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இலங்கை மத்திய வங்கி
CENTRAL BANK OF SRI LANKA

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செயலகத் திணைக்களம்	இல. 30, சனாதிபதி மாவத்தை, கொழும்பு - 01, இலங்கை
SECRETARIAT DEPARTMENT	**No. 30, Janadhipathi Mawatha, Colombo 01, Sri Lanka**

DOCUMENT A
BID INVITATION

Ref: No. 09/04/161/2023/001   19 April 2024

Director/Manager

………………………...

………………………….

Dear Sir/Madam,

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

Sealed quotations are invited for the procurement of a Complaint Management System (CMS) for the Central Bank of Sri Lanka (CBSL) as follows.

1. **Eligibility Criteria:**
   a) Should be a company registered and operating in Sri Lanka.
   b) Should have successfully implemented bespoke software in at least two institutions in Sri Lanka and should have been engaged in maintaining similar software in Sri Lanka during the 05 years ended 31.03.2024.
   c) Should have positive net worth at least for two years out of the last three years ending 31.12.2022 or 31.03.2023.

   The bidder shall furnish relevant information in line with Annex I.

2. **Technical Specifications:**
   Required minimum technical specifications are in Annex II.

3. **Price Schedule:**
   The bidder shall quote prices as per Annex III – Price Schedule. The price quoted inclusive of all local taxes should be in Sri Lankan Rupees (Rs.) and valid until 10 September 2024. The price shall remain unchanged during the validity period of the procurement.

4. **Bid Guarantee:**
   The bidder should furnish a Bid Guarantee amounting to Rs. 200,000 valid until 10 October 2024 by way of a Bank Guarantee substantially in the form of Annex IV or a Bank Draft in favor of the Central Bank of Sri Lanka, obtained from a Licensed Commercial Bank operating in Sri Lanka. The Bid Guarantee shall be available at the time of the bid opening.

5. **Performance Guarantee:**

   Within 14 calendar days from the date of letter of award of the contract by the CBSL, the successful bidder shall furnish a Performance Guarantee substantially in the form of Annex V in a sum equivalent to 10% of the total Contract Price for the due performance of the contract which should be valid for 240 calendar days from the date of letter of award. Such Performance Guarantee shall be in the form of a Bank Guarantee issued in favor of the Central Bank of Sri Lanka obtained from a Licensed Commercial Bank operating in Sri Lanka and forwarded to the Secretary of the CBSL.

   A successful bidder who fails to provide the required Performance Guarantee as specified above shall be deemed to be disinterested in accepting the award, and the Bid Guarantee shall be forfeited.

6. **Pre-bid Meeting:**

   A pre-bid meeting will be held online via MS Teams on 02 May 2024, 1030 hrs. The meeting link will be shared with all the bidders prior to the meeting. The bidders shall provide the contact details (email) of their authorized representatives for the pre-bid meeting in order for the CBSL to send the invitation to the virtual pre-bid meeting.

7. **Delivery Period and Liquidated Damages:**

   The successful bidder should deliver the following requirements within 28 weeks from the date of award of the procurement.
   a) Installation, configuration and commissioning of the systems developed to perform the activities related to CMD at the CBSL primary and disaster recovery site (DRS).
   b) Expected functionality as per Annex II and successful completion of User Acceptance Testing (UAT).
   c) One month period of hand-holding support after UAT.
   d) Provide technical and operational training for the application users.
   e) Submit technical and operational manuals of the application in English language.

   Failure to deliver the above requirements within this period would render the successful bidder liable to pay liquidated damages at the rate of Rs. 20,000/= per each day of delay subject to 10% of the total contract value and such amounts will be deducted from the payment due to the supplier.

8. **Maintenance Services:**

   The proposed software solution shall be covered by a minimum of one (01) year comprehensive warranty period from the date of implementing it for live operations and any issues/problems identified during the warranty period should be rectified by the bidder at no cost to the CBSL by providing necessary fixes. The post warranty maintenance period for the proposed software shall be five (05) years.

9. **Payment Method:**

   All payments will be subject to existing taxes as applicable in terms of the law applicable for the time being. The successful bidder shall submit a copy of VAT Registration Certificate (if any) and SSCL certificate (if any).

   All relevant payments shall be made as per the "Payment Schedule" given in the following table.

   Payment Schedule:

Milestone	Percentage of Total Payment
After fourteen (14) days from the date of signing off of the SRS (Software Requirement Specification)	20%
After fourteen (14) days from the date of first release of the CMS	30%
After fourteen (14) days from the date of fulfillment of the requirements mentioned above in procurement condition 7	40%
After ninety (90) days of the completion of the commissioning subject to the satisfactory performance of the implemented software solutions with the recommendation of the Director, Information Technology Department, CBSL	10%

10. Joint Venture:

i. If the Supplier is a joint venture, all of the parties shall be jointly and severally liable to the Purchaser for the fulfillment of the provisions of the Contract and shall designate one party to act as a leader with authority to bind the joint venture. The composition or the constitution of the joint venture shall not be altered without the prior consent of the Purchaser.

ii. If a joint venture, list complete legal names of partners.

iii. The successful bidder shall not assign the contract or any part thereof to any other third party.

11. Document Requirements:

Following information shall be furnished along with the bid which will be considered for evaluation:

i. Duly completed Bid Submission Form (Document B).

ii. Eligibility Report (Annex I).

iii. Composition of the project team including their names, company designations and the roles they play in the project along with details of the academic, professional qualifications and experience (Curriculum vitae). (Refer Annex VI)

iv. Price schedule (Annex III).

v. Duly completed Bid Guarantee (Similar to Annex IV).

vi. Company profile.

vii. Three years of audited financial statements (past three years ending 31.12.2022 or 31.03.2023).

viii. The bidder's technical proposal shall contain detailed description of the project implementation approach including project plan, design and development methodologies applied, quality assurance, deliverables, testing, user training and troubleshooting.

ix. Warranty and post warranty service level requirements as stated under Section 4.13 in Annex II.

x. Technical Responsiveness Checklist provided in Section 5 of Annex II to demonstrate the responsiveness of the bid. The checklist should contain cross references to the relevant pages in the bidder's Technical Proposal.

xi. Joint venture agreement if the Bidder is a Joint Venture.

12. Selection Method:

i. The evaluation will be based on the on quality and cost (total project cost including maintenance) basis subject to substantial compliance with Procurement conditions. The applicable weightage will be 70% and 30% respectively.

ii. The technical evaluation will be based on the following criteria:

- Company Profile and Strength.
- Competency of the project team including composition.
- Previous projects and experience.
- Project implementation approach including approach on project plan, requirements analysis, design and development, deployment including DR site replication, deliverables and quality assurance, testing and training.
- Fulfillment of the functional and technical requirements.

iii. The CBSL reserves itself the right to accept any or reject any or all bid(s) or any part of the bid received and is not bound to accept the lowest quotation. The decision of the CBSL shall be final with regard to the award of the contract.

13. Submission of Bids and Bids Opening:

Duly perfected bid documents addressed to the Secretary, Central Bank of Sri Lanka, No 30, Janadhipathi Mawatha, Colombo should be:

i. Sent via email to **procsec@cbsl.lk** with a copy to **sec@cbsl.lk** in the form of password-protected PDF with the subject "PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM FOR THE CENTRAL BANK OF SRI LANKA" (Please refer Annex VII for the guide on submitting documents via email) not later than **1400 hrs. on 13 May 2024**. The passwords of the PDF files shall be sent before 1430 hrs.

ii. Bids will be opened at 1430 hrs. after closing the bids on 13 May 2024 virtually via MS Teams

iii. The bidders or their authorized representatives may join the bid opening and the following details shall be submitted on or before 1100 hrs. on 13 May 2024 in order to send the invitation for the bid opening.
a) Name and Designation
b) Email
c) Contact Details.

14. Contact Details:

For any further clarifications you may contact the following officer/s.

i. Assistant Secretary / Secretariat (Procurement Matters) – 0112477300
ii. Senior Assistant Director / FCR (Technical Matters) - 0112477994
iii. Assistant Director / IT (Technical Matters) - 0112398889

Yours faithfully

Sgd./(Mrs.) K N N M Bandara
Secretary
Central Bank of Sri Lanka

BID SUBMISSION FORM

To: Secretary
Central Bank of Sri Lanka
Tower 5, Level 11, Head Office Building
No.30, Janadhipathi Mawatha
Colombo 01.

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

Having examined the Invitation to Bid and all other requirements indicated in the bidding documents, I/We…………………………………………..…………………………………..……………………of …… hereby offer to undertake the undertake the software development, installation, configuration, testing, commissioning and training of a Complaint Management System for the Central Bank of Sri Lanka in accordance with the conditions and specifications indicated in the bidding documents, at the rates quoted in the Price schedule (Annex III) within a period of 28 weeks from the date of letter of award for the total sum of Rupees………………………………………………………………………………..………………………………… …………………………………………………………………………….. (Rs. …………………………).

If my/our bid is accepted I/we agree to furnish a Performance Guarantee in accordance with the bidding documents in a sum equivalent to 10% of the total Contract Price for the due performance of the contract. Such Performance Guarantee shall be in the form of a Bank Guarantee or a Bank Draft in favor of the Central Bank of Sri Lanka obtained from a licensed commercial bank operating in Sri Lanka. The Performance Guarantee shall be valid for 240 calendar days from the date of letter of award by the CBSL. I/We understand that my/our Bid together with your written acceptance thereof shall form a binding contract between us.

Dated this …………………..…………………….. of ……………………………….… Two Thousand and Twenty Four.

Duly authorised to sign the bid for and on behalf of …………………………………………………………………… ……………………………………………………………………………………….. (Company name and address).

Name: ……….

Designation: ………………………………………………………………………………………………………..

