following are captured

- Previous year budget under loans and advances
- Current year consumption till date- actual
- Current year balance period projection
- Next full year projection

Name of process		Accounts Finalization
<b>Process Goal</b>		
To prepare various financial statements		
<b>Process Owner</b>		
Finance - Central accounts section		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Regional offices		<input checked="" type="checkbox"/> Finance – Central accounts section <input checked="" type="checkbox"/> Company auditors <input checked="" type="checkbox"/> Management
<b>Process Details</b>		
Preparation of financial statements encompasses		
<ul style="list-style-type: none"> <li>- All voucher entries (journal , receipt, payment)</li> <li>- Leger maintenance</li> <li>- Preparation of trial balance</li> <li>- Preparation of financial statements (cash flow statement, segment report ,profit and loss accounts, Balance sheet and notes to the accounts etc.)</li> </ul>		

Name of process	
<b>Process Goal</b>	
To do the necessary accounting entries for purchases, recording of fixed assets to calculate the depreciation and written down value of assets.	
<b>Process Owner</b>	
Finance - Central accounts section	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Regional offices/Administrative division of Corporate office <input checked="" type="checkbox"/> Division initiating the purchase requisition / order	<input checked="" type="checkbox"/> Finance – division making the payment for assets purchased <input checked="" type="checkbox"/> Central accounts section <input checked="" type="checkbox"/> Company auditors <input checked="" type="checkbox"/> Management
<b>Process Details</b>	
Fixed assets accounting involves the following: <ul style="list-style-type: none"> <li>- Purchase requisition /order generation</li> <li>- Approval to purchase the assets</li> <li>- Making payment to supplier</li> <li>- Recording of assets in the fixed assets register maintained by administration division</li> <li>- Recording of transaction in fixed assets module with the details like date of purchase, location, revaluation (if any), impairment (if any), estimated useful life, depreciation rate in service date, depreciation method , etc.</li> <li>- Any significant shortage of excess at the time of physical verification</li> <li>- Report as per the companies Act, 1956and other applicable laws</li> <li>- Computation of depreciation and written down value of assets .</li> </ul>	

## 1.14 Finance – Corporate Income Tax

### 1.14.1 Description

The Corporate IT division of MMTC finance primarily has the following major areas of work, namely:

- Providing inputs while creation of balance sheet for income tax related issue
- Assessment for tax payable, refund claims etc
- Filing of online income tax returns
- Involvement in transfer pricing assessment

### 1.14.2 Filing of appeals Process Summary

Name of process		Corporate IT
<b>Process Goal</b>		
To carry out the various tasks associated with Finance – Corporate Income Tax		
<b>Process Owner</b>		
Finance - Corporate Income Tax		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Corporate Income Tax		<input checked="" type="checkbox"/> Finance – Banking division <input checked="" type="checkbox"/> Management <input checked="" type="checkbox"/> Other agencies – like Income Tax department
<b>Process Details</b>		
<ul style="list-style-type: none"> <li>• The Corporate IT division at the time of balance sheet preparation passes the following entry through general ledger:             <ul style="list-style-type: none"> <li>○ provision for taxation</li> <li>○ Deferred tax</li> <li>○ Wealth tax</li> </ul> </li> <li>• Once the balance sheet is finalized; the Corporate IT division creates vouchers for any self-assessment tax to be paid. The vouchers are then</li> </ul>		



sent to the banking division for online payment.

- The Corporate IT division also creates vouchers for payment of advance tax appeal fee and sends them to the banking division for online payment. The appeal fee can be towards appeal before CIT(A) / IT(AT) / High Court/Supreme Court
- The Corporate IT division also files the IT return of MMTC with the digital signature of CMD
- The Corporate IT division, submits to the banking division, any refund received from the Income Tax department (received as a cheque) along with relevant vouchers
- The Corporate IT division also provides documents/ submissions/ quoting of case laws etc to justify MMTC's stand to the Income Tax authorities
- The Corporate IT division also gives details of transaction undertaken with MTPL Singapore and gets arm's length transfer pricing done
- The Corporate IT division also files appeal with CIT(A) / IT(AT) / High Court if the demand made by the Assessment officer if addition made is not as per law.
- Reporting - the following types of reports are currently required by the Corporate IT division of MMTC:
  - Appeal filed by MMTC - details
    - Date of filing appeal
    - Appeal number
    - Assessment year
    - Issue involved
    - Date of hearing
    - Next date of hearing
    - Pending before which authority (CIT(A) / IT(AT) / High Court)
  - Appeal filed by IT department against MMTC - details
    - Date of filing appeal
    - Appeal number
    - Assessment year
    - Issue involved

- Date of hearing
- Next date of hearing
- Pending before which authority (CIT(A) / IT(AT) / High Court)

## 1.15 Finance – Contributory Provident Fund (CPF) Accounts

### 1.15.1 Description

MMTC has set up its own CPF trust which is a separate entity. The CPF division is located at the Corporate office of MMTC. It does not have any other branch. MMTC has set up its own CPF trust which is a separate entity. The CPF division is located at the Corporate office of MMTC. MMTC CPF TRUST has no branches but each Regional Office of MMTC function on behalf of the Trust for activities pertaining to the Trust.

MMTC CPF TRUST at CO has full rights to view all employees PF statement make necessary corrections if any wrong entry/no entry has been committed at RO upon receiving email from the concerned RO and with the help of Systems Division.

### 1.15.2 Process Summary

Name of process		Management of CPF contribution of all regular employees	
Process Goal			
To manage the CPF contributions of all regular employees of MMTC.			
Process Owner			
Finance – CPF accounts division			
Primary Actors		Secondary Actors	
<input checked="" type="checkbox"/> MMTC CPF trust <input checked="" type="checkbox"/> Finance – CPF accounts division		<input checked="" type="checkbox"/> Regular employees <input checked="" type="checkbox"/> Finance - Banking division <input checked="" type="checkbox"/> EPFO	
Process Details			
The Contributory Provident Fund (CPF) has two contributions: <ol style="list-style-type: none"> <li>1. Employee</li> <li>2. Employer</li> </ol>			
The rate of contribution of retirement benefits including employer contribution of PF is fixed by the 30% DPE (Department of Public Enterprises)			

guidelines. The current rate of contribution (as per PF Act) for both by employee and employer is 12% each of the Basic pay + Dearness Allowance. Out of the 12% contribution made by the Employer (MMTC) 8.33% contribution towards pension (subject to maximum INR 541) for each employee, who is below the age of 58, goes towards the Employee Pension Scheme. After an employee attains the age of 58 years they draw a pension from the Employee Provident Fund Commissioner office (EPFO).

At present voluntary contribution of up to 25% of basic + DA for an employee is allowed. No equivalent contribution is made by MMTC

All offices of MMTC including Regional office & Corporate office authorization of salary is done in the payroll module. After Salary is authorized, payroll module auto generates payroll voucher every month and posting of entries in GL and with respect to PF the Annual contribution card of each employee gets updated with the recoveries made.

Every month all Regional offices send through IOGL -journal entries containing PF details (both employer contribution and employee contribution and refundable and non-refundable loans and repayments). This is employee wise consolidated information for that region. Every region's IOGL is responded by MMTC CPF trust including that of Corporate office. For the contributions the trust draws the funds from MMTC, CO and for the various disbursements made by regional offices like loans and final payments the Trust reimburses the same to MMTC.

Statement C (generated through HRM module) is generated at RO /CO and amounts are matched with IOGL entries.

MMTC CPF Trust prepares monthly excel sheet from the drill of HRM module and uploads the monthly challan after conversion of the above excel sheet in the required format, for submitting the cheque towards pension and inspection charges to EPFO.

Two bank payment vouchers are created in the GL module by CPF finance division for monthly CPF withdrawal from MMTC limited and payment made to EPFO towards pension amount along with inspection charges.

Banking division transfers the monthly consolidated amount, excluding pension amount, compiled by CPF finance division through RTGS to CPF Trust's bank a/c. Banking division then prepares a cheque for pension amount along with inspection charges of EPF and EDLI and sends to the CPF division. CPF division sends the same cheque to the EPFO along with uploaded online monthly challan.

