

REQUEST FOR INFORMATION (RFI)

**FOR IT SOLUTION TO SUPPORT REGULATORY COMPLIANCE MANAGEMENT IN SID
BANKA, D.D.**

CONTENTS

1	INTRODUCTION	4
1.1.	PRESENTATION	4
1.2.	PURPOSE OF RFI.....	4
1.3.	SUBJECT OF RFI	4
2.	TECHNICAL SPECIFICATIONS	4
3.	TERMS OF RFI PROCEDURE	5
3.1.	TERMS OF PARTICIPATION.....	5
3.2.	CONFIDENTIALITY.....	5
3.3.	SUBCONTRACTORS AND PARTNERSHIP CONSORTIA.....	5
4.	DESCRIPTION OF RFI PROCEDURE	6
4.1	THE PHASES AND THE MAIN DEADLINES IN RFI PROCEDURE	6
4.2	CRITERIA	6
5	RFI RULES AND COMMUNICATION	7
5.1	INFORMATIVE BID STRUCTURE.....	7
5.2	COMMUNICATION POLICY	7
5.3	SUBMISSION OF BIDS.....	7
6	THE INFORMATIVE BID – RELEVANT INFORMATION REQUIRED	7
6.1.	TECHNICAL OFFER	7
A)	PRESENTATION: PROPOSED SOLUTION	7
B)	SUPPORT OF FUNCTIONALITIES REQUIRED	7
C)	SAAS AND/OR ON-PREMISE SOLUTION	8
D)	DEMO VERSIONS / ON-LINE TEST OF PROPOSED SOLUTION(S).....	8
E)	REFERENCES	8
F)	INFORMATION PROTECTION	8
G)	IT SOLUTION IMPLEMENTATION.....	8
H)	INFRASTRUCTURE PLAN	8
I)	MAINTENANCE AND SUPPORT.....	9
J)	UPGRADE (VERSIONING) POLICY	9
K)	CHANGE REQUEST PROCEDURE.....	9
L)	PERSONAL DATA PROCESSING.....	9
6.2	COMMERCIAL TERMS	9
A)	COMPANY PRICING POLICY	10
B)	COMMERCIAL OFFER FOR SID BANKA.....	10
C)	ANY OTHER ADDITIONAL COST / INVESTMENT	10

D)	ADDITIONAL PROPOSALS	10
E)	RECOMMENDATIONS AND/OR INCONSISTENCIES WITH THE RFI.....	10
F)	BIDDER PROFILE.....	10

1 INTRODUCTION

We are pleased to invite you to participate in the Request for Information (hereinafter: **RFI**) procedure.

The purpose of this request is to obtain informative bids for IT solutions that could support, automate and upgrade the current processes in Compliance in SID banka, d.d. (hereinafter: **SID banka**).

This RFI is based on Public Procurement Act (ZJN-3)¹, article 64, which defines that an economic operator (SID banka) may conduct preliminary market consultations before launching a procurement procedures with a view to preparing the procurement and informing economic operators of their procurement plans and requirements. For this purpose, SID banka may conduct a technical dialogue to seek or accept advice which may be used in the preparation of the procurement documents, provided that such advice or recommendations do not have the effect of preventing or restricting competition and do not result in a violation of the principles of equal treatment of tenderers or the transparency of public procurement.

1.1. Presentation

SID Bank (SID – Slovenska izvozna in razvojna banka, d.d., Ljubljana) is a promotional development and export bank 100% owned by the Republic of Slovenia. With our banking and insurance services we promote sustainable development and improve the competitiveness of the Slovene economy.

The operations of SID Bank are based on a clear strategy and business model deriving from long-term development documents of the European Union and the Republic of Slovenia. The Republic of Slovenia provides long-term stable operations for SID Bank to carry out its transactions and activities in order to pursue the long-term development orientations of the Republic of Slovenia and the European Union.

The mission of SID Bank: We develop, provide and promote long-term financial services designed to supplement financial markets for the higher competitiveness of economy, creating new jobs and sustainable development of Slovenia.

1.2. Purpose of RFI

The purpose of RFI is to review the market for IT solutions that could support, automate and upgrade the current processes in Compliance in SID banka. Based on informative bids received, SID banka will prepare procurement documents and apply public procurement procedure in the manner and under the conditions laid down in ZJN-3.

