RFP Volume I

Functional, Technical and Operational Requirements

SHORTLISTING OF AN AGENCY FOR THE IMPLEMENTATION OF THE NATIONAL JUDICIAL REFERENCE SYSTEM (NJRS) FOR INCOME TAX DEPARTMENT, Government of India

February, 2013

Income Tax Department

Ministry of Finance,

Government of India

National Institute for Smart Government

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Consultants

Table 1: Consultants to the Project

1	Consultant		National Institute for Smart Government

Table 2: List of Abbreviations

Abbreviation	Definition
AARD	Authority for Advance Rulings and Dispute Resolution
ACIT	Assistant Commissioner of Income Tax
ADIT	Additional Director General of Income Tax
ARMS	Appeals Repository and Management System
BOM	Bill of Materials
CAS	Central Agency Section
CBDT	Central Board of Direct Taxes
CDPC	Central Data Processing Centre
CIT (A)	Commissioner of Income Tax (Appeals)
CIT (DR)	Commissioner of Income Tax (Departmental Representatives)
CIT (J)	Commissioner of Income Tax (Judicial)
DC	Data Centre
DCIT	Deputy Commissioner of Income Tax
DGIT	Director General of Income Tax
DGIT (L&R)	Director General of Income Tax (Legal & Research)
DIT	Director of Income Tax
DR	Disaster Recovery
DRC	DR Centre
DTC	Direct Taxes Code
DTRTI	Direct Taxes Regional Training Institute
HC	High Courts of India
IA	Implementing Agency
ITAT	Income Tax Appellate Tribunal

ITD	Income Tax Department
ITO	Income Tax Officer
JRRS	Judicial Research & Reference System
MA	Miscellaneous Application
MoF	Ministry of Finance
MoL	Ministry of Law
NCR	National Capital Region
NCW	New Comprehensive Website
NISG	National Institute for Smart Government
NJRS	National Judicial Reference System
PAN	Permanent Account Number
SC	Supreme Court of India
SLA	Service Level Agreement
SLP	Special Leave Petition
TAXNET	Income Tax Network

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1. Goals of the RFP

The primary goal of this RFP is to solicit proposals from interested bidders for selection of an Implementing Agency (IA) for creating and operating a National Judicial Reference System as described in this RfP in an effective and timely manner. The Implementation Agency will be responsible for designing, developing, operating and managing the system for a period of 5 years from the "Go-Live" date.

2. RFP Structure

The Request for Proposal or RFP (this document) for selection of Implementation Agency (IA) is segregated into the following three volumes:

Volume I: Scope of Services

Volume I of RFP intends to bring out all the details with respect to functional, non-functional, technical requirements, and implementation model along with details on scope of services required from the Implementation Agency that ITD deems necessary to share with the potential bidders.

Volume II: Commercial and Bidding Terms

Volume II of the RFP details the General Terms & Conditions with respect to the bid process management including the evaluation criteria and bid submission forms to be adopted for the proposed project.

Volume III: Draft Contract

Volume III of the RFP details out the Draft Contract for the proposed engagement and outlines the contractual, legal terms & conditions applicable for the proposed engagement.

This volume is the **Volume I** of the RFP.

3. RFP Issuing Authority

The President of India acting through the Director of Income Tax (Legal & Research), Income Tax Department (ITD), Government of India. ITD's decision with regard to the selection of bidders through this RFP shall be final and ITD reserves the right to reject any or all the bids without assigning any reason.

4. Project Background

The Income Tax Department (ITD) is responsible for collecting Direct Taxes and administering the Income Tax Law and other direct tax statutes for Government of India. The department has offices in 510 cities and towns across India and has a sanctioned strength of about 58,000 employees. It is responsible for the enforcement of the Income tax Act, 1961, The Wealth

Tax Act, The Expenditure -Tax Act, 1987, The Interest Tax Act, 1974 and the Gift Tax Act, 1958. (The Expenditure Tax Act, Interest Tax Act and the Gift Tax Act have now been repealed)

The primary area of work of the department relates to the Income Tax Act, 1961. A four level adjudication mechanism has been provided under the Income Tax Act, 1961 for disputes arising out of the orders passed by various authorities under the Act.

- The Commissioner of Income Tax (Appeals)
- The Income Tax Appellate Tribunal (ITAT)
- The High Court &
- The Supreme Court of India.

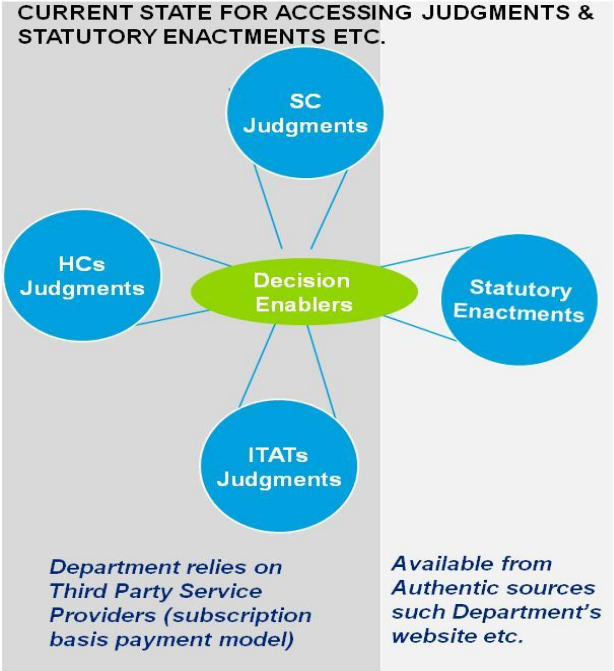
A taxpayer can contest an order passed by the Assessing Officer (AO), by filing an appeal with the concerned Commissioner of Income Tax (Appeals) (CIT (A)). The list of appealable orders is prescribed in section 246A of the Income Tax Act, 1961. At the second level, the central Government has constituted the Income Tax Appellate Tribunal (ITAT), which has benches in 27 cities, to hear appeals arising out of the orders as prescribed in section 253 of the IT Act, 1961. The primary source of appeals at the ITAT however are the appeals arising out of the orders of the CIT (A). Appeals to the High Court lie from every order passed in appeal by the Tribunal if the High Court is satisfied that the case involves a substantial question of law. ITAT is the last fact finding authority. Finally, appeals can be made to the Supreme Court under section 261 of the IT Act, 1961. The High Courts and the Supreme Court can also be approached under their Writ Jurisdiction.