As on the last day of every month a statement is prepared which gives the details of monthly contribution and other relevant details and in case of retiring employee final payment details. The final payment of the employees is authorized by the CPF division. Then MMTC makes the payment to the employees at RO only and after getting the IOGL entries from RO, CPF trust reimburses MMTC Ltd. CPF Trust makes direct payment to employees towards refundable/ non-refundable loan / final payment at CO.

The MMTC CPF trust is responsible for investment of funds.

Name of process

Refundable & non-refundable loans to MMTC employees

Process Goal	
To process the refundable and non-refundable CPF loan request of all regular employees of MMTC.	
Process Owner	
Finance – CPF accounts division	
Primary Actors	Secondary Actors
<input checked="" type="checkbox"/> MMTC CPF trust <input checked="" type="checkbox"/> Finance – CPF accounts division	<input checked="" type="checkbox"/> Regular employees
Process Details	
<p>The regular employees of MMTC can avail two types of CPF loans:</p> <ol style="list-style-type: none"> <li>1. Refundable loan</li> <li>2. Non-refundable loan</li> </ol> <p>Upon receipt of loan application from an employee the CPF division processes and makes the payment to the employee. In case of refundable loan, the loan is recovered in monthly installments from the salary payable to the employee. The repayment amount has principle and interest components. Out of this interest component, a certain percentage goes to the trust account and the balance goes to the employee's account</p>	

Name of process		Management of Gratuity of all regular employees	
Process Goal			
To manage the Gratuity of all regular employees of MMTC.			
Process Owner			
Finance – CPF accounts division			
Primary Actors		Secondary Actors	
<input checked="" type="checkbox"/> MMTC Gratuity trust <input checked="" type="checkbox"/> Finance – CPF accounts division	<input checked="" type="checkbox"/> Regular employees <input checked="" type="checkbox"/> Life Insurance Corporation of India		

Finance- Banking division

#### Process Details

MMTC has set up a Gratuity trust which manages the Gratuity of all employees of MMTC. The maximum amount of gratuity amount is Rs. Ten Lakhs (at present). MMTC has taken a policy with the Life Insurance Corporation of India. Every year on 1<sup>st</sup> March the employee data is sent to the LIC. LIC does an actuarial evaluation.

Upon retirement of an employee (either at CO or RO level), MMTC initially makes the gratuity payment to the superannuating employee. If the employee is superannuating at RO level, then the IOGL is responded. A claim is lodged with LIC by MMTC Gratuity trust. LIC settles the claim to MMTC GRATUITY TRUST and the trust reimburses the funds to MMTC Ltd.

#### Name of process

Managing the defined contribution to the superannuation Trust

#### Process Goal

To process the employer and employee's contribution of all eligible employees payable to the superannuation trust

#### Process Owner

Finance – CPF accounts division

#### Primary Actors

- MMTC ltd employees defined contribution and superannuation trust
- Finance – CPF accounts division

#### Secondary Actors

- Eligible employees
- MMTC – Banking Divisions
- LIC

#### Process Details

A fixed percentage of basic + DA (currently 8%) of eligible employees is being contributed by the employer to the superannuation trust and any voluntary contribution of the employee would be deducted from the salary and drawn by the CPF section and MMTC will remit it to the superannuation trust.

The superannuation trust in turn will remit the amount to LIC

All investments of the CPF corpus, earning of interest etc is handled by the MMTC CPF trust. The MMTC CPF trust is currently using Tally system for maintaining the trust accounts.

## 1.16 Finance – Medical Accounts

### 1.16.1 Description

The medical accounts division of MMTC finance primarily deals with the settlement of claims and making payments to Regular & Retired employees towards:

- Outpatient treatment
- In patient treatment

### 1.16.2 Process Summary

Name of process		Outpatient claims of regular employees	
<b>Process Goal</b>			
To process the outpatient medical claims of regular employees of MMTC corporate office.			
<b>Process Owner</b>			
Finance – Medical accounts division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Finance – Medical accounts division		<input checked="" type="checkbox"/> Regular employees	
<b>Process Details</b>			
<p>The processing of outpatient medical claims of regular employees is done and payments made. There are two modes of payment namely</p> <ul style="list-style-type: none"> <li>• Fixed monthly amount</li> <li>• Reimbursement of medical bills</li> </ul> <p>Employees can opt for either of the above two modes and can change it once in a year.</p> <p><b>G. Fixed monthly amount:</b> Based on the cadre entitlement of employees is fixed. The payment is made as part of monthly salary. For getting income tax exemption subject to a maximum of Rs.15,000 per year employees should submit the medical bills.</p>			



**H. Reimbursement of medical bills:** On production of medical bills employees are reimbursed the amount subject to the maximum permissible for their cadre. Employees claim directly to this division. This division checks the claim and process for payment based on the balance amount payable to the employee. The payment is made through salary.

The rates of consultation charges are fixed and are as follows:

MBBS: Rs.100

Specialist : Rs.300

In case a regular employee (or any of his family members) suffers from a chronic illness and his/her OPD limit is exhausted, a yearly approval is given by the CMD. This approval from CMD has no OPD limit.

Name of process		Outpatient claims of retired employees
<b>Process Goal</b>		
To process the outpatient medical claims of retired employees of MMTC.		
<b>Process Owner</b>		
Finance – Medical accounts division		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Medical accounts division		<input checked="" type="checkbox"/> Retired employees
<b>Process Details</b>		
<p>To avail this medical scheme retired employees have to pay an annual subscription. All payments are made electronically to the employee's bank account. No cash payment is made.</p> <p>The processing of outpatient medical claims of retired employees is done and payments made. Depending upon the cadre at the time of retirement their entitlement is fixed. This fixed amount is paid half yearly. They have to submit a survival certificate-cum-claim twice a year. For the months of April – September the payment is made in October. For the months of October – March the payment is made in April.</p> <p>An additional 20% on the fixed amount is paid if the retired employee is more than 70 years of age. An additional 30% on the fixed amount is paid if the retired employee is more than 80 years of age.</p> <p>If the spouse of retired employee is not alive then the entitlement amount is reduced to half.</p>		

Name of process		Inpatient claims of regular employees
<b>Process Goal</b>		
To process the inpatient medical claims of regular employees of MMTC corporate office and Delhi regional office.		
<b>Process Owner</b>		

Finance – Medical accounts division	
Primary Actors	Secondary Actors
<input checked="" type="checkbox"/> Finance – Medical accounts division	<input checked="" type="checkbox"/> Administration division <input checked="" type="checkbox"/> Banking division <input checked="" type="checkbox"/> Regular employees <input checked="" type="checkbox"/> Empanelled hospitals <input checked="" type="checkbox"/> Non empanelled hospitals
Process Details	
<p>Employees can avail this benefit in the following categories of hospitals:</p> <ul style="list-style-type: none"> <li>• Empanelled hospitals</li> <li>• Non empanelled hospitals</li> </ul> <p><b>A. Empanelled hospitals:</b> There is no limit on the amount of claim. However the entitlement of rooms/wards in the hospital is fixed based on the cadre of the employee.</p> <p>Employees submit doctor's/hospital's advice for hospitalization and treatment to Administration division. The Administration division approves and gives permission. The employee then avails the treatment and at the time of discharge signs the bill at the hospital. Hospital sends the bill and all medical reports to the Administration division. In case if the bill is more than Rs.50,000 then it is sent to a "third party audit agency" empanelled under MMTC.</p> <p><b>B. Non empanelled hospitals:</b> There is no limit on the amount of claim. Reimbursement of claim is done based on CGHS rates.</p> <p>Employees submit bills to the administration division. The administration division processes and sends the advice to Medical account division. This division checks and if found ok pays through salary.</p> <p>Note :Employee has to inform concerned office (approving office RO/CO)within 3 days of admission , in writing or over telephone</p>	