Signature: ……………………………………   Official Seal: ……………………………………….

ANNEX I (a) – ELIGIBILITY REPORT

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

- Bidders should have successfully implemented bespoke software in at least two institutions in Sri Lanka and should have been engaged in maintaining similar software in Sri Lanka during the 05 years ended 31.03.2024.

Experience - Project 1			
Name of the Client Company			
Application Implemented			
Date of commissioning			
Total Price			
Company Contact Person	Name	Designation	Telephone No.
Experience - Project 2			
Name of the Client Company			
Application Implemented			
Date of commissioning			
Total Price			
Company Contact Person	Name	Designation	Telephone No.

Note:
- The bidder is required to attach the sales invoices or the necessary documentary proof for the above experiences.
- Please expand the form if more than two project details are required.

ANNEX I (b) – FINANCIAL SOUNDNESS

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

The Bidder must demonstrate that they have a sound financial status to perform the contract throughout and complete the project successfully.

Requirement	YES/NO
Bidder must have positive net worth for at least 2 years out of the 3 years ending 31.03.23/31.12.2022.	

Bidder's Legal Name: _____   Date: _____

	Financial Data for Previous 3 Years [LKR]		
	Year 1	**Year 2**	**Year 3**
Information from Balance Sheet			
Total Assets			
Total Liabilities			
Net Worth			
Current Assets			
Current Liabilities			
Information from Income Statement			
Total Revenues			
Gross Profit			
Operating Profit			
Profits Before Taxes			
Profits After Taxes			

Note:
- Bidders must submit the Audited Financial Statements for the last 3 years.

SOFTWARE REQUIREMENT SPECIFICATION
FOR THE PROPOSED
COMPLAINT MANAGEMENT SYSTEM FOR CBSL

TABLE OF CONTENTS

SECTION 1 – BACKGROUND

1.1   Introduction

The Central Bank of Sri Lanka (CBSL) is the apex financial institution in Sri Lanka. Established in 1950 under the Monetary Law Act (MLA) No. 58 of 1949 as a semi-autonomous body, the CBSL Act No. 16 of 2023 (CBA), enacted in September 2023, supersedes the MLA, granting CBSL full autonomy and accountability.

As a corporate entity with legal standing, CBSL is tasked with overseeing the administration of Sri Lanka's monetary, financial, and payment systems. Its primary objectives include achieving and maintaining domestic price stability and ensuring the stability of the financial system. In fulfilling these mandates, CBSL works to safeguard the interests of both financial consumers and service providers, thereby promoting stability within Sri Lanka's financial landscape.

Currently, CBSL handles an average of over 1000 complaints from financial consumers each month. To streamline and enhance the efficiency of complaint resolution processes, there is a proposal to implement a new Complaint Management System (CMS) sourced from a reputable local service provider.

1.2 Need for a New Automated System

Currently, the complaint management process at CBSL relies on manual handling via Excel spreadsheets, lacking a centralized automated solution. This manual approach results in inefficiencies and delays in decision-making due to inadequate and untimely information.

The proposed automated system aims to address these shortcomings by providing a robust, comprehensive information management system capable of meeting both current and future demands. Transitioning to an automated system is expected to significantly reduce paperwork and streamline the complaint management process.

The key objectives of the proposed Complaint Management System (CMS) include:

  a. **Enhancing Efficiency**: By establishing a single platform for all stakeholders, the CMS will streamline the complaint handling process, thereby improving efficiency.
  b. **Segregation of Duties**: Different user roles within the CMS will ensure proper segregation of duties, enhancing the accuracy and transparency of information flow.
  c. **Database Management**: The CMS will maintain a proper, accurate, and consistent database of complaints, equipped with analysis features to extract relevant information as needed.

d. **Effective Follow-up**: The system will enable efficient tracking of complaints referred to external stakeholders, such as financial institutions, and facilitate prompt resolution by managing responses effectively.

By achieving these objectives, the proposed CMS aims to modernize and optimize the complaint management process at CBSL, ultimately leading to improved effectiveness and stakeholder satisfaction.

1.3 Key Stakeholders

The following key stakeholders could be identified in this automated system.

    i. CBSL
    ii. Complainants
    iii. Financial Institutions
    iv. Other Institutions

1.4 Acronyms used in this document

Term	Explanation
CMS	Complaint Management System
FI	Financial Institution
CBSL	Central Bank of Sri Lanka
DBMS	Data Base Management System
CRN	Complaint Reference Number

SECTION 2 – BUSINESS REQUIREMENTS

The Complaint Management System (CMS) implemented by CBSL aims to streamline the complaint handling process for complaints raised by the general public. Its primary functions include:

1. **Complaint Submission and Monitoring:** The CMS allows the general public to easily submit complaints across various categories and track the status of their submissions within the system.

2. **Multi-channel Complaint Handling:** CMS should enable CBSL to record complaints received via traditional channels such as letters, emails, and faxes, ensuring all complaints are captured and managed efficiently.

3. **Stakeholder Engagement:** All relevant stakeholders, including Financial Institutions (FIs), can respond to complaints directly through the CMS, facilitating effective communication and resolution.

4. **Escalation and Reminders:** CBSL can utilize the CMS to escalate follow-up actions for unresolved complaints and send notifications and reminders to FIs and internal departments to respond within defined timeframes.

5. **Reporting and Analysis:** The CMS is equipped with reporting capabilities, allowing CBSL to generate various reports for analysis and information purposes. Integration with Business Intelligence (BI) tools like Tableau enhances analytical capabilities.

6. **ChatBot Integration:** A ChatBot feature is preferred for handling general inquiries, providing an additional avenue for the public to seek assistance and information.

By incorporating these functionalities, the CMS aims to enhance transparency, efficiency, and accountability in the complaint management process, ultimately improving stakeholder satisfaction and trust in CBSL's services.

2.1 Complaint Categories

Complaints received by CBSL can be classified into two segments namely, complaints related to external parties and complaints related to functions carried out by CBSL.

2.1.1 Complaints related to external parties

Currently, CBSL receives eight different types of complaints related to external stakeholders and services.

    i.   Complaints against consumer protection issues of Banks & Non-Bank FIs.
    ii.   Complaint against unregistered Institutions.
    iii.   Complaint against other than consumer protection issues of Banks.
    iv.   Complaint against other than consumer protection issues of Non-Bank Fis.
    v.   Complaints related to payment methods/ applications/ systems.
    vi.   Complaints related to compensation payments.
    vii.   Scams.
    viii.   Pyramid Schemes.

2.1.2 Complaints related to functions carried out by CBSL

    i.   Complaints against economic policies
    ii.   Complaints against interest rates issues
    iii.   Complaints against Human Resources issues
    iv.   Complaints against Communications policies
    v.   Complaints against EPF issues
    vi.   Complaints against Foreign currencies issues
    vii.   Complaints against unauthorized exchangers
    viii.   Complaints against unauthorized usage of CBSL logo

2.2 Complaint Handling Process

The proposed complaint handling process of CBSL involves nine distinct user roles and follows a structured workflow:

1. **Complaint Submission:** Complainants can submit their complaints through the CMS by providing essential details such as customer name, FI details, and attaching necessary documents. The attached files can be either a document such as pdf, doc, etc. or/and an image, an audio/ video file. Alternatively, CBSL can enter complaints received via letters, faxes, or emails. Complainants receive an automatic acknowledgement (via email/SMS) upon submission.

2. **Complaint Reference Number (CRN) Assignment:** Each complaint is assigned a unique Complaint Reference Number (CRN) after ensuring no duplication. This CRN serves as a reference throughout the complaint handling process.

3. **Acknowledgement:** Upon CRN assignment, an acknowledgment is sent to the customer confirming receipt of the complaint.

4. **Initial Review and Action:** A designated officer reviews the complaint and determines the initial action to be taken. Possible actions include:
    a. Refer to the FI.
    b. Refer to the customer.
    c. Refer to CBSL Department.
    d. Refer to another institution.
    e. No action can be taken.

5. **Proposed Actions Entry:** Proposed actions by CBSL, including remedial actions by relevant parties, are entered into the system. Comments may be added, and the complaint may be referred back to the complainant for further information if necessary. If CBSL cannot proceed with a particular complaint, the reasons/ explanations behind that decision are conveyed to the complainant.

6. **Review and Approval:** Proposed actions and comments are reviewed and approved by different user roles before being dispatched to relevant parties with specified deadlines for response.

7. **Second Acknowledgement:** A second acknowledgment is sent to the customer, informing them of CBSL's action.

8. **FI/CBSL Department Response:** Relevant FIs or CBSL departments view complaints forwarded through the CMS and assign them to designated officers for resolution. They respond to the complainant and CBSL within the specified timeline.

9. **Response Entry:** FIs or CBSL departments enter the actions taken to resolve the complaint along with supporting documents and comments into the CMS.

10. **CBSL Review:** CBSL reviews the FI's response, determining whether the matter is resolved. If not, the complaint is referred back to the FI for further clarification or action.

11. **Resolution Confirmation:** If the complaint is resolved, a third acknowledgment is sent to the complainant confirming closure of the matter.

12. **Complainant Dissatisfaction:** If the complainant is unsatisfied with the FI's response, they can submit a request to CBSL for further review. CBSL assesses the request and notifies the FI of necessary actions or clarifications.

SECTION 3 – FUNCTIONAL SPECIFICATIONS

3.1   Key Functional Requirements of CMS

The CMS shall meet the following key functional requirements.

1. **Complaint Submission:** The CMS must enable complainants to submit complaints along with relevant evidence. Additionally, CBSL should have the capability to lodge complaints on behalf of others.

2. **Multilingual Support:** Complainants should be able to submit complaints in English, Sinhala, or Tamil. Responders should also have the ability to provide responses in any of these languages.