A number of cases remain pending at any point of time on direct tax matters in various courts. A rough estimate of the pending cases is given below:

Court	ITAT	High Courts	Supreme Court
Approximate number of pending Direct Tax cases/appeals as on1/4/, 2012.	**30909**	**29550**	**5838**
Annual Volume of New Appeals (approx.)	**20865**	**5720**	**1202**
Annual Volume of judgments (approx.)	**20884**	**7543**	**1030**

A decision to file or not to file an appeal by the department is taken after a decision making process encompassing several tiers of the hierarchy within the organizational setup of the Income Tax Department (viz. AO, Addl. CIT, CIT, CCIT etc.). This decision making process is through a manual workflow system on paper based files. The subsequent monitoring of the appeals filed in various courts is done using manual registers of pending appeals maintained at various levels of the hierarchy. The higher management such as CBDT relies upon manual consolidation of the information available from the various field offices for litigation management

The decision to file or not to file an appeal necessitates a review of the extant legal position contained in various orders/judgments of the courts and in the various Acts, Circulars, Notifications, and Double Taxation Avoidance Agreements etc. on the subject. For this purpose the department is presently utilizing the following resources available through private sector parties:



1. The website of the income tax departments which has the various Acts, Circulars, notifications etc. relating to direct taxes.
2. Monthly journals
3. Online databases and applications with search capabilities and other features available via the vendor's portal
4. Database on CD-ROM which is installed on the officer's machine to which the vendor supplies regular updates.
5. Websites of ITAT, HCs and SC

The ITD department has internal applications like the ITD application, e-Filing, CPC- ITR, CPC- TDS etc. for managing various functions of the ITD department. A new system – the Income Tax Business Application (ITBA) is under development which would integrate all these systems and also build some of the workflow for decision making. Some amount of computerization has also taken in the judiciary. The registration process for filing of appeals at the ITAT, HCs and the SC has been computerized by the respective courts. The orders/judgments of the courts are also being regularly uploaded on their websites for the benefit of the public at large.

5. Challenges and proposed solution

The Income Tax Act, 1961 and other enactments provide a limitation period within which appeals are required to be filed at various levels. It therefore becomes important to be able to monitor the timely filing of appeals. The appeals once filed, either by the tax payer or by the department, need to be monitored on a continuous basis to ensure expeditious disposal to facilitate tax recovery efforts in the disputed cases. It is also important to be able to monitor the appeal process to avoid frivolous appeals on decided issues, to consolidate appeals by bunching similar cases, develop expertise to defend cases on specific issues, and to prioritize high tax demand cases. However, there are several challenges in achieving these objectives.

5.1 Challenges

A key constraint is the absence of a consolidated database of pending litigation and the manual process of monitoring. Such manual processes are inherently weak considering the high number and the large geographic distribution of the officials in the department involved in various stages of tax litigation.

The basic litigation record is with the Assessing Officers in the Department. This data is consolidated at various levels before it reaches the apex decision making body – the Central Board of Direct Taxes. The Data loses its granularity at each level of manual consolidation. If sufficiently detailed data are made available, it will be possible to avoid the filing of appeals on settled issues; bunch appeals based on similarity in the issues involved; and to pursue high revenue appeals. It will also be possible to run various types of analysis such as identification of the provisions of law prone to litigation for reforms in tax policy and tax administration, analysis of the trends in outcomes, identification of training needs on specific issues, etc.

Another constraining factor is the slow movement of information on litigation matters to the judicial officers of the department. It has been the experience that information on issues decided in favor of the department is neither readily available in private sector publications, nor there is any robust mechanism to communicate such information internally to the concerned officials.

Yet another challenge is the reliable storage and ready retrieval of documents over long time periods considering that litigation over various stages can take several years.

5.2 The proposed solution – The National Judicial reference System (NJRS)

To achieve efficiency in tax litigation there is a need to create a centralized, indexed and searchable repository, where information pertaining to the details of pending appeals as well as details of the decisions in decided matters is accessible to all officers of the department in

different corners of the country. It should also contain the PAN so that the entire litigation history of a taxpayer is available. The repository should have suitable metadata; it needs to be cross referenced and must have intelligent search capabilities to be able to identify issues across cases for improved decision making. Accordingly, the Income Tax department has decided to create a 'National Judicial Reference System (NJRS)'.

5.3 Proposed Implementation Approach

It is proposed to appoint a professional implementing agency (IA) to study, design, develop, implement, commission, maintain and also operate the NJRS for the Income Tax Department. The NJRS would primarily comprise two components:

- **Appeals Repository & Management System (ARMS)**: An information system and online repository of all pending appeals and relevant documents. Appeals would fall into the category of those pending till the "Go-live" date (legacy appeals) and those that are filed after the "Go-live" date (current appeals).

  This repository is proposed to be created by the integration of the relevant data from the IT systems already established at ITAT, High Court and Supreme Court and the IT applications running in the Income Tax Department. However, at present the data available in the IT systems of the various courts and the Income Tax Department do not contain the entire information that is required. Therefore it is proposed to supplement the basic data available from various existing IT systems by scanning and digitizing paper copies of relevant appeals documents available with the Income Tax Department to extract information about the issues in dispute, questions of law, and sections of the Act involved etc. The scanning of the paper documents will also achieve the objective of document retention and retrieval over time. Some of the scanned documents will need to be digitized as well to enable text search and other such operations.

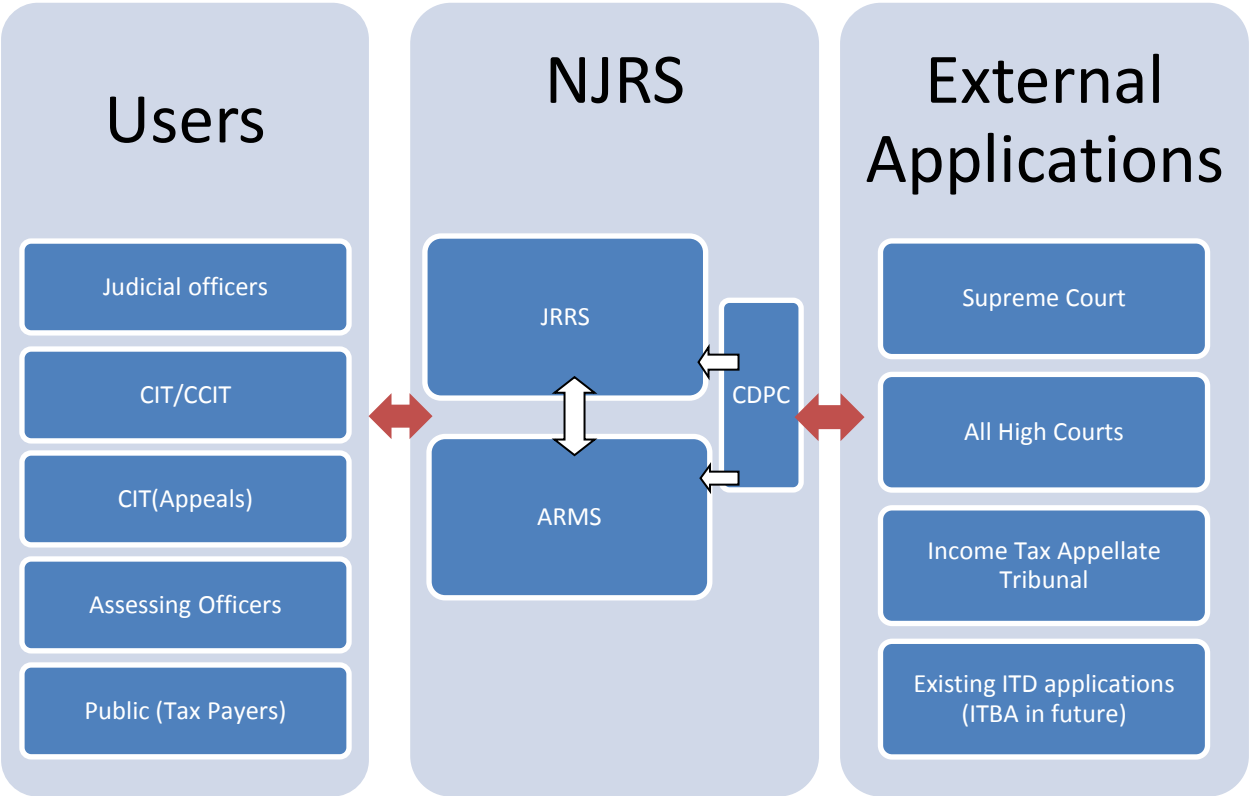
  The paper copies of the appeal documents will be provided by the Income Tax department at the nodal locations across the country as may be identified by the department. The preliminary list of these nodal locations is given in **Annexure I.** Requisite infrastructure will be set up by the IA at these nodal locations to create the **Regional Scanning Centers (RSCs).**The IA will scan the paper documents at these RSCs and transmit the scanned documents to a **Central Data Processing Centre** to be set up by the IA near Delhi. The CDPC will be the main center for carrying out the activities necessary to enable delivery of the services envisaged under the NJRS project.