Name of process		Inpatient claims of retired employees	
<b>Process Goal</b>			
To process the inpatient medical claims of retired employees of MMTC.			
<b>Process Owner</b>			
Finance – Medical accounts division			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Finance – Medical accounts division		<input checked="" type="checkbox"/> Administration division <input checked="" type="checkbox"/> Banking division <input checked="" type="checkbox"/> Retired employees <input checked="" type="checkbox"/> Empanelled hospitals <input checked="" type="checkbox"/> Non empanelled hospitals	
<b>Process Details</b>			
<p>To avail this medical scheme retired employees have to pay an annual subscription. All payments are made electronically to the employee's bank account. No cash payment is made.</p> <p>Employees can avail this benefit in the following categories of hospitals:</p> <ul style="list-style-type: none"> <li>• Empanelled hospitals</li> <li>• Non empanelled hospitals</li> </ul> <p><b>C. Empanelled hospitals: (for retired employees):</b> There is a limit on the amount of claim for treatments at empanelled hospitals. However in case of any major illness like cancer, major accident, paralysis, kidney failure &amp; heart ailment this limit could be doubled of the admissible limit upon approval from the CMD of MMTC. The entitlement of rooms/wards in the hospital is fixed based on the cadre of the employee at the time of retirement.</p> <p>There is no limit for regular employee however limit is there for implant, hearing aid, knee replacement , etc appliances as per CGHS rate for both retired and serving employee</p>			

Employees submit doctor's/hospital's advice for hospitalization and treatment to Administration division. The Administration division approves and gives permission. The employee then avails the treatment and at the time of discharge signs the bill at the hospital. Hospital sends the bill and all medical reports to the Administration division. In case if the bill is more than Rs.50,000 then it is sent to a "third party audit agency" empanelled under MMTC.

**D. Non empanelled hospitals:** There is a limit on the amount of claim for treatments at non-empanelled hospitals. Reimbursement of claim is done based on CGHS rates.

Employees submit bills to the administration division. The administration division processes and sends the advice to Medical account division. This division checks and if found ok pays in their bank accounts.

Note :Employee both retired & serving, have to inform concerned office (approving office RO/CO)within 3 days of admission , in writing or over telephone

Name of process		MIS Reports
<b>Process Goal</b>		
To generate various MIS reports		
<b>Process Owner</b>		
Finance – Medical accounts division		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Medical accounts division		<input checked="" type="checkbox"/> Banking division
<b>Process Details</b>		
<p>The following reports are prepared by this division:</p> <ul style="list-style-type: none"> <li>• <b>Monthly medical expenses report:</b> This report gives the list of claims for all categories of employees like directors, officers, staff and others (dispensaries run by MMTC), retired employees and hospitals which have been settled and paid. There are 2 dispensaries run by MMTC one at the corporate office and another at the staff quarters. Each of these dispensaries has 1 nurse who is an employee and one doctor and physiotherapist each who work for 2 hours daily on working days. This report captures details of salaries paid to these doctors and physiotherapist and cost of medicines supplied to the dispensaries. It contains details like: <ul style="list-style-type: none"> <li>○ A/c code</li> <li>○ Particulars</li> <li>○ Current year</li> </ul> </li> <li>• <b>Hospital wise TDS deducted:</b> A voucher is generated by this division and sent to the Banking division which makes the tax payment to Income tax department before the 7<sup>th</sup> of the following month. Quarterly a TDS return is also filed with the Income Tax Department. for all the tax deducted details during that quarter.</li> <li>• <b>Form 16A:</b> This contains details of TDS deducted for all hospitals quarterly.</li> <li>• <b>Financial year closing of accounts</b> giving all details of account payables and receivables</li> </ul>		

Income tax is not deducted for retired employees

#### **List of Proforma/formats maintained by Medical accounts**

- In patient treatment- admission letter
- Life certificate for retired for reimbursement of OPD
- Day care admission letter
- Application for Seeking permission for admission
- Applying for Medical card for retired and serving employees
- Reimbursement /medical claim form ( retired & serving )
- Chronic patient (only for serving employee)
- Authorization letter
- Checklist for approval (serving / retired )
- Subscription for retired employee (retired )
  - 50
  - 100
  - 200
- Limit for retired persons

#### **List of Registers maintained by medical accounts**

- Medical rules
- Empanelled hospital list
- Employee record of serving (with family) & retired (only spouse) as per policy
- Authorization letter provided , / dispatched record with details of patient , maintained for financial year

## 1.17 Finance – Banking

### 1.17.1 Description

The banking section of F&A Division of MMTC at CO primarily has the following major areas of work, namely:

- Fund transfer to various RO/SRO/ other accounts
- Reconciliation of Bank accounts at CO
- Investment of surplus funds
- Arranging funds from various banks through credit facility etc.

### 1.17.2 Process Summary

<b>Name of process</b>	<b>Banking</b>
<b>Process Goal</b>	
To carry out the various tasks associated with Finance - Banking Section	
<b>Process Owner</b>	
Finance - Banking Section	
<b>Primary Actors</b>	<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Finance – Banking Section	<input checked="" type="checkbox"/> Various branches, RO,SRO,Divisions at CO <input checked="" type="checkbox"/> Banks <input checked="" type="checkbox"/> Management
<b>Process Details</b>	
<ul style="list-style-type: none"> <li>• MMTC has about 220 accounts (currently) across India, being operated by different offices</li> </ul>	



- Out of these 220 accounts, SBI,HDFC,SBH are cash credit accounts with overdraft facility and the rest are current accounts
- Deposit of payments received at any MMTC office:
  - All payments received at any MMTC office are deposited via vouchers into respective bank accounts by ROs/SROs
- Request for fund from any MMTC office:
  - When there is a fund requirement at any of the MMTC offices, the respective office sends in a request (post due internal approval) to the banking section at CO.
  - The banking section verifies the request and transfers the funds (via vouchers). A voucher is an interoffice General Ledger (IOGL)
- Bank reconciliation of accounts is done by the 10<sup>th</sup> of subsequent month by respective ROs/SROs
- Any payment disbursement request is forwarded to the banking division by the other divisions and the banking division then, based on the received requests, makes all the payments
- The following payments modes are currently used:
  - epayment
  - cheque
- e-payment process:
- Mapping of Vendor/Customer details
  - uploading of vouchers
  - 1st authorization (for payment up to 10,000 only single authorization is required)
  - 2nd authorization (for payment above 10,000) as per Delegation of Powers.
- For expenses like telephone bill ,electricity bill etc, cheque payments are made. But all receipts are accounted for the concerned department/

## division

- Surplus fund :
  - Investment of surplus fund is done by the banking section in fixed deposits/ liquid mutual funds of PSU's
  - Investment in mutual funds – process
  - Surplus Fun(Temporary) is worked out by Banking Section
    - A note for investment is prepared by the banking section
    - The note is processed through by GM(Banking)/ CGM(F&A)
    - The note is then approved by Director (F)
    - The note is then approved by CMD
    - Investment is carried out by the banking section
    - Entire process need to be completed by 2 PM.
  - Investment in Fixed Deposit – process
  - Surplus Fund(For more than 7 days) is worked out by Banking Section
    - The banking section confirms rates from banks from different banks with which MMTC has regular business transactions.
    - Meets internal requirements like investment ratio of 60:40 in PSU: Private banks
    - Arrives at the investment period based on cash flow requirements
    - A note for investment is prepared by the banking section
    - The note is processed through GM(Banking)/CGM(F&A) for approval
    - The note is then approved by Director (F)

- The note is then approved by CMD
- Investment is carried out by the banking section
- Setting of credit limit with bank - process
  - The banking section also processes setting up the credit limit extended to MMTC by various banks
  - Various ROs send inventory details to the central accounts section and central accounts gives banking section a consolidated inventory statement
  - Banking section sends the inventory position to various banks, based on which the credit limit is set by the respective banks
- Reporting - the following types of reports are being currently generated by the banking section of MMTC:
  - Credit facility with various banks
  - Utilization of credit facility and balance with banks on a monthly basis
  - Investment details:
    - Bank wise
    - Transaction wise
    - Inflow during a particular timeframe
    - Returns from FD/ MF
  - Report on earning from interest
  - Buyer (through bank) / supplier (through concerned division) credit report
  - Reports on any transaction over “x” amount
  - Report on balance across all accounts

## 1.18 Administration & Establishment

### 1.18.1 Description

Administration & establishment division looks in to following areas

- To coordinate with all departments for their consumable requirements for Stationery & other non IT articles.
- Manage transportation, communication means and facility management services.
- Allotment of flats/community center/ dormitory and maintenance/repair of MMTC premise.