1.3. Subject of RFI

The subject of RFI is a **Compliance management tool**, in particular a regulatory compliance tool for identification, management and monitoring of regulatory changes. Further, SID banka might also be interested in a tool that will bring added value in reporting, monitoring and analytics area of a compliance function. Localization due to local legislation requirements must be incorporated in solution.

As such, SID banka is interested to obtain informative bids that would offer:

- A solution based on SID banka's IT infrastructure (on-premise); and/or
- A cloud (SaaS) based solution.

2. TECHNICAL SPECIFICATIONS

SID banka is scoping the market for an IT solution that would support and meet the technical and functional requirements as defined by SID banka. A questionnaire on technical and functional requirements will be provided to informative bidders on demand, after confirming the receipt of RFI and sending SID banka a request for a technical and functional specification (questionnaire).

¹ Official Gazette no. 91/15 and 14/18

3. TERMS OF RFI PROCEDURE

3.1. Terms of participation

By confirming their participation and submitting an informative bid, informative bidders agree with the following terms:

- The informative bidder is aware of and accepts the terms and conditions specified for the RFI procedure.
- The informative bidder waives all rights of appeal against the RFI procedure applied by SID banka in any way.
- The informative bidder waives any claims against SID banka due to any errors or irregularities in this RFI.

Informative bidders represent that they have the necessary authorisations for all information and solutions originating from third parties included in their bid.

The completion of the procedure does not mean that SID banka has entered into a contractual or any other kind of relationship with any informative bidder.

SID banka has to reject any bid presented during this RFI process or later during the public procurement process should the informative bidder make or intends to make a transfer to its account, or offers or provides any undue benefit with the aim of:

- being awarded the contract or
- concluding the business under more favourable terms and conditions or
- omitting due supervision over the implementation of contractual obligations or
- any other actions or omissions through which a body of SID banka or SID banka suffers damage or which enable a representative of SID banka, a person authorised by a body of SID banka or SID banka, a representative, an authorised person or an agent to obtain undue benefit.

SID banka reserves the right to request informative bidders to provide additional information and/or invite them to clarification meetings regarding the solutions proposed by them. Clarification meetings will be announced in advance.

All costs connected with a preparation and submission of informative bids or an organisation of additional clarification meetings are to be borne by informative bidders. SID banka is in no case responsible for the aforementioned costs.

3.2. Confidentiality

For all purposes of this RFI, the informative bidder, its subcontractors and its staff participating in this informative bid undertake to protect the confidentiality of the written and/or oral information which they can access in the course and following the tendering procedure, and to not disclose any such information partially or in full to any third parties without the written approval of SID banka. It shall not be permitted to use or disseminate any analyses and additional material submitted to the informative bidder, except for the purpose of preparing an informative bid.

3.3. Subcontractors and partnership consortia

SID banka accepts informative bids with subcontractors or bids of consortia, but only from one bidding party, i.e. the informative bidder is liable for its subcontractors and makes sure that its subcontractors accept all terms and conditions of this RFI.

4. DESCRIPTION OF RFI PROCEDURE

4.1 The phases and the main deadlines in RFI procedure

The timing of the RFI procedure is as follows:

DEADLINE/TIME FOR PERFORMING A SPECIFIC ACTION	STEPS IN THE RFI PROCEDURE	WHO	How
31. 5. 2019	RFI public announcement on Sid banka web page and sending the RFI to informative bidders	SID banka	SID banka web-page and sending By e-mail
5. 6. 2019	Confirming the receipt of RFI and sending SID banka a request for a technical and functional specification (questionnaire)	Informative bidders	By e-mail
14. 6. 2019	Questions	Informative bidders	By e-mail
21. 6. 2019	Answers	SID banka	By e-mail
28. 6. 2019	Submission of informative bids (including link for On-line / Demo version Tests)	Informative bidders	By e-mail
July 2019	Q&A and Presentations	SID banka & Informative bidders	By e-mail Presentations On-site or through Webex etc...
1. 9. 2019	Public tender announcement	SID banka	In line with ZJN-3

The deadlines are considered to be "planned deadlines" for SID banka and may change if SID banka decides to modify the time sequence and informs the informative bidders thereof.