The scanned and/or digitized copies of the paper documents will be retained in a document management system for easy search and retrieval at any point of time. In addition, the data and documents will be enriched by cross referencing of various items, creating metadata and keywords.

An MIS will be developed on the database for status tracking, reporting, creating online dashboards, generating alerts and for business analytics. It will also have some workflows for the officers of the DGIT (L&R) and the judicial officers (CITs (J) and CITs (DR)) of the department to facilitate litigation management.

- **Judicial Research & Reference System (JRRS):** A repository of judicial orders in decided cases as a single, indexed, searchable, cross-linked database of orders/Judgments of ITATs, Authority for Advance Ruling, High Courts & the Supreme Court. It will also have the relevant statutory enactments, circulars etc. This repository is proposed to be created by using the orders/judgments already available in digital format in the IT systems of the various courts. The basic textual data are proposed to be enriched by creating metadata and head notes in all important cases.

ENVISIONED NJRS



6. Scope of Work of the Implementing Agency

6.1 Overview of the scope of work of the implementing agency

The following outlines the broad areas of scope of work for the IA (Implementing Agency) for the NJRS Project. These are detailed out in the subsequent sections of this RFP.

The **Scope of work** for the IA includes:

1. Design, development, testing and implementation of NJRS application
2. Data Import, Digitization and Migration: Procuring, Scanning, uploading, data digitization, processing (Metadata, Headnotes, Summary etc.) and content management of the Appeals and Judgment data/documents for NJRS
3. Integration with the ITD Systems
4. Procure, install, commission, maintain and operate the IT and Non IT infrastructure to establish:
   i. The Central Data Processing Center (CDPC) at a location in the NCR
   ii. The Regional Scanning Centers (RSCs) at the identified nodal locations for handling and scanning of paper documents
   iii. The Data Center (DC) & Disaster Recovery (DR) Center
5. Procure and Deploy requisite manpower to carry out the activities for operating and maintaining the NJRS and for delivering the services envisaged in this RFP. Manpower specifications are given in Annexure XI
6. Training of Department personnel
7. Judicial Research Support and Help Desk Support
8. Project planning ,management and documentation
9. Operations and Maintenance (O&M) for 5 years
10. Warranty Support Services
11. Support to 3rd party acceptance testing, audit, and certification
12. Exit Management and Transition at the end of Contract Period
13. SLA Management and Reporting

6.2 Detailed Scope of Work of the IA

The following sections detail out the scope of work to be performed by the IA. The IA is expected to provide end-to-end service to the ITD as per the scope of work and other terms and conditions laid down in this RFP with a view to achieve the objectives of the NJRS Project.

6.2.1 Design, development, implementation and testing of NJRS application

a. Requirements study and SRS preparation:

The IA shall gather and document system requirements in a comprehensive manner for the services to be provided as per the envisioned NJRS and as specified in this document. IA shall prepare a Software Requirements Specifications (SRS) document based on the functional, technical and operational requirements specified in **Annexure III-VI and IX** of this document, its own assessment and in consultation with the Department and its representatives. It is planned that the IA shall have detailed interactions with various stakeholders of NJRS, including:

- Officials of the Directorate General of Income Tax(Legal & Research)
- CITs (Judicial), in the four metro cities
- CITs (Department Representative) on a sample basis
- Concerned officials of the Directorate of Systems, Income Tax Department
- Some other officials on a sample basis including the AOs, CITs (A), Audit and Judicial Wing of CBDT
- Officials responsible for the registry functions of the ITAT, HC and SC
- Concerned officials of the NIC

Whenever the Direct Taxes Code, 2010 comes into effect there would be an additional appellate body called Authority for Advance Rulings and Dispute Resolution (AARD) for handling the appeals of Government/Government Undertaking (Public Sector Undertaking). The IA should design the system in such a manner that it would be able to configure/ add the additional processes in NJRS

IA would need to obtain the final sign-off from the Department on the requirements gathered and the SRS before proceeding with the design and development of the NJRS solution. It must be noted that:

- The requirements and specifications provided as part of this RFP are intended to describe salient aspects of the IA's scope of work and provide sufficient understanding to the bidders for preparing proposals and should not be considered as exhaustive. The requirements will have to be detailed further as part of SRS preparation.
- Legislative Interventions might impact the stated requirements of NJRS system. Thus, the IA should also consider the incorporation of these impacts in the NJRS system.
- The parameters for search need to be finalized after consultation and approval from the Department.

b. *Design, development and testing of NJRS Application*

IA can set up the testing & development environment at its development office located in Delhi or the adjoining cities of Gurgaon, Noida, Faridabad, and Ghaziabad and within 10 Kms. distance from the geographical boundary of Delhi. IA would make available the development, testing and production environments (DC and DR) for the NJRS application. The following aspects need to be addressed during this phase:

1. The "Project Manager" should be named and communicated upfront by the IA. The Project Manager will be the prime focal point for all interactions during the development phase.
2. Periodic reviews as per the project plan - Formal reviews during the development phase will be conducted at IA's/ Department's premises as follows to ascertain progress related to key milestones.
    i. Team mobilization & Project Kick-off
    ii. High level Design completion including Data Migration Plan
    iii. Development and Testing completion

IA shall design, develop and test the NJRS application for meeting the system requirement specifications finalized for the services to be rendered to the Department. The solution design shall include the design of application architecture, information architecture, network architecture, deployment architecture, security architecture as specified in this RFP. The IA should implement the NJRS system through an enterprise class Content Management System (CMS) & Search Engine. The CMS should allow for content capture, processing, storing, extending, archiving, releasing. The IA should get the system tested by a third party agency like STQC for functional requirements and security testing and audit should also be undertaken by an independent third party like STQC or by an agency empanelled by Cert-In.

c. Compliance with Industry Standards

The proposed solution has to be based on and compliant with industry standards (their latest versions as on date) wherever applicable including document standards. The IA shall adhere to the standards published by the Department of Electronics and Information Technology (Deity), Government of India. The Deity standards are available at URL **www.egovstandards.gov.in** and relevant standards have been referred in context throughout the document.