3. **User Roles:** The CMS must support nine distinct user roles involved in the complaint handling process:

    i.   Agent / Complainant

    ii.   Selection Team

    iii.   Handling Team

    iv.   Review Team

    v.   Approval Team

    vi.   Dispatch Team

    vii.   FI / CBSL Team

    viii. Scrutinize and Analysis Team

    ix.   Finalizing Team

4. **Flexible User Assignment:** The CMS should allow users to be assigned to multiple skill levels, providing flexibility in managing user roles and responsibilities.

5. **Complaint Filtering:** Each user should have the ability to search and filter complaints assigned to them based on their assigned user role. The system must include a complaint search/display details panel tailored to each user's skill set.

6. **Customer Details Search:** The system should include a search panel for accessing customer details, accessible to all users.

7. **Progress Tracking:** The progress of each complaint should be clearly marked upon completion of each stage, for an example; indicating completion with a green checkmark (√) or displaying an incomplete stage with a red-cross mark (×).

8. **Team Activity Monitoring:** Each user should be able to view the number of activities completed by their team.

9. **Notification Icon:** A separate notification icon must be displayed for each user level, indicating the number of pending items in each stage.

10. **New Complaint Notifications:** When a new complaint is assigned to a particular user role, a notification icon must be displayed on top. Clicking on it should direct the user to the detailed view of the complaint.

11. **Supervisor Role:** Each user role will have its own supervisors responsible for monitoring task progress. Supervisors can generate separate reports for each user under their supervision.

12. **Complaint Re-Examination:** If a complaint in the COMPLETED stage needs to be appealed, a note with "RE-EXAMINE" should be added, and the complaint should be forwarded to the Handling team.

13. **Work-in-Progress:** Actions/comments under any tier should be saved with the status to ensure ongoing work is accurately tracked.

14. **System Administrator Role:** A user with the system administrator role should be able to manage users, user roles, and responding institutions. This role should be able to add, edit, or delete users, assign users to different roles, and manage user permissions.

15. **Reporting and Analytics:** The system should facilitate the generation of standard reports required by CBSL. Additionally, integration with BI tools like Tableau should be supported for analytical purposes.

3.2 Detailed Functional Requirements

3.2.1   Functional Requirements for Agents Team

1. **Complaint Entry:** The complaints are received to the CMS directly from the complainants through data submission forms. Additionally, CMS allows the Agents Team to input complaints received via letters, faxes, emails, or directly through the system.

2. **Customer Details Registration:**

   - The Agents Team registers customer details using mandatory fields, recorded in English with optional insertion in Sinhala and Tamil.

   - In the case where there are multiple complainants for a single complaint, (for example, complaints related to joint accounts) a primary complainant should submit the complaint with necessary documentation.

   - Mandatory fields include:

     1   First Name *

     2   Last Name *

     3   NIC/ Passport/ Company Registration Number *

     4   Gender

     5   Address Line1 *

     6   Address Line 2

     7   City/ Town *

     8   Divisional Secretariat

     9   Mobile No.

     10   Home/ Office Phone No.

     11   Email address

3. **Preferred Communication Mode:** Agents must record the customer's preferred mode of communication (SMS, email, letter).

4. **Status Update:** Upon completion of customer registration, the status of the complaint should be changed to RECEIVED.

3.2.2 Functional Requirements for Selection Team

1. **CRN Assignment:**

   - The Selection Team checks if the complaint is new or related to a former complaint. If new, a new Complaint Reference Number (CRN) is assigned.

   - CRN number format:
     - Unique 10-digit number.
     - The first six digits represent the receipt date of the complaint on YYMMDD format.
     - The last four digits represent the sequence number of the complaint per date.
     - Example: 2402220001

2. **Complaint Categorization:**

   The Selection Team categorizes the complaint into the following categories:
   a. Complaint Type
   b. Institution
   c. Complaint Category
   d. Product Category
   e. Priority category

3. **Status Update:** After categorization, the status of the complaint changes to CATEGORIZED.

4. **Action Assignment:**

   The Selection Team assigns actions for categorized complaints under various stages:
   a. Refer to FI – Financial Institution must be selected from a dropdown list.
   b. Reply to Customer
   c. Refer to CBSL Department – Department must be selected from a dropdown list.
   d. Refer to other institution – Name of the institution must be mentioned.
   e. No action needed – Explanation for not taking action should be mentioned.

5. **Acknowledgement and Status Update:**

   The 1st acknowledgement generated by CMS is sent to the customer, and the status of the complaint changes to ACK1.

6. **Supervisor Privilege:**

Supervisors have the privilege to modify entries made by Selection Team members.

7. **Visibility of Entries:**

Selection Team members can view all ACK1 entries and RE-SELECT entries upon logging into the system.

8. **Handling of RE-SELECT Complaints:**

For RE-SELECT complaints, the Selection Team adjusts the categorization based on suggestions from the Handling Team. The status then changes to RE-SELECTED.

3.2.3 Functional Requirements for Handling Team
1. **CBSL Remarks Entry:**

- The Handling Team enters CBSL remarks for the following stages added by the Selection Team on ACK1/RE-SELECTED complaints:

   a) Refer to FI

   b) Reply to Customer

   c) Refer to CBSL Department

   d) Refer to Other Institution

   e) No Action Needed

- Remarks include proposed actions by CBSL for relevant parties and explanations/positions to convey to the customer.

2. **Attachment Management:**

- The Handling Team can view attachments uploaded by the Agents Team.

- Changes for attachments to be forwarded to relevant parties must be clearly identified, and necessary adjustments made.

- A confirmation checkbox should verify the availability of required attachments.

3. **Duration Allocation:**

- CMS automatically allocates a predefined duration for handling complaints by relevant parties.

- Handling Team users can define the duration (DUE-DATE) allocated to attend the complaint, amendable by users in Review and Approval roles.

- DUE-DATE is generated based on the allocated duration and dispatch date.

- When viewed by the FI, the DUE-DATE for responding to the complaint is displayed, with notifications sent on pending responses.

4. **Status Update:**

Once actions for all stages are entered, the complaint status changes to DRAFTED.

5. **RE-SELECT Option:**

- Handling Team can update the status to RE-SELECT, displaying it in the Selection Team for categorization alterations.

- When selecting RE-SELECT, the Handling Team inserts a comment for the Selection Team and selects changes to be made from a dropdown list.

6. **Visibility of Entries:**

The handling Team can see all ACK1, RE-SELECTED, and RE-DRAFT complaints.

7. **Complaint Search:**

Handling Team can search for complaints still under their team. With assigned privilege, they can search for complaints in other teams as well.

8. **Second Acknowledgment:**

- Upon dispatch of processed complaints to the FI/CBSL Department by the Dispatch Team, Handling Team is notified to send the 2nd acknowledgment to the customer.

- After sending the 2nd acknowledgment, the status of the complaint is updated to ACK2.

3.2.4 Functional Requirements for Review Team
1. **Actions/Comments Review:**

- The Review Team reviews actions/comments entered by the Handling Team under each stage and makes necessary amendments.

- When making changes, a note is added by the Review Team.

- Any changes made by the Review Team are static and transferred to the next tier for editing in a new dialog box.

2. **Attachment Management:**

   Review Team members can upload attachments or delete existing attachments as necessary.

3. **Stage Review:**

   - Actions/comments under each stage are reviewed separately.

   - Once reviewed, each stage is displayed with a green checkmark, indicating completion, while pending actions/comments for review are displayed with a red cross.

4. **Status Update:**

   Once the actions/ comments under all stages are reviewed, the status of the complaint will be changed to REVIEWED.

5. **Disagreement Handling:**

   If the Review Team disagrees with a CBSL comment/action added by the Handling Team, the status is changed to RE-DRAFT, and the complaint is redirected to the Handling Team for further action.

6. **Complaint Search:**

   Review Team members can search for complaints still under their team.

7. **Visibility of Entries:**

   Review Team members can see all DRAFTED, RE-DRAFTED, and RE-REVIEW entries.

3.2.5 Functional Requirements for Approval Team

1. **Visibility of Entries:**

   Approval Team members can see all REVIEWED entries.

2. **Approval of CBSL Notes/Actions:**

   - The Approval Team must approve CBSL notes/actions entered by the Handling Team and reviewed by the Review Team separately.

   - There must be a separate note field for entering a note in each stage.

   - Any changes made by the Approval Team are final and transferred to the next tier for dispatch.

3. **Status Update:**

Once all comments/actions are approved, the complaint status is updated to APPROVED.

4. **Disagreement Handling:**

If the Approval Team disagrees with a CBSL note/action reviewed by the Review Team, the complaint status is changed to RE-REVIEW and forwarded to the Review Team for reevaluation.

5. **Complaint Search:**

Approval Team members can search for complaints/informative details still under their team.

3.2.6 Functional Requirements for Dispatch Team

1. **Dispatching CBSL Notes/Actions:**

- Once the complaint status is updated to APPROVED, CBSL notes/actions under each stage must be dispatched separately.

- Dispatch can be done through the system, email, or letter.

2. **Status Update:**

After dispatching to the relevant party, the status of the complaint should be updated to DISPATCHED.

3. **Notification to Handling Team:**

After dispatching the complaint, the Handling Team should be notified to send the 2nd customer acknowledgement.

4. **Complaint Search:**

The Dispatch Team must be able to search for complaints still under their team.

5. **Email Notification:**

When the complaint is referred to the FI/CBSL Department, an email should be generated and forwarded to the assigned officer at the FI/CBSL Department, informing them of the assigned complaint.

3.2.7 Functional Requirements for Financial Institutions (FI) / CBSL Department

1. **Viewing Dispatched Complaints:**

   FI/CBSL departments can view DISPATCHED complaints with CBSL comments/actions and attachments relevant to their stage.