4.2 Criteria

SID banka will accept and consider only informative bids that will meet the following criteria:

No.	TITLE	DESCRIPTION
1	Deadline for submitting informative bids	An informative bid submitted must be received by SID banka in due time as indicated in this document.
2	Prices	The bid must comprise all appropriate information about the prices in accordance with SID banka requirements.
3	Communication Policy	The informative bidder must comply with the Communication Policy.
4	Integrity	Any attempt on the part of the informative bidders to influence SID banka's employees in the procedures of bid review, clarification, evaluation and comparison shall result in the rejection of the informative bidder concerned.
5	Confidentiality	The informative bidder must respect the confidentiality clause.
6	Confidence	The informative bidder must submit verified data and information and must act in good faith.
7	Misrepresentations	If the statements/documents submitted contain misrepresentations, the informative bidder concerned will be automatically excluded regardless of the phase of the RFI at the time such misrepresentation is detected.
8	SaaS (Cloud)	If offer is based on SaaS (Cloud) then servers must be in EU.

5 RFI RULES AND COMMUNICATION

5.1 Informative bid structure

The informative bid must comply with the following requirements:

- The title of the RFI must be stated in the "subject" field.
- The informative bid contains all the necessary details/information.
- The informative bid also contains an editable commercial part.

The language of communication shall be English or Slovenian, therefore the informative bid must also be drawn up in English or Slovenian. Only informative bids drawn up in the following formats will be considered: **.XLS, .DOC, .PDF.**

Diagrams requiring special software must be converted into one of the formats indicated above.

5.2 Communication Policy

Informative bidders invited to participate in the RFI shall not communicate with persons and companies not listed as SID banka contact persons, and/or shall avoid and restrict any such communication. Furthermore, informative bidders shall refrain from communicating in any way with other informative bidders invited to take part in the RFI.

The contact person is:

MS Mojca Koder
SID banka, d.d.
Ulica Josipine Turnograjske 6, Ljubljana, Slovenia
Email: mojca.koder@sid.si

5.3 Submission of bids

The bid is expected by and including June 14, 2019.

Please send it to the following address: mojca.koder@sid.si

6 THE INFORMATIVE BID – RELEVANT INFORMATION REQUIRED

Please present in detail your Technical solution and Commercial Terms. When drafting the informative bid, the bidders are requested to follow the structure presented below.

Any content that is not expressly stated in this RFI but represents a condition or an important recommendation for the informative bidder's solution or any inconsistency with the RFI should be included by the informative bidder in a separate chapter "Recommendations and/or inconsistencies with the RFI".

6.1. Technical Offer

Technical Offer shall present how your solution meets the technical specifications and other requirements described in this RFI. The technical offer shall be submitted per points requested under this Section with fully completed questionnaires on technical and functional requirements.

a) Presentation: Proposed Solution

Informative bidders shall present their proposed Solution that support requested functionalities.

b) Support of functionalities required

Informative bidders shall complete the last columns of completed questionnaires on technical and functional requirements under Bidder Mark where the support status of requested functionality in your solution is listed.

c) SaaS and/or On-premise Solution

Informative bidders shall state whether they support SaaS and/or On-premise models. If informative bidder supports both models describe differences between models from functional and technical perspective as also from operational model (change requests, etc...).

d) Demo versions / On-line test of proposed Solution(s)

Informative bidders shall provide SID banka with Demo version and/or online test environment (link) so we could test the functionality and other support of your Solution(s).

e) References

Informative bidders shall state references for the implemented Software in European banks with similar functionalities.

f) Information Protection

Bidders shall describe how they comply with Information Protection regulations.

g) IT solution implementation

Bidders shall provide estimation on IT solution implementation in months and with key-milestones. Project activities to be included are also:

- **Proposed implementation plan**

The informative bidder should describe all key stages of implementation. At least the most important activities, which must have designated implementers by the informative bidder and the SID banka, implementation deadlines and their co-dependencies shall be presented for each stage.

- **IT solution testing**

The proposed testing plan should include all key information and instructions related to the various tests planned. The proposed testing plan should specify the activities, relations between them, deadlines, and implementers of individual tests.

- **Integration plan** The project plan shall include a proposal for integration activities for the IT solution to be placed in the bank's IT system. The proposed plan should be based on experience from previous implementations and any knowledge about SID banka. Conversion and migration of data are also a part of integration activities.