6.2.2 Data Import, Digitization& Migration

The core of the NJRS project is the creation and management of data for the two repositories – ARMS & JRRS and their increasing utilization for facilitating litigation management in the Income Tax department. This will include the following:

a) **Data collection and content management for ARMS**

The IA shall be responsible for collection and content management of the requisite data/documents in respect of:

- All appeals pending in ITAT, HC and SC as on the "Go-live" date.
- All new appeals filed in ITAT, HC and SC after "Go-Live" for the entire term of the contract.

The indicative list of data and documents required for ARMS is given at Annexure **VIII.**

Importing data/documents: The department will assist the IA in getting approval from the ITAT, HCs & the SC for access to relevant appeals data/documents available in these courts for the NJRS project. It shall be the responsibility of the IA to build requisite interfaces and thereafter import the data/documents (in an on-line or off-line mode) for creation of the ARMS records.

Similarly, some data/documents relevant for the ARMS (such as the PAN details) may be available on the ITD systems. It shall be the responsibility of the IA to build suitable electronic and non-electronic interfaces and thereafter query and obtain the data/documents from the ITD systems for creation of the ARMS records.

Scanning & data creation: IA shall be responsible for scanning the data/documents that are not already available in the digital format from other IT applications. Paper copies of the appeal documents shall be made available by the department to the IA at the RSCs to be established by the IA. A standard operating procedure shall be defined for this purpose. The IA shall be responsible for all subsequent actions including but not limited to scanning at RSCs, uploading to the CDPC, extraction of keywords and metadata(manually or electronically) from the scanned documents, reconciliation with the data imported digitally from court registries and adding the data so extracted for creation of the ARMS records.

Metadata, additional information and Content Management: The IA shall be responsible for creating suitable metadata, key words, the addition of the sections,

case citations used in the appeal, creating hyperlinks from sections, citations etc. to the relevant JRRS records, add the issues and questions of law involved in the appeals to the ARMS record, build proper indexes and for content management of the ARMS. The entire repository needs to be made available to the departmental users in a simple to use interface, made highly searchable. This should be in line with the functional, technical and operational requirements as stated in **Annexure III-VI and IX** of this RFP.

b) **Data collection and content management for JRRS**

The IA shall be responsible for collection and content management of the requisite data/documents in respect of

- **Legacy orders/judgements**
  - Incorporate all final orders/judgements from 1/4/2006 for HC and SC and from 1/4/2009 for the ITAT
  - All reported orders/judgements of ITAT, HCs and SC delivered by the courts before the "Go-Live" date which have been published in leading journals like - Income Tax Reporter (ITR), Current Tax Reporter (CTR), Tax Tribunal Judgement (TTJ), and Income Tax Tribunal Decisions (ITD).

    (IA is expected to use the existing judicial database identified at the technical evaluation stage to fulfil part of the requirement of legacy judgments into the JRRS by the Go-Live date)

- **New orders/judgements:** All reported or unreported orders/judgements after the "Go-live" date till the end of the contract.
- **Enactments:** All statutory enactments, notification circulars etc. related to Direct Taxes. The IA would be provided the soft copies by the Department. A standard operating procedure shall be laid down for this purpose. It shall be the responsibility of the IA to import the documents and make them available on the JRRS user interface to all the users of the Department with appropriate animations (such as scrolling text, flash etc.) for recent documents

It shall be the responsibility of the IA to make suitable arrangements (electronic or manual) for obtaining the orders/judgments from ITAT/HCs and SC on a regular basis for the NJRS project.

Metadata, additional information and Content Management of JRRS: The headnotes and metadata available in existing database identified at the technical

evaluation stage would also be part of JRRS system to start with. For the other legacy judgments which are not available in the existing database and for all new orders/judgments after the "Go-live" date, headnote creation is likely to be limited to 10% of such cases.

Headnotes would need to be created for all final HC and SC judgments passed after the "Go-live" date. A standard operating procedure for identifying other cases fit for headnote creation will be laid down by the IA is consultation with the department. The NJRS system would also provide the facility to ITD officials to flag cases for headnote creation. The IA shall ensure that the quality of headnotes is at least as good as the quality of headnotes in any proprietary database maintained by the IA or its consortium partner.

The IA has to create suitable metadata including but not limited to keywords, sections of law involved, issues involved, identify case citations used and create cross references/hyperlinks within JRRS for all cases and sections used in the orders/judgments. The entire repository needs to be made available to the departmental users in a simple to use interface, made highly searchable (including free text search) and should be made available in tamper proof formats which can be readily copied and pasted in other editable formats such as word & notepad.

The functional, technical and operational requirements are given in **Annexure III-VI and IX o**f this RFP.

c) **Data quality assurance** :

The IA shall be responsible for ensuring data quality requirements as stated in the SLA. In general the IA shall be responsible for ensuring clarity in scanning so that the scanned documents are free of scanning errors like specks, black bands/ dots, disorientation, edge folds, smudges etc. The IA shall be responsible for error correction if any in the scanned documents. IA shall be responsible for maintaining 100% accuracy in the digitization of documents and in the extraction of data from the documents. The IA will ensure 100% accuracy in indexing, linking and meta-data creation for the documents being scanned. The Department on its own or through third parties may audit the data of JRRS at any point of time during the course of the project. Any discrepancies found would need to be corrected by the IA. The IA shall be required to certify the accuracy of the database along with the gist being created for JRRS. Failure to comply with the required accuracy will invite suitable penalties as described in the SLA's in this RfP Annexure X

6.2.3 Integration with the ITD Systems

The IA shall be responsible for facilitating integration with existing and new ITD systems in the following ways:

a. The ITD systems search engine should be able to search through the JRRS database.
b. Provision necessary connectivity and infrastructure to facilitate such integration.
c. Provision for use of the authentication mechanism of the ITD systems to provide a single sign on facility to users of such systems.
d. The judgments being procured under NJRS project to be made available in the webmaster system. The IA would make available a copy of plain text/HTML format of judgments once at go live and thereafter updates to judgments repository at agreed predefined intervals. An email alert would also be sent by NJRS system informing the webmaster system about the availability of the judgments updates.

6.2.4 Commissioning of IT Infrastructure

The IA shall procure, install, commission, maintain and operate the IT and Non IT infrastructure and set up a Central data Processing Centre, The Regional Scanning Centres, the Data Centre and the Disaster recovery Centre for the NJRS project. The detailed specifications for these centres are laid down in **Annexure III and V**.