### 1.18.2 Process Summary

Name of process		Administration & Establishment
<b>Process Goal</b>		
To provide services to maintain estate properties i.e. allotment of flats/community center/dormitory, Expansion of existing facilities, Renovation of existing facilities, Security, Regular Maintenance and Repairing of all the properties within estate premises.		
<b>Process Owner</b>		
Site Office – MMTC Estate		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Site Office, MMTC Estate		<input checked="" type="checkbox"/> Administration & Establishment Division, Corporate Office, Delhi
<b>Process Details</b>		
<ul style="list-style-type: none"> <li>• New Construction / Expansion / Maintenance             <ul style="list-style-type: none"> <li>○ MMTC Estate is currently having flats , dormitory and a Community Centre in estate</li> <li>○ In case of new construction :                 <ul style="list-style-type: none"> <li>▪ Division floats tender to hire an Architect</li> </ul> </li> </ul> </li> </ul>		

- Based on architect's recommendation and approval on estimate from competent authority tender for civil work is floated
- E-bids are received & opened in presence of finance division
- Approval from competent authority is taken for award of contract as per terms & conditions of contract
- Renovation / Maintenance / Repairing Process
  - Maintenance (whitewash, sanitary work, seepage problem, etc.) of existing infrastructure like roads, flats, community center, etc.
  - Other Day to day activities
- Allotment of flats
  - Flats/community center/ dormitory are allocated to employee as per policy after approval from competent authority

## Reports

- Daily communication is maintained via emails while approvals are taken on files

Name of process		Administration & Establishment
<b>Process Goal</b>		
To coordinate with all departments for their consumable requirements for Stationery, Printers, other non-IT consumables , etc. and to manage to transportation ,maintenance/repair of MMTC premise, communication means and facility management services.		
<b>Process Owner</b>		
Corporate Office – MMTC		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Corporate Office – MMTC		<input checked="" type="checkbox"/> Finance Division
<b>Process Details</b>		
Below mentioned is the list of activities performed under Administration & Establishment division		
1. Car Cell		
<b>Allocation/hiring of vehicle</b>		
<ul style="list-style-type: none"> <li>a. Purchase of new vehicle based on quotation received and approval from competent authority</li> <li>b. Disposal of old vehicles through tendering</li> <li>c. Hiring of vehicle via e tendering <ul style="list-style-type: none"> <li>i. Vendor with L1 offer is selected and on acceptance is empanelled for 1-2 years</li> <li>ii. Drivers are required to maintain log books for trips/journey, duly signed by concerned officer. These are checked on weekly basis by concerned in MMTC.</li> </ul> </li> <li>d. Pick &amp; drop facility is available for CGM ranks officials and dedicated vehicle for CMD &amp; Directors. Vehicles are also assigned on request basis for official work where the requisition needs to be signed by concerned GM.</li> <li>e. Whenever a signed requisition from any division GM is received , they are scrutinised and on approval a slip is given to concerned division having the vehicle number , mobile number , drivers name</li> </ul>		

- f. The driver is required to produce the allocation slips along with log book at the time of verification/ billing.
- g. MMTC also does vehicle hiring on spot basis from empaneled vendor. Any journey extending beyond 5:30 pm or on Saturday /Sunday sat-sun or for holidays require approval from director.
- h. MMTC also have a fleet of owned cars. For such cars drivers are not required to reproduce allocation slip at the time of log book verification

#### **Vehicle Maintenance**

- i. For MMTC owned vehicles, a Proforma is to be filled by the driver and based on approval from GM it is sent to a service station on the panel list. Work order is given to the driver for service station and the driver certifies a counter copy for verification of service performed. Service station will raise an invoice on monthly basis.
  - j. For empanelled vehicles, the maintenance is done by concerned vendor .If in case a vehicle is substituted, it should be notified by the driver to the concerned at the start of business day.
  - k. Fuel for MMTC owned cars: Two (2) petrol pumps are empanelled for fuel petrol cars only. Usually the concerned asks for fuel slips approved by the concerned. Physical registers are maintained having details of date, vehicle number, fuel allocated (in Litres), etc. Petrol pump counter signs fuel slip and raises the bill on monthly basis.
  - l. Hiring of drivers: MMTC is having drivers for its owned vehicles. In case of shortage, drivers are hired from outsourced agencies as and when required.
  - m. Approval for Uniform & leaves for MMTC drivers is done as per the policy for regular employees.
  - n. Accessories for MMTC owned vehicles are taken from empanelled shop and all payments are made through e-payment
  - o. Parking payment are reimburse by MMTC
    - i. For owned vehicles, driver fill up a proforma along with bills for approval
    - ii. For hired vehicle , the vendor raises the parking bills with monthly bills
- Security Personnel/agency management
    - a. Agency is hired through DGR (Director General Resettlement, Ministry of Defence) for MMTC colony, Director & CMD residence and Corporate office.
    - b. For hiring of security agency, quotation are invited through DGR & is appointed on seniority basis

- c. Deployment of security personnel is managed by agency only based on the numbers provided by MMTC. Attendance registers are maintained by the contractor themselves and is verified by MMTC on monthly basis
- d. Security agency raises the bills to MMTC on monthly basis
- e. Three (3) types of personnel's are hired from security agency for shifts of 8 hours, namely Super visor (business hours) , gunmen and basic guards w/o arms.
- Store management
  - a. All stationary items, articles ( plastic folder, slip pad, clips, paper rim (A4, A3), etc. are maintained by the stores
  - b. Tentative list is maintained in store for each article based on its usage of last month
  - c. If material is not available in stores, requisition is done via tender as per approval from competent authority
  - d. Corporate store, Kendriya bhandar are empanelled for stationary items & other articles. They are paid in advance against which they raise bills on monthly basis
  - e. Store items are maintained using a stock register and as an when it is released , the same is also recorded
  - f. Store requests admin division to procure more items with specification & numbers
  - g. Employee fills requisition forms with approval for stationary items
- **Crockery procurement**
  - h. Flask, Cup plate , tea kettle ,plates ,coaster, tea spoon ,sugar pot , milk pot & tea tray are given to CGM & above on need basis
  - i. Glass Tumbler superior set given to GM & above
- Reception
  - a. Three(3) employees are stationed at reception and physical registers are maintained for visitors
- Uniform
  - a. Employees belonging to grade I, II, III ( Class IV ) , staff driver, electrician and photocopy operator are given uniforms by MMTC
  - b. Uniform is provided by **Raymond** , which is an authorised supplier with brand code fixed (23 % discount)
  - c. Colours, size, etc. details are fixed in consultation with union bodies by competent authority
  - d. For females , uniforms are procured from **NALLI** showrooms