2. **User Layers:**

   - This team must facilitate three layers of users (i.e. Grade A, Grade B, Grade C). Each layer may have more than one user.

   - Grade A Users

     o The single point of contact for CBSL system.

     o Have permission to allocate CRNs to Grade B or C.

     o Example: Managing Director/Chief Executive Officer, Head of Compliance, Compliance Officer, Head of Complaint Management.

   - Grade B Users

     o Senior operational level officers according to FI's organizational structure.

     o Have permission to allocate CRNs to Grade C and respond to Grade A.

   - Grade C Users

     o Can respond to Grade B or A.

     o Operational level officers according to FI's organizational structure.

3. **Updating Complaint Status to READ:**

   When the FI downloads the attachment or views the complaint, the status of the complaint is updated to READ.

4. **Adding Comments and Attachments:**

   - FI can add multiple comments and attachments as a response to the complaint.

   - Upon adding the first note/attachment, the status of their stage is updated to PROCESSING.

5. **Updating Complaint Status to RESPONDED:**

   Once the response is finalized by the FI, they can change the complaint status to RESPONDED.

6. **Deadline Notification:**

- FI can see the remaining days to respond to the complaint.

- They must be notified when the deadline (DUE-DATE) is reached.

7. **Complaint Search:**

Each FI/CBSL team user can search for complaints assigned to them.

3.2.8 Functional Requirements for Scrutinize and Analysis Team

1. **Visibility of RESPONDED Complaints:**

The Scrutinize and Analysis Team can see all RESPONDED complaints.

2. **Reviewing FI Responses:**

- The team reviews the response of the FI and checks if it has been sent to the customer.

- If the matter is resolved, they mark it as resolved and answer a checklist provided by CBSL.

3. **Marking as Unresolved:**

If the matter is not resolved, the team adds suggestions in a dialog box and marks it as unresolved.

4. **Status Update:**

Once marking the complaint as resolved/ unresolved the status of the complaint will be changed to ANALYSED.

5. **Complaint Search:**

- The team can search for complaints still under their team.

- With assigned privilege, they can search for complaints in other teams as well.

3.2.9 Functional Requirements for Finalizing Team

1. **Reviewing Responses:**

The Finalizing Team reviews the response of the FI/CBSL Department and comments of the Scrutinize and Analysis Team for ANALYSED complaints.

2. **Marking Resolved Matters:**

- If the matter is resolved, the Finalizing Team accepts the response of the FI/CBSL Department.

- They change the status to PARTIALLY COMPLETED. When all stages of the complaint are completed, the status changes to COMPLETED.

3. **Forwarding Unresolved Matters:**

- If the matter is not resolved, it is forwarded to the Handling Team with recommendations.

- The status is changed to RE-EXAMINE.

- For RE-EXAMINE complaints, the process followed after the Handling Team for a normal complaint must be followed until the matter is resolved.

4. **Sending Third Acknowledgment:**

For COMPLETED complaints, the Finalizing Team sends the 3rd acknowledgment to the customer.

3.2.10   Functional Requirements for Reporting

1. **List of Complaints Received:**

Generate a report listing complaints received by the CMS during a particular period.

2. **Complaints Processing List:**

Generate a report listing complaints being processed under CBSL as of a specific date.

3. **Pending Complaints List:**

Generate a report listing complaints pending at each team as of a specific date.

4. **Dispatched Complaints List:**

Generate a report listing complaints dispatched to FIs/CBSL Departments during a particular period, with subcategorization by FI/CBSL department.

5. **Not responded Complaints List:**

Generate a report listing complaints not responded to by FIs/CBSL Departments as of a specific date, categorized by month.

6. **Not responded Complaints with Days Lapsed:**

Generate a report listing complaints not responded to by FIs/CBSL Departments, along with the number of days lapsed.

7. **Responded but Unconcluded Complaints List:**

Generate a report listing complaints responded to by FIs but not concluded by CBSL, indicating whether they are resolved or unresolved.

8. **Re-Examine Complaints List:**

Generate a report listing complaints assigned to re-examine.

9. **User Performance Reports:**

- Generate reports to assess the performance of each user, both summarized and descriptive.
- Include performance on each stage of the complaint handling process.
- Provide tabular and graphical representations for easy visualization.

The reports listed above are required as standard reports in addition to any standard reports already available in the system by default. Additionally, the system should support integration with BI tools including Tableau for enhanced data visualization and analysis capabilities.

3.2.11 Status Indications Action

1.	ACK1	First acknowledgment sent stating the submission was received.
2.	CATEGORIZED	After Categorization
3.	RE-CATEGORIZED	After Categorization changed
4.	RE-SELECT	Referred back to Selection team
5.	DRAFTED	After message drafted
6.	RE-DRAFTED	Referring to Review Team after message drafting again
7.	REVIEWED	After Message Reviewed
8.	RE-REVIEWED	Referring back to Handling Team to review the message again
9.	APPROVED	After Message Approved
10.	DISPATCHED	After Letter or E-mail dispatched
11.	ACK2	Second acknowledgment sent after referring under I, III, IV
12.	READ	FI receipt confirmation
13.	PROCESSING	FI is processing the message
14.	RESPONDED	FI submitted the message to CBSL
15.	ANALYSING	CBSL is analyzing the information submitted by FI
16.	RE-EXAMINE	Matter referred back to Handling team by Finalizing team
17.	PARTLY-COMPLETED	Finalizing in-process
18.	COMPLETED	The matter in concern is complete and closed
19.	ACK3	Third acknowledgment sent after completing

3.2.12 Process Workflow
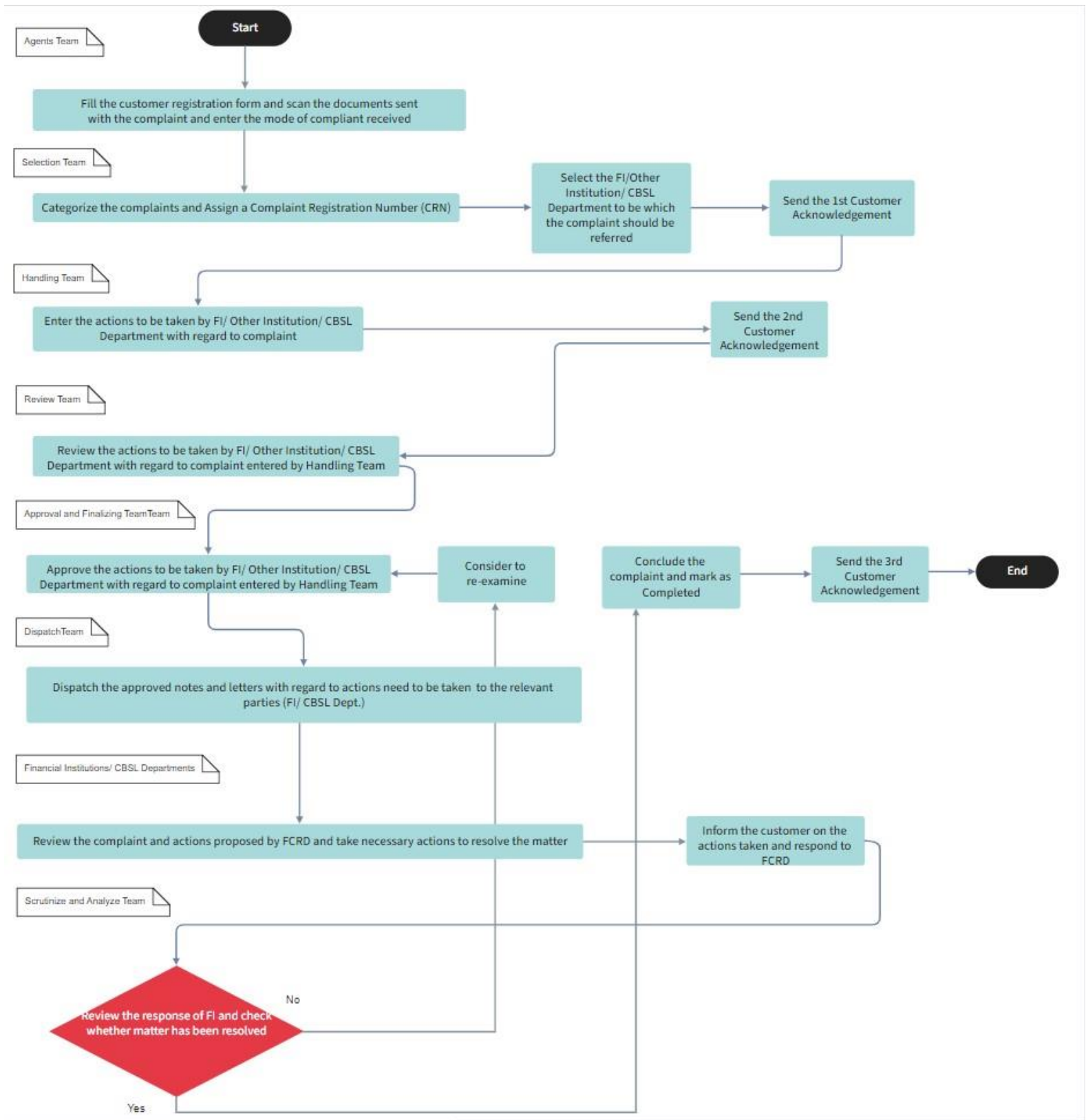
Section 4 – General Requirements

4.1 Procurement Scope

The scope of this procurement includes,

- Software specifications for CMS.

- Specification and documentation of the required hardware, communications and processing architecture to support CMS implementation.

- Development, testing and deployment of the CMS at both CBSL primary and backup sites.

- Periodic reviews/demonstrations on CBSIW and IMS.

- Data migration.

- The training of users on the operation of the CMS.

- Warranty and post warranty maintenance of the CMS.