CDPC: The IA would arrange space for CDPC and set up the infrastructure for the CDPC. The site shall be managed by the IA and the IA shall be responsible for providing and deploying appropriately trained manpower as per the manpower requirements to carry out the following tasks at the CDPC

6.2.14.1 Population of Appeals records in repository

a. Create records in the repository based on metadata fetched from the ITAT/HC/SC registries.
b. If the appeals metadata is available in hard copy format, all the metadata and keywords for the appeals record entry would be entered in ARMS
c. Association of scanned documents (appeal memo, CIT (Appeal) order, CSR with appeals from documents scanned at RSCs into ARMS
d. Documents to be linked with the appeal record would be scanned at the RSCs and possibly in future would be available electronically from ITAT/HC/SC

systems when such courts introduce e-Filing of appeals or also from the existing ITD systems or after ITBA is implemented.

e. Linking, indexing of the appeal with relevant judgements and other documents.
f. Quality Check of the whole process
g. Movement to production environment after testing

6.2.14.2 Population of orders/judgments obtained from AAR, ITAT, HC and SC in the JRRS repository

a) Obtain judgements of ITAT, HC and SC
b) If hard copy is obtained, it needs to be scanned and digitized
c) The electronic copy then needs to be converted to HTML, tagged, linked, indexed, Headnotes created as required and entered into JRRS repository after passing all quality checks and test cases.

6.2.14.3 Provide Judicial Research Support for the judicial officers of the department and provide Helpdesk Support

RSCs: The ITD shall provide space at nodal locations (preferably in each of its 27 CIT (DR) offices) across the country where the IA shall setup the necessary infrastructure including furniture, computer/s, scanner/s, printer/s for scanning/ digitizing and uploading of judgments, appeals and other data as and when provided by the Department. The specifications for the RSCs are given at Annexure III. The site shall be managed by the IA and the IA shall be responsible for providing and deploying appropriately trained manpower as per the manpower requirements to provide the services of the scanning/ digitization/ migration as required. ITD shall only provide the space and access to the main power line. Wiring/ cabling shall be the responsibility of the IA.

DC & DR : IA shall be responsible for hosting the NJRS application in a fully equipped Data Centre (DC) and Disaster Recovery (DR) Centre from a commercial data center (Tier 3 or above) provider meeting the specifications & guidelines of GoI and Department of Electronics and Information Technology.

a. The IA shall establish / hire/ lease/ rent the DC & DR space and infrastructure without compromising on the security of the data and application of the Department. The DC shall be located in Delhi. The DR shall be located in a different seismic zone. Data Center requirements are provided in **Annexure V**

b. IA shall lease/ procure all necessary hardware (servers, load balancers, SAN storage systems etc.) and related software licenses and support for the data center and

disaster recovery center. It shall also be responsible for commissioning the hardware ready to host the NJRS application. Bidders shall need to perform an independent assessment of the infrastructure requirements for the NJRS system and provide a detailed Bill of Material (BOM), as part of their proposal, which shall fulfil the SLA requirements specified in **Annexure X** of this document.

c. The Technical information provided in the RFP is indicative only it will be the responsibility of the IA to ensure the components for DC and DR Center will meet the project objectives and meet the SLA requirements.

d. The IA shall be solely responsible for availability, security, backup, manageability and scalability of the system to meet the requirements of ITD and the SLA provided in this RFP

e. The IA shall be responsible for the internet connectivity and bandwidth requirements, channels for uploading of the data from the RSCs and CDPC and manage the same. A Third Party Audit Agency appointed by the Department may review the conformity of the server side hardware supplied by IA with any requirements and specifications provided in the RFP and/or as proposed in the proposal submitted by the IA.

The indicative content management process is illustrated in Annexure IV:

6.2.5 Manpower deployment requirements

IA shall deploy manpower for operations and maintenance of the NJRS Project. The manpower deployment requirements include, but are not limited to:

a. IA would be required to deploy a full time project manager in NCR, for the entire duration of the project.
b. IA shall deploy
   - Adequate number of staff at DC and DR Centre, Scanning Centres
   - Required number of staff with expertise in judicial noting (Headnotes, Summary, Meta-data, Gist etc.) at the CDPC.
   - Required number of Staff with legal skills to be able to provide research support to the Judicial Officers of the department.
   - Adequate number of Helpdesk agents who should be fluent in English & Hindi.

6.2.6 Training

The IA would be required to provide training to the identified users of the department. The training would be conducted in the facility provided by the department, which may be in NCR or any other city in India. The details of training facility shall be notified by the department to the successful bidder at a later date however the list of Departmental Training Centers is provided in **Annexure 2**

The training would adopt the 'Train-The-Trainer' approach wherein the identified subset of users would be trained who in turn would train the other users of the department. This identified subset of users who would be trained **is around 100**. These would include the department officials, master trainers & the system administrator identified from within the department. IA shall be responsible for finalizing the training methodology and training schedule in consultation with the department.

The training is to be carried out as per the timelines given in this document. The training shall concentrate on -

- Basics & overview of NJRS
- Usage of different functions of NJRS portal application (i.e. JRRS & ARMS).
- Roles & Rights of users of the application.
- Usage of help files & eLearning package devised for usage of the application.
- Use of Helpdesk support.

IA shall develop the training content for the above mentioned trainings. The training content shall focus on scenarios and examples of transactions relevant for the stakeholders and needs to be approved by the Department.

IA shall provide printed course material for trainees at the training location. IA shall also develop computer based training (or eLearning packages in the form of simulated flash files etc.) for the entire usage of the NJRS application. This package should be organized into modular /role based training packages and should be available through the web-interface of NJRS application for the Departmental users.

Whenever any changes are made to the NJRS application the IA will have to retrain around **20** users identified by the Department and update the training material & eLearning packages

6.2.7 Research Support and Help Desk Support

IA shall set up/ lease/ hire/ rent an appropriately staffed and centralized helpdesk for providing Research Support and helpdesk support to various users of the NJRS application. This would ideally be collocated with the CDPC. Helpdesk would operate from 9:30 AM to 6 PM on working days of the department (5 days/week).

The main set of activities of the help desk would include:

Provide research support to the office of the DGIT (L&R) using the NJRS system -

- Generating reports on various parameters such as cases having common issues, followed cases, differed cases, cases favourable to the department, cases against the department, trends in outcomes based on particular issues, sections, region wise reports of trends etc. reports on possible cases for bunching of appeals, statistical analysis of the data.

Problem resolution -

- Receiving incidents/requests through phone or email. Entering of the incidents in the helpdesk application and informing the user of the unique incident id (ticket) generated through email.
- Routing incidents internally between teams/ personnel and tracking till resolution
- Providing updates to users on incidents logged
- Periodic reporting of incidents providing details including (but not limited to) number of incidents reported, reporting mechanism (phone/ email)
- Escalation of any untoward incidents to the department on an immediate basis either for reporting purposes / action from the department.
- Creation of FAQs or content bank which also needs to be made available on the NJRS portal.