- e. Rate is fixed by Corporate Office & conveyed to Regional office, where they can buy from local vendors as per their discretion
- f. Apart from uniform , shoes/sandal & sox from liberty , slippers from Bata are also supplied to above mentioned employees
- g. For drivers , apart from uniform items such as blanket , torch, time peace , umbrella, rain coat, overcoats etc. are also provided once in five(5) years:
- h. Different grades are given set of uniforms for winter/summer as per the policy
- i. Briefcases are issued to different grades as per the policy
- Telephone , broadband , mobile management
  - a. MMTC purchase telephone set as per requirement with approval from competent authority
  - b.** Employee submits bill by 16<sup>th</sup> of month, the division checks for Cadre wise entitlement for every employee
  - c. The data for mobile bill reimbursement is maintained by division in excel sheet format
  - d. if the requisites amount is greater than entitlement the approval from concerned director for extra amount is required which the employee him/herself is required to obtain
  - e. The complete excel sheet is sent to accounts on 22<sup>nd</sup> of every month for processing
  - f. Then the said amount is accredited in salary of employee
  - g. Register is maintained for mobile purchase for various designations as per allotment. It is need based below DGM rank , above entitlement for every cadre with is as per policy )
  - h. Direct Bills from higher officials (GM & above) are received & processed and cheques are prepared
- Franking machine, Courier ,FAX, printer, Printing of stationary , photo copy, biometric machine (time office) & Telephone maintenance
  - a. MMTC floats tender for AMC (physical tender)
  - b. Committee if formed for bid process management (in presence of nominated members from accounts, audit, commodity )
  - c. Bid processing reports / comparative statement is prepared for approval from competent authority
  - d. L1 vendor is awarded the work order after approval from competent authority (GM Admin & GM (F))
  - e. Photocopy machines are rented from agency via tendering and they are paid on per transaction basis
- Courier management

- a. Courier register ( in ward / outward management ) is maintained by the division
- Care taking cell – AMC for housekeeping (facility management )
  - Following steps are performed for AMC vendor selection:
    - a. Tender is floated for selection of vendor
    - b. Approval from competent authority for tendering
    - c. Tender terms are prepared & sent to Systems division (email based)/ required hardcopy approvals
    - d. Tender is hosted on website using 2 envelope method
    - e. Constitution of committee ( people from Finance , Internal audit are nominated)
    - f. Technical bid is examined by the committee ( minimum 3 bids should have received )
    - g. Approval for price bid from competent authority with details of technically qualified bidders
    - h. Price bid opening for selection of L1 vendor
    - i. Approval for work order from competent authority
    - j. Agreement / work order signing with a security deposit
  - Purchase by care taking**
    - k. On requirement basis , purchase is performed as per approval from competent authority
    - l. As per approval either market quotations are invited or tendering is done.
- Periodical payment to party
  - a. Vendor database master for courier, machine, fax, telephone, etc.
  - b. All payments are done electronically
  - c. Every month/quarter the vendor raise invoices , it is cross checked and as per approval from competent authority
  - d. Sent to FSA for payment
- Extension of AMC
  - a. If performance of party is good , party is asked for verification of terms & conditions for extension
  - b. On approval from competent authority , Letter of award or re-tendering is done**

- Registers maintained
  - a. Fixed assets register/stock register – item purchased over 5000
  - b. Payment record register (physical register )
- Conference room at 6<sup>th</sup> floor
  - a. Requisition of booking the conference room received from interested party with approval from divisional heads.

**Reports**

- Daily communication is maintained via emails while approvals are taken on files

## 1.19 Board Secretariat

### 1.19.1 Description

To arrange, coordinate and to supervise the works relating to the meeting of Executive committee, Board of directors and other sub-committees of Board, and to correspond with the Ministries and Parliamentary Secretariat.

### 1.19.2 Process Summary

Name of process		Board Secretariat
<b>Process Goal</b>		
To carry out works relating to the meetings of Functional Management Committee of Directors, Board of Directors & other sub-committees and to correspond with MOC&I for various issues related to the Directors and other Ministries with regard to Parliament Questions/Study Visit.		
<b>Process Owner</b>		
Board Secretariat		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> Board Secretariat		<input checked="" type="checkbox"/> Concerned Ministry and Divisions
<b>Process Details</b>		
<ul style="list-style-type: none"> <li>To convene Meetings of the Board of Directors, Executive Committee, Sub-committee of the Board of Directors and the Annual General Meetings</li> <li>To supervise and coordinate work relating to references from the Ministries, Parliamentary Committees, Parliament questions etc.</li> <li>Maintenance of records relating to share and Shareholders</li> <li>Circulation of information on MMTC website and to individual stakeholders if required</li> </ul>		

- Publication of annual reports
- Seeking Agenda Notes from concerned Divisions before Board/ACOD/other sub-committee meetings through concerned Director-in charge.
- Processing subscriptions for Membership with various Bodies/Associations/Govt Agencies.

### Reports/Registers

- Documents relating to BOD / FMCoD / Sub-committees of BOD agenda and minutes
- Attendance Register of BOD /FMCoD/ Sub-committee of BOD.
- Document related to Shareholders List and Registers through our RTA
- Annual General Meeting Minutes Register.
- Parliament Questions Register

## 1.20 Corporate Planning

### 1.20.1 Description

The main role of this department is to provide strategic inputs to formulate a business plan for MMTC. This department works with all the business units across MMTC to have a business plan in place. This department is mainly responsible for Strategic planning for MMTC with Short Term, Medium term and long term perspective. Besides, the department provides strategic inputs to management on various policy related issues and coordinates between MMTC and Ministry of Commerce and Industry (MoC&I) and other ministries/department. Among its other functions are conducting regional review meetings, information to management and MoC&I on trade policy issues, coordination with industry associations, preparation of corporate presentations for Ministry, Parliamentary committees, MoU task force etc. and write –ups on MMTC on various company and government publications etc.

### 1.20.2 Process Summary

<b>Name of process</b>	<b>Corporate Planning</b>	
<b>Process Goal</b>		
	To work with all the business units across MMTC to have a business plan in place.	
<b>Process Owner</b>		
	Corporate Planning	
<b>Primary Actors</b>	<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Corporate Planning	<input checked="" type="checkbox"/> All business units	
<b>Process Details</b>		
<ul style="list-style-type: none"> <li>• Short term planning</li> </ul> <p>This is a year on year process wherein an MOU between MMTC and MoC&amp;I is signed on agreed targets. This process starts in the month of October for planning for the next fiscal year. The corporate planning division seeks inputs from the business divisions and compiles a business forecast for the company for the next fiscal year. These preliminary targets from each of the business units are discussed at all levels of Management and based on these discussions the targets are agreed and a draft MoU document is formulated. The Functional Management Committee of Directors ratifies the draft MoU and this exercise is completed by the 30th of November in accordance with the guidelines laid down by DPE. The draft MoU is thereafter deliberated by the Board of Directors and by the 15th December a final draft MoU duly approved by Board of Directors is submitted to DPE through the Administrative Ministry, which is MoC&amp;I for MMTC. A copy of draft is also given to Planning Commission and Ministry of Statistics and Programme implementation for their records.</p> <p>By end-January or early February, detailed discussions are held between the members of MoU Task Force (constituted by DPE) and MMTC management and a revision of the draft MoU document is done after the discussions. The final document with targets for the next fiscal year (duly authenticated by the DPE) is submitted to the MoC&amp;I for signatures. The MOU is signed before 31st of March between Secretary, MoC&amp;I and CMD, MMTC. Thereafter, targets are communicated to the respective Business divisions/ Regions.</p> <ul style="list-style-type: none"> <li>• Medium to long term planning</li> </ul> <p>This activity is planned from a 3- 5 year's perspective. This department facilitates the discussions of targets, goal etc. for the next 3-5 year period. The Board approves the plan, and corporate planning division communicates the same to respective divisions accordingly.</p>		

- Long term planning

For activities which has to do with Long term planning the above process is again followed

- Other Activities
  - Providing inputs for Result Framework Document (RFD) of MoC&I and compilation of targets achieved.
  - Information to MoC&I on various issues such as domestic & overseas visits of CITM/Govt. representatives; policy issues, pre-budget proposals etc.
  - Compilation of information and providing write-ups for various publications of MoC&I e.g. Annual India, National archives, Annual report etc.
  - Conducting regional review meetings taken by management and communicating and monitoring of decisions of management.
  - Preparing presentations to CITM and MoS, Parliamentary delegations etc.
  - Providing information to Industry associations such as CII, FICCI etc. On policy issues, visits of various business delegations etc.
  - Annual/Half yearly public enterprises survey.
  - To look after all activities of Trade Information Centre (library) including selecting and purchase of books, periodicals, magazines, subscribing to commodity specific business information etc.
  - Implementation issues related to Integrity Pact.
  - Interact with the industry bodies like FICCI, CII etc. for various activities such as trade policies issues etc.