4.2 Application Delivery Period

Under above procurement scope, the selected vendor is required to deliver the completed software solution for the CMS within 24 weeks from the awarded date.

4.3 Components of the procurement

The selected vendor is required to implement CMS and demonstrate its effectiveness during a one-month trial period. The supplier will also assume direct responsibility for all aspects of the operations for a further one-month period and will train the CBSL personnel to assume full responsibility after this period. The supplier will also ensure that technical and operational support will be available within the life of the CMS. All critical issues must be attended within two hours. The cost associated with providing support should be included in the bidders' price proposal. The suppliers should give a proposal for the annual fee with regard to the support agreement for a five-year post warranty period.

4.4 Technology Architecture (Hardware, Software, Network)

- The solution must be deployed on premise servers and consist of four environments in two different physical locations. CBSL requires each server environment to be independent from one another.

- The server configurations of each environment could be preferably based on Windows, Linux operating systems and both software and middleware must not reach End of Life Date or End of Service Life Date during the contract period.

Environnment	Location
1. CBSL Production	Head Office
2. CBSL Remote Backup (Disaster Recovery)	DR Site
3. CBSL Test/Training	Head Office

- The hardware and infrastructure configuration required for the system must be proposed by the software vendor. The configuration required to host CMS should also be proposed by the software vendor. However, procuring hardware and relevant infrastructure is not a part of this procurement and shall be **excluded** in the pricing.

- A solution for the production server at the Head Office must provide systems management tools for backup/recovery, failover configuration, and disaster recovery.

- Real-time/near real-time online replication must be present in the solution to ensure business continuity with minimal human intervention to failover with zero data loss.

- The proposed software solution for the CMS should preferably be web based using either the latest versions/frameworks of ASP.Net/ PHP/Java technology.

- The database must be based on the latest version of leading industry standard Relational Database Management Software. The relational databases should be either Microsoft SQL Server or MySQL and **will be provided** by CBSL.

- The solution must meet the confidentiality, integrity and availability aspects of data.

4.5   Integration/Interface Requirements

The solution must provide following interface requirements,

- The system must support seamless integration with the internal mail system based on Microsoft Exchange server.
- Microsoft Active Directory integration for single sign on is preferred.

4.6 Backup and Recovery

- The solution must mandatorily contain sufficient backup facilities to ensure safety, integrity, accuracy, accessibility. Further, the proposed solution must be installed in both primary and DR site with online replication.

- During a contingency event, the server/application located at the remotely located DR site must be able to act as the primary site to perform all business functions.

- The supplier should provide the procedure for carrying out the above functionality.

4.7 Project Management
Project Organization and Key Roles

The supplier should describe the project team organization for both supplier and CBSL. They should describe the roles and responsibilities of the supplier and CBSL on the overall project structure.

Project Status Tracking and Reporting

The supplier should recommend the project management process and procedures to ensure effective ongoing management review of project status and timely decisions in matters that have an impact on deliverables and schedules tailored to the needs of the CBSL. The supplier must describe the project approach and procedures to be followed.

Installation and initial operation of the delivered system

The supplier should prepare detailed installation plan for application software, database management system and other required software installation and testing. The supplier should manage the process for the first month of live production of the CMS and provide direct or indirect support for up to six years following implementation. The supplier should also describe the proposed approach and procedures to be followed.

Training of CBSL Personnel

The training associated with the CMS application must include specific training for:
- Management level users
- Business operational level users

- System administrators
- System operation and maintenance level users; and
- For system configuration, testing and custom report development.

The training is required to be conducted in English.

The supplier must submit their proposals in detail regarding the user training specifying the training modules, number of officers that can be trained and the duration of each training module. Subsequent upgrades which require additional training should follow the same procedure stated above.

Users must be sufficiently trained prior to the commencing of Operational Acceptance Testing.

Documentation

The documentation should be fit-for-purpose, and appropriate to CBSL needs. The supplier should supply a minimum set of documentation including:
- Technical documentation including functional specification.
- Support, operations and maintenance documentation.
- User and procedural manuals (It is preferred to have an online user manual integrated to the system)

The above documentation should be delivered in electronic format.

4.8 Configurability and Scalability

The solution must be highly configurable to suit the specific business, technical and application security requirements of CBSL.

The solution must be scalable to handle the growing number of complaints, users, institutions and in the event, it reaches maximum capacity, it should be possible to accommodate the growth.

The CMS should be capable of handling the following minimum number of concurrent users.

FIs: Minimum 50

FCRD: Minimum 30

BSD: Minimum 05

SNBFI: Minimum 12

DIRD: Minimum 05

PSD: Minimum 04

CMD: Minimum 04

FIU: Minimum 02

RDD: Minimum 06

Depending on the requirements, should be able to include additional users where necessary, at no cost

4.9   System Administration and Security

4.9.1   User Management and Administration

A user management and administration module to define, change, disable user accounts and roles/groups, institutions should be available in the system which will be handled by an "administrator" role of the proposed solution. Dual control over user creation, user function definition, transaction approval limit definition, system parameter configuration must be available. The system must facilitate to define various user roles/groups with access to different system functions and actions.

4.9.2   Audit Requirements

- The solution must facilitate a comprehensive audit trail for all user and administrator activities and retention of the audit trail information for a 12-year time period.
- It must not be possible to alter or tamper with audit trails.
- The system should provide read only access to the system database via Audit Command Language (ACL) software.
- The system should provide a graphical user interface for the authorized users to view audit trails.
- The system should provide read-only application user accounts for audit purposes.

4.9.3 Security

- Dual control is required over user creation/modification, user function definition, transaction approval limit definition/changes, payment related account entries, etc.
- User account shall be locked after a failed number of attempts and this shall be configurable.

4.9.4 Password Policy

- All passwords must be stored in the systems in encrypted format.
- Users shall be forced to change the password at the initial login and after the password is reset by the application administrator and users should always be required to provide both their old and new password when changing their password.
- Password shall be different from the User ID.
- Minimum password length shall be eight (8) and shall be configurable.
- Password expiry time period must be configurable and subsequent periodic password changes should be enforced.
- Passwords shall be a combination of characters (upper case, lower case), digits, special characters and symbols to avoid the possibility of guessing the passwords by unauthorized users. These character types must be enforced and shall be configurable.
- Password history must be recorded and users must not be allowed to use a specified number of passwords that are used recently. Here, the password history value must be configurable.
- A securely implemented 'Forgot password' option can be used for CBSIW with proper verification process.

4.9.5 Information Logging

- The following events must be logged:
  - Failed or rejected user authentication and access control policy violation,
  - Failed or rejected user action,
  - All data additions/changes/deletions
  - All activities performed by different user accounts including the system administrators.
  - Grant, modify, or revoke access rights, including adding a new user or group, changing user privilege levels, changing file permissions, and user password changes.

4.9.6 Implementation Arrangements

There will be a five-stage approach to the development and implementation of the CMS application.

- Development of the CMS application at the supplier end.
- The construction and successful operation of a "testbed" for the system at CBSL, to ensure that all aspects of the system are tested in a controlled environment.
- Operational acceptance testing, data migration, and operational acceptance.
- A short successful demonstration of the system in the live operating environment; and
- A formal cut-over to include all users.

CBSL, in conjunction with the supplier, will be responsible for developing a plan and schedule for the roll-out of the system, and the cut-over by all participants.

4.9.7 User Acceptance Testing

Successful completion of the contract will be assessed through formal acceptance tests performed on all aspects of the system. Payment to the supplier will be related to the successful completion of the relevant phases.

The acceptance tests shall demonstrate that the supplier has met each and every requirement specified within the contract and has delivered comprehensive reports and documentation and an effective operational system.

4.9.8 Acceptance test design and execution

The contents of acceptance testing will be proposed and implemented by the supplier which will then be approved by CBSL. CBSL will make relevant staff available to the supplier to participate actively in the acceptance test execution.

4.9.9 Test-bed Operations.

Test-bed shall be prepared in order to carry out the existing and proposed operational requirements as specified in the functional and technical requirements and such other mutually agreed requirements.

The tests must be performed within the test-bed facilities installed within CBSL primary site and at the DR site.

4.9.10 Evaluation of acceptance test results

The designated officer of CBSL is responsible for the final rating of all acceptance test results. At the end of each test phase the designated officer will provide the supplier either a formal letter or acceptance if the supplier has met its contractual obligation, or a statement of which obligations have not been met and must be met before acceptance can be granted.

4.9.11 Fault Correction

The supplier will be responsible for correcting all faults found during the acceptance test.

4.9.12 System Handover

System handover shall occur upon one month of successful operation of the system without encountering any major problems (commencing from the date of system cutover) by the supplier in close collaboration with CBSL. The successful system handover should be certified by the designated officer of CBSL.

4.10 Change Control and Configuration Management

- Software may evolve over the life of CMS. The introduction of new software releases and upgrades should follow a rigorous procedure aimed at avoiding security exposures and ensuring processing integrity and service reliability.
- Software changes must be certified, controlled and scheduled with CBSL approval.
- All patches and service packs must be validated and tested before promotion to production. Automated updates must not be used as some updates may cause applications to fail.
- Industry accepted change management procedures should be adhered to facilitate software patch management for any fixes and new business requirements.

4.11 Maintenance Support Requirements

4.11.1 Maintenance Service Centre

After the system cut-over point, the supplier should establish a single point of contact for all problems related to software components of the system. The contact point should be available during business hours which is from 8:00AM to 5:00PM. During the implementation and software maintenance period support engineers must be available on-call basis during business hours.

4.11.2   Software Maintenance

Software maintenance warranty should be provided by the supplier free of charge from the date of Operational Acceptance and for a period of one year. CBSL will inform the supplier of any software faults according to agreed procedures. The supplier should be

responsible for correcting the reported faults without any cost to the CBSL. After the warranty period, the supplier should provide post warranty maintenance for 5 years, under terms of an appropriate software maintenance contract.