For initial 6 months after the Go-Live, at least 4 helpdesk agents & 4 judicial research assistants would be required. After 6 months of Go-Live, the helpdesk agents could be reduced. The Department may also require IA to scale up the number of personnel, at no additional cost to the department, if Help Desk service/Research assistance is not found to be provided in efficient manner based on the periodic reports.

6.2.8 Project Planning, Management and Documentation

The IA shall be responsible for all project planning and management activities as per the prevailing industry standards so as to be able to deliver the services and service levels as required under the NJRS project by the department.

The Project plan prepared by the IA would be reviewed by the Department. The IA would update and maintain the Project Plan throughout the duration of the engagement. All changes are to be reviewed and approved by the Department.

The IA shall prepare/update the documents including that of Functional Requirements Specifications, Systems Requirement Specification, HLD, LLD, Detailed Design, Requirements Traceability Matrix, Test plans& Results, User Manuals, Operations Manual, Maintenance

Manual, Administrator Manual, Security Policy etc. as and when the changes occur in the format and in the time period acceptable to the Department.

The 'Standard Operating Procedure' document would be initially prepared by the department and shared with the IA for compliance. However, the SOP document may undergo revision in consultation with IA at the time of implementation.

The IA shall obtain the sign-off from the Department for all the documents submitted for this Project and shall make the necessary changes as recommended by the Department before submitting the final version of the documents.

6.2.9 Achieve "Go-live" within the specified timelines

The IA is required to achieve "Go-live" status of the NJRS system within the timelines specified in section 8 of this volume. The "go-live" date is defined as the date when the IA has completed the following:

i. The IT and Non IT infrastructure has been established as per the requirements and certified by a third party quality agency.
ii. The NJRS system has been designed, developed and tested for compliance to requirements including security certification by a third party agency.
iii. The existing database of judgements identified at the technical evaluation stage has been ported to the NJRS
iv. All appeals at the ITAT, HCs or the SC that were instituted after 1/4/2009 have been incorporated in the databases based on data imported from the tribunal/ court registries.

6.2.10 Operations and Maintenance (O&M)

IA shall be fully responsible for operations and maintenance of the NJRS application, data center and disaster recovery center, RSCs, CDPC and any other component or facility being established by IA as part of this project for a period of 5 years from the go-live date.

The following sections detail the O&M requirements:

6.2.10.1 Application Management

a. During the support period, IA shall be completely responsible for the defect free functioning of the application software and shall resolve any issues including bug fixing, improvements in presentation and/or functionality and others within a duration agreed between the Department and the IA in relation to such a work.
b. IA shall provide the latest updates, patches/fixes, version upgrades relevant for the solution components.

c. IA shall be responsible for software version management and software documentation management reflecting current features and functionality of the solution.
d. Carry out any minor enhancements/modifications to the application

6.2.10.2 Infrastructure Management

a. This includes the design of an appropriate System Administration policy with precise definition of duties and adequate segregation of responsibilities and obtaining the approval for the same from the Department. System Administration includes the following activities:
   - Overall management and administration of infrastructure solution including servers, networking & security components, storage solution and others.
   - Performance tuning of the system as may be needed to enhance system's performance and comply with SLA requirements on a continuous basis.
   - Security management including monitoring security and intrusions into the system.
   - Monitor and track server and network performance and take corrective actions to optimize the performance on a daily basis.
   - Escalation and coordination with other vendors for problem resolution wherever required.
   - System administration tasks such as managing the access control system, creating and managing users and other related work.
   - Data storage management activities including regular backup, restore and archival activities.
   - Support to system users with respect to attending to their requests for assistance in usage and management of the application.
b. The IA undertakes to ensure that regular back-ups of data are taken and maintained safely.
c. The IA shall maintain the adequate stocks of spares to meet the requirements.
d. Whenever a component has to be replaced because of technical, functional, manufacturing or any other problem, it shall be replaced with a component of the same make and configuration. In case the component of same make and configuration is not available, the replacement shall confirm to open standards and shall be of a higher configuration.
e. Other important activities shall include but not limited to:
   - Daily maintenance of system configuration
   - Implementation of system security features
   - Overall security of the network
   - Day-to-day disk space management

- Tracking the servers' performance and taking remedial and preventive actions in case of problems
- Proper upkeep of storage media for taking backups

6.2.10.3 Business Continuity Management

The Business Continuity Solution for Project should ensure delivery of services in the event of complete failure of the Data Center. The solution shall be as follows:

a. First Level of backup shall be within production site in the form of cluster/partitioning etc.
b. Second level shall be off-site back up in the form of tape/library etc.
c. The DR arrangement in a different seismic zone shall be treated as the 3rd level.
d. DR site must be invoked automatically when the production site fails to provide its services. The IA shall put systems and processes in place for continuous monitoring and uptime of the DC, DR and provide reports to the department to enable validation of the same.
e. The Implementation Agency is required to submit a configuration diagram of the DR solution keeping in mind the data center configuration.

The following are the requirements of the DR site

a. The DR site should be designed as the backup (mirror) site to the production site.
b. The DR Site needs to deploy the entire NJRS application. It is however not expected to provide redundancy for the Firewall, Web, Application and Database servers at the DR site.
c. The DR Site needs to ensure that it supports a degraded performance of 50% of that prescribed for the primary site under the SLA terms.
d. The data synchronization between DC and DR should be done on a daily basis.

Note: Any Scheduled and Preventive Maintenance for any component of the project shall be done with written prior intimation to the Department at least 72 hours in advance and need to be carried during non-working hours of the department. During this maintenance exercise the portal shall display the adequate message to the users. Planned downtime of the system should be communicated to all the users of the system using appropriate communication method.

6.2.10.4 Continuous Improvement/Enhancement

One of the objectives of the ITD is to continually improve the technology, processes, document repository, search, interfaces and other features of the NJRS system. The system needs to be continually upgraded to meet the industry standards in respect of

websites/portals, content management systems, search engine capabilities, information management, analytics, networks and security. IA shall be also responsible for improvements/modifications to be able to take advantage of improvements expected in the future in the court systems and ITD systems such e-filing of appeals and automated workflows built within the departmental IT systems.

6.2.11 Warranty Support Services

IA shall provide comprehensive warranty for all IT and non-IT infrastructure, provided as part of the project, for a period of 5 years from the Go-live date.

6.2.12 Support to Testing & Certification by a Third Party or any other Agency appointed by the Department

IA shall provide necessary support to the Third Party Audit Agency or any other agency/ group appointed by the Department for acceptance testing and certification of IA's deliverables. This includes providing access to the necessary systems, documentation etc. to the audit agency.

The IA needs to address the gaps identified in Audit & Certification process.

6.2.13 Exit Management and Transition at the end of contract period

IA shall initiate the 'Exit Management & Transition Process' as per the agreement stated in Volume III of this RFP.

At the conclusion of the contract duration, all assets, infrastructure, equipment, networking, hardware, Intellectual Property Rights etc. created for the project would be transferred to the ITD. Transfer value at the end of the contract shall be at a combined token price of Rupee 1 for all assets

Any Departmental premises provided to the IA for delivery of the services shall revert to the Department.