- **Manner of introducing the IT solution** The proposed system implementation plan should specify the transition method

- **User and system administrator training** A user training plan aligned in terms of schedule and envisaging all tasks to be performed shall be presented. Implementers with specific tasks shall be designated for each of them. Training shall be conducted at the SID banka wherever possible and appropriate.

h) Infrastructure plan

Informative bidders shall prepare a description of the items listed below:

- Audit trail – as per the IT requirements
- Data Archiving – as per the IT requirements
- IT operations - operating environment, processing and monitoring
- The database – Preferred and supported ones, RDBMS mode of operation
- HW and SW system - Recommended configuration

- Workstations and printing - Recommended configuration
- Backup and Recovery - Design and operating requirements
- User interface – Design and samples to reflect look&feel
- Operating System – as per the IT requirements
- Network - Performance requirements
- Versioning - How is it implemented, any tools being used
- Operational Limits - Transaction and data volumes
- Help desk - Are you running your own function or is it out-sourced? Brief description of incident management.
- Access authorization – as per the IT requirements Incident handling - Brief description of the procedures to access system in case of production incidents interventions?
- Change management – Is it implemented as part of versioning and are there any particular procedures pertaining to making changes to the system?
- Documentation - What documentation is accompanying the system?
- System installation and set-up - Brief description of the initial deployment and configuration.
- Performance characteristics – Any performance statistics available?
- Security models and power/authorization - as per the IT requirements.
- Support for Multi-Company – Does it exist by design?
- Description of upgrade and versioning policy
- SaaS - Location of the Infrastructure, add the security audit reports if available
- SaaS - Who manages the technical infrastructure (HW and SW) and who carried out the configuration of solution.

i) Maintenance and Support

Informative bidders shall submit their a) SaaS and/or b) On-premise maintenance and support terms and conditions with 2 options:

- a) with your basic maintenance and support T&C; and
- b) with services for resolving regulatory requirements as addition to basic maintenance and support T&C.

j) Upgrade (versioning) policy

Bidders shall describe their Upgrade (versioning) policy of your system, t.i. number of versions usually implemented in one year (and included in the basic maintenance terms), period of major upgrades, required cooperation of the client in upgrades, requirements to upgrade to new (or last) version, terms and conditions for not being on required version etc...

k) Change Request procedure

Bidders shall describe their standard Change Request Procedure.

l) Personal Data Processing

Bidders shall present how they comply with GDPR.

6.2 Commercial Terms

The prices shall be stated for the full implementation, i.e. including all dependent costs possibly arising from the supply of goods or services (e.g. travel costs, time spent travelling etc.). Prices shall be expressed in EUR excluding VAT.

Any content that is not expressly stated in this documentation but represents a condition or an important recommendation for the informative bidder's solution or any inconsistencies with the RFI should be included by the informative bidder in a separate chapter "Recommendations and/or inconsistencies with the RFI".

Please specify any other information significant for the RFI.

Bidders shall submit Commercial Offer and other information in the following order:

a) Company Pricing Policy

Under this chapter commercial offer shall be submitted according to informative bidder's standard Pricing policy. Informative bidders shall submit Pricing Policy for SaaS and/or On-premise models and are invited to provide Price List for:

- individual modules (functionalities),
- any other expected additional licences,
- expected project implementation costs,
- additional users,
- their standard maintenance and support,
- their standard SLAs,
- multi-client options,
- upgrades (versioning)
- annual price index,
- reports, forms...
- etc.....

b) Commercial Offer for SID banka

SID banka would like to have an overview of commercial terms estimation therefore informative bidders shall submit Commercial Offer for:

- SaaS solution; and/or
- On-premise solution

Please provide Commercial Offer considering requested functionalities, expected number of users and other IT requirements. When preparing commercial proposal you are invited to provide detailed comments and explanation.

c) Any other additional cost / Investment

Specify any additional costs/investments of project implementation, by type and price per unit.

d) Additional proposals

If you have any additional proposals in view of the information provided, state them here and provide a cost estimate under this item.

e) Recommendations and/or inconsistencies with the RFI

Any content that is not expressly stated in the documentation but represents a condition or an important recommendation for the informative bidder's solution or any inconsistencies with the RFI should be included by the informative bidder in this chapter.

f) Bidder profile

Please provide details upon your company and portfolio.