4.11.3   Operational and Technical Support

Operational support should be provided at both information processing sites during the project implementation and for direct and indirect software support for up to 6 years following completion of the system handing over and training.

Reported problems should be clearly identified, prioritized, logged, diagnosed and tracked until providing a successful solution within an acceptable time period causing minimal disruption to business operations. All minor change requests shall be accommodated free of charge.

4.11.4   Source Code

The source code of the systems shall be provided to CBSL in a secured manner and shall be available to CBSL in the event that the supplier is unable to continue supporting the CMS.

The source code shall be regularly updated with the latest versions installed at CBSL.

4.12 Warranty

4.12.1   Software Warranty

Software Warranty must be for one year starting from the date of the Operational Acceptance.

4.13 Special Requirements

4.13.1   Development Methodology

The supplier must describe the systems development methodology to be used in the implementation of the proposed application software solution. This will include project plan, confirmation of user requirements, design and development, testing, training and troubleshooting.

4.13.2   Response Time

Solution should provide sufficiently fast response time to ensure efficient processing times and maximum throughput.

4.13.3   Interoperability

Ability to implement on standard hardware and software platforms (ie: standard operating systems and hardware configurations). The hardware and system software required to

facilitate the operation of the application software supplied by the vendor must be described in detail in the bids submitted by the bidder.

4.13.4   Data Extraction

The solution should facilitate extraction of data of all static data, transaction data, audit/security logs, etc.

4.13.5   Input Validation and Error Handling

Input validations must be performed on all user actions. When errors occur, the system should respond with a specifically designed result/message that is helpful to the user without revealing unnecessary internal details.

4.13.6   Licenses

CBSL requires all application software, and middleware installed at all sites to be to be appropriately licensed and renewed when necessary by the supplier.

4.13.7   Data Migration

The supplier must migrate static data from the existing manually maintained spreadsheets to the system.

Section 5 – Technical Responsiveness Checklist

The following Checklist is provided to assist the bidders to organize and consistently present their Technical Proposal for implementation of CMS of the proposed automated solution. The bidder should critically assess their ability to meet each requirement in the list and respond according to the instructions given below by inserting a √ mark under the appropriate column.

However, if the above response is not sufficient to confirm technical responsiveness to the Technical Requirements, then the bidder **MUST** describe their Technical Capability to support the requirement in the space provided under each section. Comments/ Details/Exceptions/ Workarounds are to be included in the relevant space provided at the bottom of the relevant Technical Requirement (TR) No. In addition, the bidder **MUST** provide cross references to the relevant supporting information, if any, included in the proposal. The cross reference should identify the relevant document(s), page numbers(s), and paragraph(s).

The Technical Responsiveness Check List does not supersede the rest of the Technical Requirements (or any other part of the proposal). If a requirement is not mentioned in the Check List that does not relieve the bidder from the responsibility of including supporting evidence of compliance with that other requirement in its Technical Proposal.

Instructions:
- **Comply (C)** - The requirement is met by the offered approach/product exactly as stated.
- **Alternate Comply (AC)** - The requirement as specified is not provided, but an alternative solution is proposed to satisfy the requirement.

Functional Requirements:

Tech. Require. No:	Technical Requirement:	C	AC
FR-01	**Complaint Entry:** The CMS must enable complainants to submit complaints along with relevant evidence. Additionally, CBSL should have the capability to lodge complaints on behalf of others.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-02	**Multilingual Support:** Complainants should be able to submit complaints in English, Sinhala, or Tamil. Responders should also have the ability to provide responses in any of these languages.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-03	**User Roles:** The CMS must support nine distinct user roles involved in the complaint handling process.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-04	**Flexible User Assignment:** The CMS should allow users to be assigned to multiple skill levels, providing flexibility in managing user roles and responsibilities.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-05	**Complaint Filtering:** Each user should have the ability to search and filter complaints assigned to them based on their assigned user role. The system must include a complaint search/display details panel tailored to each user's skill set.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

FR-06	**Customer Details Search:** The system should include a search panel for accessing customer details, accessible to all users.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

FR-07	**Progress Tracking:** The progress of each complaint should be clearly marked upon completion of each stage, for an example; indicating completion with a green checkmark (√) or displaying an incomplete stage with a red-cross mark (×).		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

FR-08	**Team Activity Monitoring:** Each user should be able to view the number of activities completed by their team.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

FR-09	**Notification Icon:** A separate notification icon must be displayed for each user level, indicating the number of pending items in each stage.		

Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-10	**New Complaint Notifications:** When a new complaint is assigned to a particular user role, a notification icon must be displayed on top. Clicking on it should direct the user to the detailed view of the complaint.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-11	**Supervisor Role:** Each user role should have its own supervisors responsible for monitoring task progress. Supervisors should be able to generate separate reports for each user under their supervision.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-12	**Complaint Re-Examination:** If a complaint in the COMPLETED stage needs to be appealed, a note with "RE-EXAMINE" should be added, and the complaint should be forwarded to the Handling team.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-13	**Work-in-Progress:** Actions/comments under any tier should be saved with the status to ensure ongoing work is accurately tracked.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-14	**System Administrator Role:** A user with the system administrator role should be able to manage users, user roles, and responding institutions. This role should be able to add, edit, or delete users, assign users to different roles, and manage user permissions.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-15	**Reporting and Analytics:** The system should facilitate the generation of standard reports required by CBSL. Additionally, integration with BI tools like Tableau should be supported for analytical purposes.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-16	**Preferred Communication Mode:** Agents must record the customer's preferred mode of communication (SMS, email, letter).		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-17	**Status Update:** Upon completion of customer registration, the status of the complaint should be changed to RECEIVED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-18	**CRN Assignment:** A unique CRN should be assigned for each complaint		
Bidder's technical reasons to support compliance:			

Bidder's cross references to supporting information in Technical Bid:			
FR-19	**Complaint Categorization:** The selection team should be able to categorize complaints based on given categories.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-20	**Status Update:** After categorization, the status of the complaint changes to CATEGORIZED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-21	**Action Assignment:** The selection team should be able to assign given actions to CATEGORIZED complaints.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-22	**Acknowledgement and Status Update:** The 1st acknowledgement generated by CMS is sent to the customer, and the status of the complaint changes to ACK1.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-23	**Supervisor Privilege:**		

	Supervisors have the privilege to modify entries made by Selection Team members.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-24	**Visibility of Entries:** Selection Team members can view all ACK1 entries and RE-SELECT entries upon logging into the system.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-25	**Handling of RE-SELECT Complaints:** For RE-SELECT complaints, the Selection Team adjusts the categorization based on suggestions from the Handling Team. The status then changes to RE-SELECTED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-26	**CBSL Remarks Entry:** The Handling Team enters CBSL remarks for the following stages added by the Selection Team on ACK1/RE-SELECTED complaints.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-27	**Attachment Management:** •The Handling Team can view attachments uploaded by the Agents Team. •Changes for attachments to be forwarded to relevant parties must be clearly identified, and necessary adjustments made.		

	•A confirmation checkbox should verify the availability of required attachments.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-28	**Duration Allocation:** •CMS automatically allocates a predefined duration for handling complaints by relevant parties. •Handling Team users can define the duration (DUE-DATE) allocated to attend the complaint, amendable by users in Review and Approval roles. •DUE-DATE is generated based on the allocated duration and dispatch date. •When viewed by the FI, the DUE-DATE for responding to the complaint is displayed, with notifications sent on pending responses.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-29	**Status Update:** Once actions for all stages are entered, the complaint status changes to DRAFTED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-30	**RE-SELECT Option:** •Handling Team can update the status to RE-SELECT, displaying it in the Selection Team for categorization alterations. •When selecting RE-SELECT, the Handling Team inserts a comment for the Selection Team and selects changes to be made from a dropdown list.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-31	**Visibility of Entries:** The handling Team can see all ACK1, RE-SELECTED, and RE-DRAFT complaints.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-32	**Complaint Search:** Handling Team can search for complaints still under their team. With assigned privilege, they can search for complaints in other teams as well.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-33	**Second Acknowledgment:** •Upon dispatch of processed complaints to the FI/CBSL Department by the Dispatch Team, Handling Team is notified to send the 2nd acknowledgment to the customer. •After sending the 2nd acknowledgment, the status of the complaint is updated to ACK2.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-34	**Actions/Comments Review:** •The Review Team reviews actions/comments entered by the Handling Team under each stage and makes necessary amendments. •When making changes, a note is added by the Review Team. •Any changes made by the Review Team are static and transferred to the next tier for editing in a new dialog box.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-35	**Attachment Management:** Review Team members can upload attachments or delete existing attachments as necessary.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-36	**Stage Review:** •Actions/comments under each stage are reviewed separately. •Once reviewed, each stage is displayed with a green checkmark, indicating completion, while pending actions/comments for review are displayed with a red cross.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-37	**Status Update:** Once the actions/ comments under all stages are reviewed, the status of the complaint will be changed to REVIEWED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-38	**Disagreement Handling:** If the Review Team disagrees with a CBSL comment/action added by the Handling Team, the status is changed to RE-DRAFT, and the complaint is redirected to the Handling Team for further action.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-39	**Complaint Search:**		

	Review Team members can search for complaints still under their team.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-40	**Visibility of Entries:** Review Team members can see all DRAFTED, RE-DRAFTED, and RE-REVIEW entries.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-41	**Visibility of Entries:** Approval Team members can see all REVIEWED entries.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-42	**Approval of CBSL Notes/Actions:** •The Approval Team must approve CBSL notes/actions entered by the Handling Team and reviewed by the Review Team separately. •There must be a separate note field for entering a note in each stage. •Any changes made by the Approval Team are final and transferred to the next tier for dispatch.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-43	**Status Update:** Once all comments/actions are approved, the complaint status is updated to APPROVED.		
Bidder's technical reasons to support compliance:			