### Reports/Registers

After the fixation of targets for the year, the department monitors the progress vis- a vis the targets assigned in the draft MoU on a quarterly basis.

The tasks connected with the same are:

- Compiling Information on targets achieved from respective divisions.
- Calculation of MOU scores.
- Reporting to Management on status of achievement of MoU targets on a quarterly basis.
- Generating Reports based on MoU targets achieved for management and MoC&I

## 1.21 Corporate Social Responsibility (CSR)

### 1.21.1 Description

With approval of the Board, MMTC adopted CSR as a policy initiative in Sept. 2006 effective from 2007-08 with the following objectives.

- To initiate voluntary measures to address economic, social and environmental concerns of stakeholders
- To make CSR a key business process for sustainable development
- To be a good Corporate Citizen

### 1.21.2 Process Summary

<b>Name of process</b>		<b>Corporate Social Responsibility</b>	
<b>Process Goal</b>			
To initiate, Execute and monitor CSR activities			
<b>Process Owner</b>			
Corporate Social Responsibility			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> CSR		<input checked="" type="checkbox"/> Finance <input checked="" type="checkbox"/> Concerned divisions/locations	
<b>Process Details</b>			
<b>Scope</b> MMTC follows a three pronged approach for carrying out CSR activities to add value to its triple bottom line – <ul style="list-style-type: none"> <li>• MMTC as Promoter- takes up CSR activities on its own.</li> <li>• MMTC as Partner – CSR activities in association with Voluntary / Autonomous bodies, Central / State Govt. agencies, statutory bodies.</li> <li>• MMTC as Facilitator- activities in and around locations where MMTC has its business operations / country at large</li> </ul>			
<b>Implementation</b>			



A Committee headed by an Independent Director and comprising of Director (P) - Member, Director (F) – Member, Director (Marketing) - Member and the Company Secretary / Asst. Company Secretary - as Member Secretary, is responsible for the planning and implementation of CSR/ Sustainability activities. The Committee is the Apex Policy making Body to lay down guidelines for allocation of budget under various head of CSR. Welfare Section of Personnel Division at Corporate Office assists the Apex Committee.

To assist the above mentioned committee in its functioning, there is a Below Board level committee headed by a Chief General Manager and having General Manager (P) and General Manager (F) as members. This Committee is also responsible for preparing monthly reports with respect to the “implementation status”. At the Regional Office level, the General Manager in charge and his associate finance are responsible for implementation of CSR programme as decided by the apex committee.

MMTC’s engagement areas in CSR include infrastructural development, environmental care and concern and relief and restoration during time of natural calamities which are line with the Millennium Development Goals (MDGs) of the United Nations.

The broad areas for CSR activities taken up by MMTC are as under:

- Infrastructure development
- Promotion of literacy
- Primary health care
- Community activities – Relief and restoration in times of national calamities.
- Promote afforestation especially in mining areas
- Check dams and water conservation projects
- Sustainable development

**Planning guidelines**

- Identification of projects in the periphery of MMTC areas of operations, as far as possible.
- Development of long term, medium term and short term CSR action plan matching with the business plan, specifying following :
  - Requirements relating to baseline survey
  - Activities to be undertaken

- Budgets allocated
- Time-line prescribed
- Responsibilities and authorities defined
- Major results expected

### CSR Initiatives

Infrastructure Sector	
1	BARBIL- Creation of drinking water & sanitation facilities at 3 Govt. schools in Joda-Barbil
2	CHENNAI- Creation of wash room facilities in Govt. school, Padappai
3	Saraswati Shishu Mandir, Chandanbhati, Odisha- Purchase of 30 tables, chairs, one black board and two computers
4	Primary school at Sarangpur Village-Construction of three additional classrooms and toilets *
5	Development of burial ground of NINL Rehabilitation & Resettlement Colony, Gobarghati, Odisha
6	Rain water in Regina Mundi High School, Chicalim, Goa
7	Construction of toilets and placement of waste dumpers in Bellary. *
8	Residence cum rehabilitation complex at Gurgaon by the NGO "Action for Autism". *
Health Sector	
1	ALIMCO-Camps in Kolkata for distributing assistive devices to PwDs

2	Equipment's for Ramkrishna Mission, Purulia
3	INDIAN CANCER SOCIETY- Cancer screening/ Mammography
4	HELPAGE INDIA- Provision of Mobile Medicare Units
5	Health camps in BBSR in association with UCCI
6	Physio therapy Equipment for school for Deaf – Mute Society, Ahmedabad
7	ICARE Foundation-Purchase of Keratometer and Slit Lamps to facilitate conduct of free OPD
<b>Education</b>	
1	CHINH-Purchase of equipment's for imparting skill development trainings like stitching, photography, computer and multi-media, to women from economically weaker sections
2	District Red Cross Society-purchase of raw materials for assistive equipment to be distributed to physically challenged persons

3	Creation of Self-employment/employability in Sarangpur and Gobarghati, Odisha
4	Equipment's to Leprosy Mission Trust for skill development trainings-RO Mumbai
5	Computer, tables and cupboards for Vikas Gruha, Ahmedabad
<b>Promotion of Sports, Art &amp; Culture</b>	
1	Sangeet Vandana-Supported "Suron ke Ustaad-2"- an event for the differently abled children
2	Khorda Zilla Lok Utsav-2012
3	Shahabad Hockey Centre-procurement of various equipment's
4	ALPANA-Supported SAMBHAV 2012-an event for persons with disability
5	SANKALP-Financial assistance for national festival
<b>Donations (5% of CSR Budget) = Rs. 10.5 lakhs</b>	
1	SDRS- National Symposium on Disability Management in Agriculture and Farming
2	JAN AKANSHA-Towards holding of workshops for women empowerment & protection of rights
<b>Sustainable Development</b>	

1	Lokhit Samiti- National Seminar on "Renewable Energy Resources as a key to Sustainable Growth"
2	Street lighting through solar energy at Baragadia Village in Jaipur (thru OREDA)
3	Construction of check dams
4	M/s EESL- Energy Audit of MMTC Corporate Office
5	Revival of Water Body at Neb Sarai

### Budget Allocation

The budget for undertaking CSR activities during the year will be % of Net profit of the previous year as under

Type of CPSEs Net Profit (Previous Year)	Expenditure range for CSR in a Financial Year (% of profit)
Less than Rs. 100 crores	3% - 5%
Rs. 100 crores to Rs. 500 crores	2% - 3% (Subject to a Minimum of 3 crores)
Rs. 500 crores and above	0.5% - 2%

*However with the passing of the Amendment to the Companies Bill, the budget for CSR shall be two percent of the average net profits of the preceding three financial years.*

The CSR Budget never lapses; the unutilized funds is carried over for a period of three years, after which any unutilized funds which still remain is transferred to a Sustainability Fund being created by the Govt. Of India.

### Implementation & Implementation Machinery

Implementation of MMTC CSR scheme are based on the following guiding principles

- Investment in CSR to be project based.
- Time frame for each project to be finalized at the beginning.
- Wherever possible suppliers / business associate to be involved in CSR activities.
- CSR activities to be in line with National Plan Goal/ objectives.
- Millennium Development Goals adopted by our Country should be included in CSR activities.
- Use of Public-Private / Public -Public partnership can be formed for undertaking CSR / Sustainability activities.
- Identification of specialized agencies for implementing the action plan, namely-
  - Community based organizations whether formal or informal
  - Elected local bodies such as Panchayats
  - Voluntary Agencies (NGOs)
  - Institutes/ Academic Organizations
  - Trusts, Missions, etc.
  - Self—Help Groups
  - Governments, Semi-Government and autonomous Organizations
  - Standing Conference of Public Enterprises (SCOPE)
  - Mahila Mandals/ Samities and the like
  - Contracted agencies for civil works
  - Professional Consultancy Organizations, etc.
- Verification of Credentials of specialized agencies
- Preparation of Panel of specialized agencies and/ or selection of NGOs through Panel maintained by Govt., Semi-Govt., Autonomous Organizations and National CSR Hub.
- Identification of agency for carrying out impact assessment / social audit of the CSR / Sustainability activities undertaken.