6.2.14 SLA Measurement and Reporting

In order to regulate the relationship between the Department and IA, it is necessary to put in place, a set of Service Level Agreements or SLAs. The SLAs between the Department and IA are described and specified in the RFP. The legal and commercial implications of compliance and non-compliance with the SLA metrics are specified in Volume I &III of the RFP.

The IA needs to ensure the performance requirements during the contract period. These requirements shall be strictly imposed and a third party audit/certification agency shall be

deployed for certifying the performance of the Implementing Agency against the target performance metrics. The SLA monitoring shall be performed / reviewed on a monthly /quarterly basis as per the defined SLA parameters. During the contract period it is envisaged that there could be changes to the SLA, in terms of addition, alteration or deletion of certain parameters based on the mutual consent of both the parties i.e., the Department and IA.

IA shall be responsible for compliance and measurement of the SLAs on a periodic basis which would be mutually agreed between ITD and IA. Reports for SLA measurement must be produced to the concerned departmental officials periodically and also as per requirement in the agreed format

6.2.14.1 SLA Monitoring System

The SLA Monitoring function is important because the payments to the IA shall be linked to a measurement of the monthly averages of SLA parameters. In this context, the SLA Monitoring system should:

a. Be integrated with the application software component of portal software that measures performance of system against the following SLA parameters:
   - Response times of Portal
   - Transaction handling capacity of application server in terms of number of concurrent connects
   - Uptime of data center
   - Meantime for restoration of Data Centre etc.
b. Compile the performance statistics from all the IT systems involved and compute the average of the parameters over a month, and compare it with the SLA metrics laid down in the RFP or as mutually agreed between the Department and the IA.
c. Compute the weighted average score of the SLA metrics and arrive at the quarterly payments to the Agency, after applying the system of penalties.
d. Be under the control of the Department, so as to ensure that it is in a trusted environment.
e. Be subject to random third party audit to vouchsafe its accuracy, reliability and integrity.

7 Scope Changes and change requests:

Functionality (Scope) additions or major improvements to the NJRS may be proposed by either party on need basis after 'Go-Live' as per the Change Control Schedule in Volume-3 of the RfP. Such change request shall have to be implemented by the IA after approval of the department for the additional cost, effort and implementation time. Such change

requests, cumulatively, shall not be more than 20% of the total price quoted by the bidder in their Commercial Bid as per the Commercial bid format provided in Volume 2.

Following include (but are not limited to) the incidents which would not be considered as change in scope of work

a. Continuous enhancement as envisaged under section 6.2.10.4
b. Routine functional changes.
c. Any changes to NJRS code that may be required because of patches to licensed software being used (if any)
d. Rectification of the defects pointed out by the department.
e. Items of work already falling within the purview of the defined Scope of Work for IA.
f. Integration with the existing or currently foreseeable systems of the Department

8 PROJECT TIMELINES & DELIVERABLES

8.1 Project Timelines

The overall implementation of the NJRS has been envisaged to be of 26weeks. The IA needs to adhere to the timelines as specified in the table below:

Table 3: Milestones and Timelines

S. No.	Milestones	Time for completion
Design, development, testing and implementation of NJRS application		
1	Requirements Study	T+2weeks
2	Preparation and submission of System Requirement Specification (SRS)	T+4weeks
3	Review & Sign-off on SRS	T+5weeks
4	Design, Development, Testing of JRRS Application on legacy data	T+16weeks
5	Design, Development, Testing of ARMS Application	T+16weeks
6	NJRS Portal Development & Hosting	T+17weeks
7	Development of System User Manual & Technical Manual	T+17weeks
8	Acceptance Testing & Certification of NJRS	T+18.5weeks
CDPC Setup &Providing Data Digitization services		

S. No.	Milestones	Time for completion
9	Departmental approval and allocation of space at CIT (DRs) & DGIT (L&R) locations and review and approval of CDPC	T+5 weeks
10	Commissioning of CDPC	T+8 weeks
11	Setup & Commissioning at CIT (DR), DGIT (L&R) sites	T+8 weeks
12	Providing Data Digitization services at CIT (DR) and DGIT (LR) offices across India.	T+9weeks (onwards)
Providing DC &DR Center services		
13	Departmental approval of Data Center, BCP/ DR Center	T+7 weeks
14	Providing Data Centre (DC) services	T+10weeks
15	Providing Disaster Recovery (DR) services	T+12weeks
Capacity Building		
16	Development of Training Plan & Curriculum	T+17weeks
17	Development of Training Material including e-Learning Package	T+17weeks
18	Training to identified key stake holders	T+18weeks
Help Desk		
19	Preparation of FAQ document	T+18weeks
20	Operationalization of Help Desk	T+19weeks
Go Live		
21	Go Live as defined in section 6.2.9	T+26weeks "G"
Completion of legacy data		
22	Make available all pending appeals and orders/judgments as per the requirements in section 6.2.2,	G+26 weeks "L"
Support & Maintenance		
23	Overall NJRS maintenance & support	G+5 Years

T, as referred above, is the date of EITHER the 'award of contract' notification issued by the department to the selected bidder OR signing of contract between selected bidder and the department OR the meeting conducted by the department to kick-off the project; whichever happens the earliest.

G refers to the date of "**Go Live**" of the NJRS project

8.2 Penalty for Delay

For each week of delay in achieving the milestones (indicated as "G" and "L" in the above table), the department may levy a penalty of up to **Rupees Two Lakh**.

If the Go-Live date is delayed beyond -two months, due to any reason attributable to the IA, then the Department reserves the right to terminate the contract and also invoke the entire performance bank guarantee.

8.3 Project Deliverables

The IA has to deliver the following deliverables to the Department as part of an assurance to fulfill the obligations under the SLA. The table given below may not be exhaustive and IA is responsible to provide all those deliverables which may be specified in this RFP but not listed here and those agreed by IA in response to any request from the Department. The timelines for producing each of these deliverables will be in line and closely linked with the overall project timeline as indicated in above section. Any conflict with respect to project and/or deliverable timelines will have to be resolved by IA in consultation with the Department and/or its designated agencies and approved by the Department. Thereafter the approved timelines will have to be adhered to by IA, unless specified otherwise.

It is to be noted that upon completion of Go-live, IA is required to submit all the updated system design documents, specifications, source code, application deployment files, user manuals, administration manuals and all other applicable deliverables listed below.