Bidder's cross references to supporting information in Technical Bid:			
FR-44	**Disagreement Handling:** If the Approval Team disagrees with a CBSL note/action reviewed by the Review Team, the complaint status is changed to RE-REVIEW and forwarded to the Review Team for reevaluation.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-45	**Complaint Search:** Approval Team members can search for complaints/informative details still under their team.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-46	**Dispatching CBSL Notes/Actions:** •Once the complaint status is updated to APPROVED, CBSL notes/actions under each stage must be dispatched separately. •Dispatch can be done through the system, email, or letter.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-47	**Status Update:** After dispatching to the relevant party, the status of the complaint should be updated to DISPATCHED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-48	**Notification to Handling Team:** After dispatching the complaint, the Handling Team should be notified to send the 2nd customer acknowledgement.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-49	**Complaint Search:** The Dispatch Team must be able to search for complaints still under their team.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-50	**Email Notification:** When the complaint is referred to the FI/CBSL Department, an email should be generated and forwarded to the assigned officer at the FI/CBSL Department, informing them of the assigned complaint.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-51	**Viewing Dispatched Complaints:** FI/CBSL departments can view DISPATCHED complaints with CBSL comments/actions and attachments relevant to their stage.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-52	**User Layers:**		

	This team must facilitate three layers of users (i.e. Grade A, Grade B, Grade C). Each layer may have more than one user and each user level should be able to perform actions specified under the detailed functional specification.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-53	**Updating Complaint Status to READ:** When the FI downloads the attachment or views the complaint, the status of the complaint is updated to READ.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-54	**Adding Comments and Attachments:** •FI can add multiple comments and attachments as a response to the complaint. •Upon adding the first note/attachment, the status of their stage is updated to PROCESSING.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-55	**Updating Complaint Status to RESPONDED:** Once the response is finalized by the FI, they can change the complaint status to RESPONDED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-56	**Deadline Notification:** • FI can see the remaining days to respond to the complaint. • They must be notified when the deadline (DUE-DATE) is reached.		

Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-57	**Complaint Search:** Each FI/CBSL team user can search for complaints assigned to them.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-58	**Visibility of RESPONDED Complaints:** The Scrutinize and Analysis Team can see all RESPONDED complaints.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-59	**Reviewing FI Responses:** •The team reviews the response of the FI and checks if it has been sent to the customer. •If the matter is resolved, they mark it as resolved and answer a checklist provided by CBSL.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-60	**Marking as Unresolved:** If the matter is not resolved, the team adds suggestions in a dialog box and marks it as unresolved.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-61	**Status Update:** Once marking the complaint as resolved/ unresolved the status of the complaint will be changed to ANALYSED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-62	**Complaint Search:** •The team can search for complaints still under their team. •With assigned privilege, they can search for complaints in other teams as well.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-63	**Reviewing Responses:** The Finalizing Team reviews the response of the FI/CBSL Department and comments of the Scrutinize and Analysis Team for ANALYSED complaints.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-64	**Marking Resolved Matters:** •If the matter is resolved, the Finalizing Team accepts the response of the FI/CBSL Department. •They change the status to PARTIALLY COMPLETED. When all stages of the complaint are completed, the status changes to COMPLETED.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-65	**Forwarding Unresolved Matters:**		

	•If the matter is not resolved, it is forwarded to the Handling Team with recommendations. •The status is changed to RE-EXAMINE. •For RE-EXAMINE complaints, the process followed after the Handling Team for a normal complaint must be followed until the matter is resolved.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-66	**Sending Third Acknowledgment:** For COMPLETED complaints, the Finalizing Team sends the 3rd acknowledgment to the customer.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-67	**List of Complaints Received:** Generate a report listing complaints received by the CMS during a particular period.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-68	**Complaints Processing List:** Generate a report listing complaints being processed under CBSL as of a specific date.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-69	**Pending Complaints List:** Generate a report listing complaints pending at each team as of a specific date.		

Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-70	**Dispatched Complaints List:** Generate a report listing complaints dispatched to FIs/CBSL Departments during a particular period, with subcategorization by FI/CBSL department.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-71	**Not responded Complaints List:** Generate a report listing complaints not responded to by FIs/CBSL Departments as of a specific date, categorized by month.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-72	**Not responded Complaints with Days Lapsed:** Generate a report listing complaints not responded to by FIs/CBSL Departments, along with the number of days lapsed.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-73	**Responded but Unconcluded Complaints List:** Generate a report listing complaints responded to by FIs but not concluded by CBSL, indicating whether they are resolved or unresolved.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

FR-74	**Re-Examine Complaints List:** Generate a report listing complaints assigned to re-examine.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
FR-75	**User Performance Reports:** •Generate reports to assess the performance of each user, both summarized and descriptive. •Include performance on each stage of the complaint handling process. •Provide tabular and graphical representations for easy visualization.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

Technical Specifications and related Requirements:

Tech. Require. No:	Technical Requirement:	*C*	AC
Technology Architecture			
TR-01	The solution should be deployed on premise servers.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-02	The solution architecture is provided.		
Bidder's technical reasons to support compliance:			

Bidder's cross references to supporting information in Technical Bid:			
TR-03	Explain each of the following environments required by the CBSL in terms of operating systems and hardware, software, middleware, bandwidth, and other third-party software requirements. **Environment** **Location** 1. CBSL Production S1 2. CBSL Remote Backup (Disaster Recovery) S2 3. CBSL Test/Training S1		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-04	The supplier shall propose the hardware and infrastructure configuration required for the CMS system		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-05	The supplier shall propose the configuration required to host CMS		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-06	The proposed solution shall support real-time/near real-time online replication to ensure business continuity		
Bidder's technical reasons to support compliance:			

Bidder's cross references to supporting information in Technical Bid:			
TR-07	The proposed solution shall support to failover to the disaster recovery with minimal human intervention		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-08	The proposed solution for CMS is web-based using either ASP.Net/PHP/Java technology		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-09	The database is based on Relational Database Management Software, either MS SQL server or MySQL		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-10	The system's database support Structured Query Language (SQL) to retrieve data		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-11	Provide details of the Database Management Software used by the system including the product, edition and version number.		
Bidder's technical reasons to support compliance:			

Bidder's cross references to supporting information in Technical Bid:			
Integration/Interface Requirements			
TR-12	The system shall support integration with internal mail system based on Microsoft Exchange server.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-13	The system shall support Microsoft Active Directory integration for single sign on		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
Backup and Recovery			
TR-14	The server/application located at the remotely located DR site shall be able to act as the primary site to perform all business functions, during a contingency event.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-15	Is the procedure for carrying out the failover functionality provided?		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

Configurability and Scalability			
TR-16	The proposed solution is configurable to suit the specific business, technical and application security requirements by CBSL.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-17	Explain the scalability of the solution to handle the growing number of programmes and participants.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-18	In the event the solution reaches maximum capacity, does the solution have the potential to be enlarged to accommodate the growth? Explain.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
System Administration and Security			
TR-19	The proposed system shall have a user management and administration module to define, change, disable user accounts, roles (groups), and transaction limits.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

TR-20	The proposed system shall provide dual control for user creation, user function definition, system parameter configuration.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-21	The system shall facilitate to define various user roles/groups with access to different system functions and actions.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-22	Does the proposed system maintain a comprehensive audit trail? Provide details.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-23	Does the retention of all transactions and audit trails adhere to the data retention period of twelve (12) years? Provide details.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-24	Does the system provide a graphical user interface for the authorized users to view audit trails?		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

TR-25	The Audit Trail shall be tamper proof.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-26	The proposed system generates audit trails that will relate any system activity to a user.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-27	The system shall provide read only access to the system database via Audit Command Language (ACL) software		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-28	The system shall provide read-only application user accounts for audit purposes.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-29	The proposed system shall lock user accounts after a failed number of attempts and this shall be configurable		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

TR-30	Does the system use strong encryption to protect confidential information in transit? Provide details.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-31	Is a formal software development process followed, that includes application security requirements? Provide details.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-32	Are security reviews performed on the application source code? Provide details.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-33	Have vulnerability tests / penetration tests performed on the proposed solution? Provide details.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-34	All passwords shall be stored in the systems in encrypted format		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-35	The system shall force the user to change the password at the initial login or after the password is reset by the administrator		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-36	The system shall allow configuring a minimum length for password.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-37	The system shall force the passwords to be different from the User ID.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-38	The system shall allow to configure the password expiry period and force the user to change the password once it is expired		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-39	The system shall allow to configure password complexity by combining lower case, upper case letters, numeric and special characters		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

TR-40	The system shall allow to maintain the password history and prevent use of recently used passwords, the number of which can be configured		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-41	The system shall provide a "change password" function where users will be required to provide both their old and new password when changing their password		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-42	The system allows password reset to be performed by the Administrator role where the new password will be for one-time usage and is sent to the user's e-mail address.		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

TR-43	Does the system log following events? o Failed or rejected user authentication and access control policy violation, o Failed or rejected user action, o All data additions/changes/deletions o All activities performed by high level privileges accounts (system administrators, system operators) o Grant, modify, or revoke access rights, including adding a new user or group, changing user privilege levels, changing file permissions, and user password changes		

Bidder's technical reasons to support compliance:

Bidder's cross references to supporting information in Technical Bid:

Change Control and Configuration Management			
TR-44	Propose industry accepted change control and configuration management procedures for implementation and operation		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
Maintenance Support			
TR-45	After the system cut-over, establish a single point of contact for all problems related to software components of the system		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-46	During the implementation and software maintenance period support engineers shall be available on-call basis during business hours		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-47	Appropriate maintenance must be provided by the supplier for software during the warranty period, and afterwards, under terms of an appropriate software maintenance contract that is agreed upon and signed with the CBSL		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