### Reports/Registers

#### Baseline Survey

- The impact made by CSR activities will be quantified to the best possible extent with reference to base line data, which need to be created before the start of any project.

#### Monitoring

- Board of Directors are apprised of CSR activities undertaken on quarterly basis.
- CSR Implementation I forms a part of MOU with Ministry.
- A separate paragraph is included in Annual report of the Company.
- Appointment of Social Audit Committee or suitable credible external agency for periodic monitoring of CSR activities.
- Projects is evaluated (Impact assessment) by an independent external agency selected via tender process.
- Nodal officer sends execution progress reports to Corporate report on monthly basis
- Business Compliance report is prepared as per SEBI Compliance.

**Documentation**

- CSR Policy, expenditure, programme shall be put up on MMTC Website for Public domain

## 1.22 Internal Audit

### 1.22.1 Description

- Dealing with the Govt. Auditors, arranging reply of Audit Paras and its follow up for settlement.
- Conducting internal audit of Corporate Office, Regional Office and other offices spread all over India, issuing Audit Reports and examining replies particularly of major paras submitted Independent auditors and finally settlement of the Audit Paras.
- Conducting internal audits at all offices of MMTC.

### 1.22.2 Process Summary

Name of process		Internal Audit	
<b>Process Goal</b>			
To convene internal audit for all associated functions within the organization.			
<b>Process Owner</b>			
Internal Audit			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Internal Audit		<input checked="" type="checkbox"/> Finance <input checked="" type="checkbox"/> Concerned divisions	
<b>Process Details</b>			
<b>1.22.2.1 Responsibilities and Scope of the Department (Corporate - Internal Audit)</b> <ul style="list-style-type: none"> <li>• Items of audit relating to trading activities</li> </ul>			



S No	Items of Work	Frequency
1	Scrutiny of Contracts: Contracts for purchase and sale of all commodities. Proprietary audit of transactions with regard to approvals of competent authority from CO and actual transactions thereof	Verified in all quarters
2	Scrutiny of BG's received and or issued by the corporation and other securities including cash balances	Verified in all quarters
3	Audit of trading transactions	Verified in all quarters
4	Negotiation of L/C	Verified in all quarters
5	Transactions under MCX, NCDEX & National Spot Exchange Ltd. (NSEL)	Verified in all quarters
6	Physical verification of stocks in particular stocks under financing scheme if in private go down	Verified in all quarters
7	For Corporate Office Only <ul style="list-style-type: none"> <li>• Audit of System Division</li> <li>• Investments</li> <li>• Foreign Exchange Activities</li> <li>• Audit of site office</li> <li>• Audit of Central bullion operations (CBO)</li> </ul>	Verified in all quarters
8	Verification of Subsidy claims	
<ul style="list-style-type: none"> <li>• Items relating to bullion and other specified areas</li> </ul>		
S No	Items of Work	Frequency
1	Audit of bullion transactions	Verified in all quarters

	<ul style="list-style-type: none"> <li>• A Certificate regarding compliance With the laid down gold drill to be incorporated by the auditors in quarterly reports</li> <li>• All manual transactions to be reported. Also all delivery made through manual delivery challans not updated/late updated in the system to be reported. In case of unfixed metal the provisional value should be calculated on the basis of prevailing metal on the date of transaction and uncovered exchange to be reported quarterly</li> </ul>	
2	Risk Management Audit	Verified in all quarters
3	Third party confirmations	Verified in all quarters
4	Buyer Credits/Suppliers credit	Verified in all quarters
5	Forward Contracts	Verified in all quarters
6	Claims against the company	Verified in all quarters
7	Verification of the financial securities	Verified in all quarters
8	Adequacy of financial securities	Verified in all quarters
9	System audit of VAT, Service Tax, Sales Tax ,TDS and Tax returns :- <ul style="list-style-type: none"> <li>• From salaries and from contractors etc.</li> </ul>	Verified in all quarters
10	Review of insurance claims	Verified in all quarters
11	Donation/Corporate Social responsibilities	Verified in all quarters
12	Internal corporate loan	Verified in all quarters
13	Review of handling and stevedoring agreements, lacunae , if any , observed and suggestions for plugging those lacunae	Verified in all quarters
14	Systemic audit on the slow moving goods for sale	Verified in all quarters
15	Review of incidence of demurrage/ detention charges, its causes and	Verified in all quarters

	suggestions for avoiding demurrage in future	
16	A special study on the various penalties incurred on account of admixture of foreign materials in the ores supplied causes for excess moisture, failure to maintain contractual fee and penalty sizes and how the corresponding procurement policy counteract such penalties, improvement and suggestions, etc.	Verified in all quarters
17	At the time of each and every audit it must be ensured that the ROs/SROs have submitted the GRs/Bes in time. Non submission is required to be included in report (GR-I forms)	Verified in all quarters

- Items relating to accounting activities

S No	Items of Work	Frequency
1	<ul style="list-style-type: none"> <li>• Suspense Account</li> <li>• Outstanding liabilities</li> <li>• Claims payable</li> <li>• Claims recoverable</li> </ul>	Verified in all quarters
2	A Special study of state cheques account analyzing the reasons for non-appropriation of stale cheques outstanding for more than 3 years to Misc. income account	Verified in all quarters
3	Review of cash management at ROs/SROs to ensure that large idle funds do not remain at ROs/SROs without sufficient reason and are transferred to CO without delay to avoid loss of opportunity to earn interest	Verified in all quarters

4	Review of fund flow, utilization and investment of surplus fund and long term investments etc.	Verified in all quarters
5	Review of payment receipt register	Verified in all quarters
6	Reconciliation: Bank accounts, cash books and bank books	Verified in all quarters
7	Audit of e-payments	Verified in all quarters
8	IOGL entries	Verified in all quarters
9	Booking of sale & Purchase	Verified in all quarters
10	Classification of EMD/Security deposit	Verified in all quarters
11	Contingent liabilities	Verified in all quarters
12	Provisioning for liabilities	Verified in all quarters
13	Vouching of banks/journal vouchers and debit/credit notes	Verified in all quarters
14	Withholding tax	Verified in all quarters
15	Monthly closing of ERP	Verified in all quarters
16	Opening balances in ERP	Verified in all quarters
17	Cash in hand	Verified in all quarters
18	Debit balance in party account	Verified in all quarters
19	Audit of estate activities	Verified in all quarters
20	MIS	Verified in all quarters
21	Scrutiny of quarterly/annual accounts including schedules	Verified in all quarters
22	Systematic audit of expenses and comparison with budget	Verified in all quarters
23	Scrutiny of advances (other than staff)	Verified in all quarters
24	Fixed asset register	Verified in all quarters
25	Sale/purchase of fixed assets	Verified in all quarters

- Items relating to other activities

S No	Items of Work	Frequency
1	Scrutiny of staff advances such as HBA, vehicle advances, etc. including checking of prescribed documents, entry in the service book, nominations, recoveries, etc. Service books of the employees to be audited with regard to entries in respect of advances drawn , verification of entries made in the service book and leave account	Verified in all quarters
2	Scrutiny of salary bills , grant of allowances, recoveries , sanctions of leave with or without pay, fixation of pay	Verified in all quarters
3	Insurance	Verified in all quarters
4	Audit of legal activities	Verified in all quarters
5	Register of stationary items	Verified in all quarters
6	Submission of audit report	Quarterly

- Items requiring compliance certificates

S No	Items of Work	Frequency
1	Bank reconciliation statement	Verified in all quarters
2	Fixed assets module under ERP	Verified in all quarters
3	Bullion Trading system (BTS)	Verified in all quarters
4	Other Accounting transactions under ERP	Verified in all quarters
5	VAT/TDS returns	Verified in all quarters
6	<ul style="list-style-type: none"> <li>Physical verification of bullion stock</li> <li>Physical verification of other commodities</li> </ul>	Verified in all quarters

7	Risk management	Verified in all quarters
8	ACD directives on audit paras on repeated points	Verified in all quarters

### Reports/Registers

- In respect of paras required to be reported to SMAC/ACD pertaining to precious metals (Annexure – 1C – A)

Audit Observations	Instance observed in the last quarter	Instance observed in the current quarter
Delay in issuance of invoices due to which huge balances are appearing in the customer ledger (no of days)		
Whether BG's reviewed each month by RO head and head of finance and on weekly basis by the officers dealing in bullion		
Whether all records required under bullion drill are maintained		
For loan cases, wherever sale had been booked taking notional exchange/metal rate final invoice is made and debited to customer account to reflect actual balances		
Variance in gold stock as per BTS and stock physically available		
BTS delivery challan not having signature of customer in support of having taken the delivery		
Delay in fixation of gold( no of cases)		

- Report in respect of paras required to be reported to SMAC / ACD pertaining to Agro(Annexure – 1C – B)

Audit observation	Instances observed in The quarter ending	Instances Observed in the quarter ending
Opening of LCs prior to receipt of proper EMD ( no. of cases )		
Delay in lifting of stock by the associates ( no. of cases)		
Shortages in stock not recovered from suppliers / associates ( no. of cases)		
Detention / demurrage and other costs including price variation, stock damage beyond the reimbursement limit of Government not recovered from associates ( no. of cases )		

- Report in respect of paras required to be reported to SMAC / ACD pertaining to Steel (Annexure – 1C- C)

Audit observation	Instances observed in The quarter ending	Instances Observed in the quarter ending
No. of transactions where C Forms are pending		
Delay in receipt of C Forms – ( no. of cases/days )		

Note: However adequate amount is being kept towards security in the shape of cash or BG wherever “c” form is not submitted in advance by RO Kolkata and Bhubaneswar (Except for PSU)

Increase in C-Forms is due to increase in the number of customers for sale of NINL products by Kolkata, BBSR, Ahmedabad and Mumbai regional offices

- Report in respect of paras required to be reported to SMAC / ACD pertaining to Non-Ferrous Metals (Annexure – 1C – D)

Audit observation	Instances observed in The quarter ending	Instances Observed in the quarter ending
Delay in lifting of stock by the associates ( no. of cases)		
Delay in disposal of stock ( no. of cases )		

- Report in respect of paras required to be reported to SMAC / ACD pertaining to Minerals (Annexure – 1C – E)

Audit observation	Instances observed in The quarter ending	Instances Observed in the quarter ending
Payment of penalty (Minimum Guarantee Throughput ) on account of non fulfillment of export obligation ( no. of cases )		
Amount of MGT		

- Audit reports

S No	Name of the report	Frequency	Format
1	Concurrent audit done for all items for all ROs	Every 15 days	MS Word
2	In-depth audit by external 3 <sup>rd</sup> party auditor	Quarterly	
3	Special audits by Senior officers	Random	
4	Recommendations of internal audits on a particular	As an when required	MS Word



	transaction		
--	-------------	--	--

## 1.23 Projects Division

### 1.23.1 Description

Project division is looking in to development of new business areas for MMTC as per management approvals.

### 1.23.2 Process Summary

Name of process		Projects
<b>Process Goal</b>		
To look in to development of new business areas for MMTC as per management approvals.		
<b>Process Owner</b>		
Projects		
<b>Primary Actors</b>		<b>Secondary Actors</b>
<input checked="" type="checkbox"/> projects		<input checked="" type="checkbox"/> Finance <input checked="" type="checkbox"/> Concerned divisions
<b>Process Details</b>		
<p><b>1.23.2.1 Development of coal block</b></p> <p>MMTC was allocated a coal block in Jharkhand state in the year 2006 and the prospecting license was given by the state government in 2010. On 24.08.2012 MMTC has signed an MoU with M/s. Singareni Collieries Co Ltd. (SCCL), a government company for development and operation of Gomia Coal Block allocated to MMTC</p> <p>Exploration work in Gomia u/g coal block has since been completed in two phases for which firms were identified using global tender. Projects division is now focusing on preparation of mining plan, in consultation with M/s. SCCL, who are experts in underground mining</p>		

**1.23.2.2 15 MW Wind farm**

MMTC's Gajendragad plant started in march 2007, has delivered net electricity units of power of over 171 million units to Hubli Electricity Supply Company Limited (HESCOM) Limited till 31.082013. The installed capacity of the plant is 15 MW, with 25 wind energy generators, each with 600 KV.

**1.23.2.3 Free Trade Warehouses**

MMTC, along with ILF&S IDC, has established a joint venture company, Free Trade Warehousing Pvt. Ltd. (FTWPL) for jointly promoting free trade warehousing zones in india. The SPVs formed under the joint venture company have been allotted land to set up free trade warehousing zones at Haldia and Kandla on lines similar to special economic zones. However due to change in policies of government of west Bengal, an 'International Cargo Hub' is now being setup at Haldia, outside the scope of SEZ Act. Work relating to obtaining of internal approvals for the development of Kandla and Haldia projects is presently in progress.

**1.23.2.4 Warehouses at other locations**

MMTC is looking in to the possibilities of construction of warehouses on its available land at Abhraknagar, Goa and Kakinada.

**Reports/Registers**

- Microsoft excel and email based reporting from projects locations

## 1.24 Personnel and Training

### 1.24.1 Description

To perform efficient Man-Power Planning, Training, Administration, Human Resources activities, Industrial relations, etc.

### 1.24.2 Process Summary

Name of process		Personnel and Training	
<b>Process Goal</b>			
To convene Human resource and associated functions of the organization.			
<b>Process Owner</b>			
Personnel and Training			
<b>Primary Actors</b>		<b>Secondary Actors</b>	
<input checked="" type="checkbox"/> Personnel and Training		<input checked="" type="checkbox"/> Finance <input checked="" type="checkbox"/> Concerned divisions	
<b>Process Details</b>			
<b>1.24.2.1 Responsibilities of the Department (Corporate - Personnel and Training)</b> <ul style="list-style-type: none"> <li>• Man-Power Planning</li> <li>• Training &amp; Development</li> <li>• Personnel Administration</li> <li>• Provide trained and experienced man-power at all locations of work</li> </ul>			

- Redressal of the Grievances.

Task/Activities performed by the department

- Welfare Matters
  - Welfare Loans
  - Employee Gifts – Diwali Gifts, New Year Gifts
  - Maintenance of 3% Sundry Perks
  - Holiday Home matters- Sanction, payments, opening-closing etc
  - Meal Vouchers
- Canteen Society Matters- Subsidy, Legal Matters
- EPS Pension Returns and Claims.
- RB Section Matters
  - Settlement of CPF Claims.
  - Settlement of Gratuity Cases
  - Settlement of Death Cases.
  - Settlement of Long Service Award
  - Gold Coin on Retirement.
  - EFBS Settlement
  - EDLI and GI claims settlement
- Exemption to MMTC CPF Trust.
- HBA Cases.
- Legal Matters related to Gratuity, PF
- Matter related to MMTC Employees Defined Contribution Superannuation Scheme (Pension Scheme)

**AR Section/Cell**

- Probation Clearance (process starts a month prior to completion of probation)
- Distribution of Blank ACR Forms in 1st Month of March
- Mid-year review
- Compliance of Bell Curve by June/July of subsequent year
- Providing Ratings to concerned sections for DPC/ distribution of PRP
- Reply of RTIs within stipulated time frame

**IR Section**

- Coordination of distribution of PRP every year.
- Promulgation, updation/ introduction of new rules.
- Revision of MMTC Rules/ Schemes
- Interact/ Meetings with MMTC Officers/ Staff Federation/ Unions
- Arrange reply of Audit Paras,
- Deal MICA related issues
- Respond MMTC Public/ Employees Grievance

**Reports/Registers (Corporate - Personnel and Training)**

- ACRs of OM and above till AGM level (all RO's)
- Below OM level staff all staff employees (CO only)

- Probation clearance register
- ACR folders of all officers ( Deputy Manager to AGM)
- ACR folders of Staff at CO
- ACR folders of Oms ( all regions)

**End of Document**