TR-48	Reported problems should be clearly identified, prioritized, logged, diagnosed and tracked until providing a successful solution within an acceptable time period causing minimal disruption to business operations		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-49	The source code of the systems shall be provided to CBSL in a secured manner and shall be available to CBSL in the event that the supplier is unable to continue supporting the CMS.		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
Documentation			
TR-50	The following documentation will be provided ○ Product documentation describing the different system components that address the stated business and technical requirements ○ Engineering and technical documentation including functional specification, technical documentation related to backup, replication and failover ○ User documentation. (It is preferred to have an inbuilt online user manual integrated to the system with search facility)		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-51	All modules of the system consist of an integrated help facility to ensure smooth operation and user friendliness of the system		
Bidder's technical reasons to support compliance:			

Bidder's cross references to supporting information in Technical Bid:			
TR-52	The documentation shall be delivered in electronic format		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
Special Requirements			
TR-53	Systems development methodology to be used shall be described including project plan, confirmation of user requirements, design and development, testing, training and troubleshooting		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-54	The solution shall provide fast response time to ensure efficient processing times		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-55	The solution provides proper Input Validation and Error Handling		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
TR-56	All application software, and middleware installed at all sites will be appropriately licensed and renewed when necessary by the supplier		

Bidder's technical reasons to support compliance:		
Bidder's cross references to supporting information in Technical Bid:		
TR-57	Data extraction facility is provided	
Bidder's technical reasons to support compliance:		
Bidder's cross references to supporting information in Technical Bid:		
TR-58	Data migration from existing manually maintained spreadsheets will be performed	
Bidder's technical reasons to support compliance:		
Bidder's cross references to supporting information in Technical Bid:		

Experience of the Bidder:

Tech. Require. No:	Technical Requirement:	C	AC
EB-01	Experience related to the assignment is provided		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
EB-02	Details of similar assignments completed by the bidder are provided		
Bidder's technical reasons to support compliance:			

	Bidder's cross references to supporting information in Technical Bid:		
EB-03	Details of the organization structure are provided		
	Bidder's technical reasons to support compliance:		
	Bidder's cross references to supporting information in Technical Bid:		
EB-04	Contact details of third party references are provided		
	Bidder's technical reasons to support compliance:		
	Bidder's cross references to supporting information in Technical Bid:		

Proposed Work Plan:

Tech. Require. No:	Technical Requirement:	C	AC
WP-01	Details of the proposed work plan including the preliminary project plan are provided		
	Bidder's technical reasons to support compliance:		
	Bidder's cross references to supporting information in Technical Bid:		

Key Staff Skills and Experience:

Tech. Require. No:	Technical Requirement:	C	AC
SE-01	Qualifications of the project team are provided		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			
SE-02	Details relating to experiences of the project team in similar environments are provided		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

Training Requirement:

Tech. Require. No:	Technical Requirement:	C	AC
TN-01	Training plan for the transfer of knowledge to the users is provided		
Bidder's technical reasons to support compliance:			
Bidder's cross references to supporting information in Technical Bid:			

PRICE SCHEDULE

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

All prices should be quoted in Sri Lanka Rupees (LKR)

Table 1- Price Schedule for Software Development, Installation, Configuration, Testing, Commissioning and Training of a Complaint Management System for CBSL

Item Description	Price excluding Taxes (Rs.) **(a)**	VAT (Rs.) **(b)**	Other Taxes (Rs.) **(c)**	Total Price including Taxes (Rs.) **(a + b + c)** **(d)**
CMS Development				
Installation, configuration and testing at CBSL Primary and DRS				
Commissioning and Training				
Total:				

Total price including taxes (in words)

_____

_____

Note: The price quoted should be based on the prevailing Government Levies.

VAT Registration No (If any) – _____

SSCL Registration No (If any) – _____

Table 2- Warranty and Post Warranty Annual Maintenance Fee

Description	1st Year (Rs.)	2nd Year (Rs.)	3rd Year (Rs.)	4th Year (Rs.)	5th Year (Rs.)	6th Year (Rs.)
Software Maintenance Fee for CMS excluding Tax	Free of charge (covered under warranty period)					
Software Maintenance Fee for CMS including Tax						

_____   _____   _____
Authorized Officer's Name   **Designation**   **Signature**

_____   _____
Company Seal   **Date**

Annex IV

BID GUARANTEE

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

Beneficiary: The Central Bank of Sri Lanka
                  No: 30, Janadhipathi Mawatha
                  Colombo 01.

WHEREAS <Name of the Service Provider/Joint Venture> of <Address of the Service Provider > (hereinafter referred to as "the Bidder") has tendered for the <Name of Procurement> for the Central Bank of Sri Lanka (hereinafter referred to as "the Purchaser") of No. 30, Janadhipathi Mawatha, Colombo 01.

AND WHEREAS in terms of the bid invitation, the bidder is required to furnish to the Purchaser a Bank Draft/Bank Guarantee obtained from a licensed commercial bank operating in Sri Lanka in a sum of <Amount in Rs............ > (In word) as security for the due observance by the bidder of the Conditions of the Procurement.

NOW THIS WRITING WITNESSETH that we <Name of the Bank which issued the Bid Guarantee> having our registered place of business at <Address of the Bank that issue the Bid Guarantee> (hereinafter referred to as "the Bank") do hereby guarantee, undertake, bind and oblige ourselves that in the event of the bidder,

    (a) withdrawing the bid at any time after the opening of Bids; or
    (b) failing to execute an Agreement as stipulated in the Conditions of Procurement, and/or to furnish security for the due performance of the contract as required under the Conditions of Procurement in the event the procurement is awarded to the bidder,

the Bank shall and will pay to the said Purchaser a sum not exceeding the total of < Amount of the Guarantee in words> (In numerically) on demand and without cavil or argument and without the Purchaser having to prove or show grounds or reason for the demand for the sums specified therein. We hereby waive the necessity of the Purchaser demanding the said sum from the bidder before presenting us with the said demand.

WE FURTHER AGREE that no change or addition to or other modification which may be agreed between the Purchaser and the Bidder shall in any way release us from the liability under this Guarantee and we hereby waive notice of any such change addition or modification.

THIS GUARANTEE is valid and in full effect until 10 October 2024.

Seal of the Guarantor
and authorized signature

Date: ....

PERFORMANCE GUARANTEE

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

Beneficiary: The Central Bank of Sri Lanka
                 No: 30, Janadhipathi Mawatha
                 Colombo 01.

WHEREAS <Name of the Service provider> having its registered office at <Address of the Service provider> (hereinafter referred to as "the service provider") has been awarded a contract for <Name of Procurement> to the Central Bank of Sri Lanka by the letter of award dated <DD/MM/YYYY > and has entered into a contract with the said Central Bank of Sri Lanka for such purpose.

AND WHEREAS it is a condition of the said contract that a Bank Guarantee from a licensed commercial bank acceptable to the said Central Bank of Sri Lanka be furnished as a security for the due performance in accordance with the conditions of Bids.

AND WHEREAS we have agreed to furnish such a Bank Guarantee.

NOW THEREFORE we <Name of the Bank which issue the Bank Guarantee> having our registered office at <Address of the Bank that issue the Bank Guarantee> hereby affirm confirm and undertake that we are responsible to the Central Bank of Sri Lanka under this Guarantee up to a total of Sri Lankan Rupees <Amount of the Guarantee in words> (In figures) and undertake to pay you upon your first written demand signed by the <Secretary/ Relevant Department Head/ Authorized officer> of the Central Bank and without cavil or argument, any sum or sums within the limit of Sri Lanka Rupees <Amount of the Guarantee in words> (In numerically) as aforesaid without you having to prove or show grounds or reasons for your demand for the sum specified therein.

We hereby waive the necessity of your demanding the said sum from the service provider before presenting us with the demand.

We further agree that no change or addition or other modification of the terms of the contract or of the works to be performed there under or of the Bid Documents which may be made between you and the service provider shall in any way release us from any liability under this guarantee and we hereby waive notice of such change addition or modification.

This Guarantee is valid and in full effect for 240 calendar days from the date of letter of award/acceptance.

Authorized Signature and seal of the Guarantor:

Date:

PROJECT TEAM DETAILS

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

Team Member	Number of members planning to assign (if applicable)	Experience (No. of Years)	CV Attached (Yes/No)
Project Manager			
Team Lead			
Software Engineers / Developers			
Quality Assurance Personnel			
Any other			

Note:
- The above table should only be used as guide.
- The bidder shall furnish the composition of the project team including their names, company designations and the roles they play in the project along with details of the academic, professional qualifications and experience (Curriculum vitae).

PROCUREMENT OF A COMPLAINT MANAGEMENT SYSTEM
FOR THE CENTRAL BANK OF SRI LANKA

INSTRUCTIONS FOR SUBMITTING THE BID DOCUMENTS VIA EMAIL

1. The subject of the email should be **Procurement of a Complaint Management System for CBSL**
2. The maximum file size should be less than 10MB. If the bid documents exceed this size, separate emails could be sent with the relevant name of the procurement followed by the version of the email (e.g.: Procurement of a Complaint Management System 1 of 2, Procurement of a Complaint Management System 2 of 2)
3. All PDFs should be password-protected, and the password shall be sent only after the closing of the bid and within 30 minutes of bid closure.
4. The bidders shall provide the contact details (email) of their authorized representatives in the body of the email in order for the CBSL to send the invitation to the virtual bid opening meeting.
5. The original copy of the bid guarantee shall be submitted to the Central Bank to be received by the Secretary/Department Head within 7 days from the closing date of the procurement.
6. Any concerns/issues regarding the submission of the documents shall be informed before the deadline of the submission of the documents as late bids will not be accepted.