Table 4: Project Deliverables

Stage	Activities	Deliverables	Timelines
Kick-off	• Initial Stakeholder Meetings to define the way forward for the project	• Inception Document: This would include the: ○ The understanding of the IA of the project. ○ Work Breakdown Structure ○ Detailed Project Schedule and deliverables etc.	After award of contract
Requirements Analysis	• Define Functional Requirements • Requirements management • Prototyping • Documentation • Data Migration Preparation	• Functional Requirement Specification Document. • Software Requirements and Specifications Document • Data Migration Plan	T+5 weeks

Stage	Activities	Deliverables	Timelines
Design	• Detailed Software Solution Architecture design • Detailed Hardware Solution Architecture Design • Data Schema design • User Interface Design • Integration & Interfaces Design • Prototyping design Validation • Documentation	• Design Specifications Documents of Software solutions • Design Specifications Documents of Hardware solutions • User Interface Design Specifications • Integration Design Specifications • Data design and migration	Between T+6 weeks to T+12 weeks
Development	• Software installation, configuration, and customization • Hardware installation and configuration • Development • Unit Testing • Documentation	• Development Plan • Updated Design Document • Installed software and hardware • Functional modules & Portal Solution • Problem reporting	Between T+10 weeks to T+16 weeks
Testing	• System Testing • Integration Testing • Stress Testing • User Acceptance Test Results • Completed Test Cases • Data Migration tests • Documentation	• Complete Test Cases • Test Plan • User Acceptance Criteria • Problem reporting • Problem resolution testing • Data Migration Testing	Between T+16 weeks to T+18.5 weeks

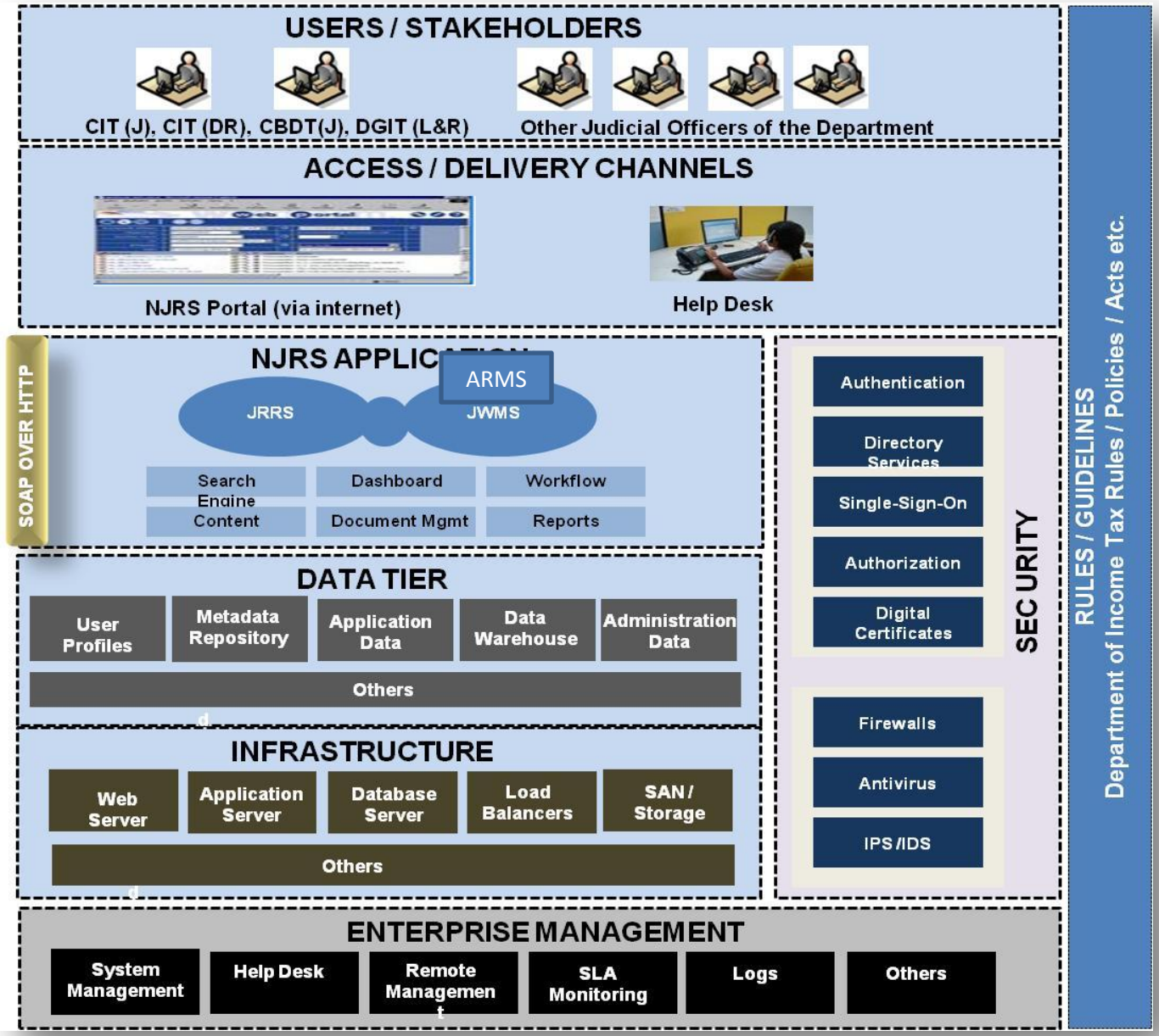
Stage	Activities	Deliverables	Timelines
Implementation	• Documentation • Training courses and sessions • Operations Planning	• System User Manual & Technical Manual • Knowledge Transfer and training plan • Training Manual & eLearning packages • Operations Plan • Operations Policies and Procedures • Go Live Report	Between T+17 weeks to T+19 weeks
Helpdesk	• Helpdesk operations. • Preparation of FAQs.	• Report on establishment of Helpdesk infrastructure outlining details of Help desk infrastructure deployed, Helpdesk staff / contact details, Helpdesk service delivery processes etc. • FAQs.	T+19 weeks
Operation & Maintenance	• Operation & maintenance of the entire NJRS system	• Delivery of services. • Periodic SLA performance reports • Periodic progress reports. • Payment reconciliation reports	After Go-Live

9 INDICATIVE SOLUTION ARCHITECTURE

The indicative solution architecture of the NJRS system is provided below. The main focus of the Department is to ensure the setup and operation of a comprehensive, updated and current NJRS system and its components and the effective operation and management of the same as per the requirements of the Department and the Service Level Agreement (SLA).

9.1 Conceptual Architecture of NJRS

The key aspects of NJRS solution architecture as depicted in the exhibit below and include:



9.2 Stakeholders

9.2.1 Users

The users of NJRS would be the Department officials &the Public. These users have been further categorized based on the two broad components of NJRS i.e. JRRS & ARMS, the details of which are given below:

a. ***JRRS Users:*** All the officials of Department. The number of users would be about 7500 initially and could increase up to 15000.

b. ***ARMS Users:*** include the following:

- Officers of the DGIT (L&R), the Commissioners of Income Tax (Judicial), the Departmental representatives at ITAT, and the standing counsels would be actively involved in the NJRS processes
- Other users of the Department would be using the system for viewing the status and tracking of the appeals. Role based privileges can be allowed to various departmental users for updating of data/documents although the updation of content on NJRS shall remain the responsibility of the IA.
- Taxpayers/Public – limited information such as the case status is to be made available in NJRS for the benefit of the taxpayers.

9.2.2 Data Sources

It is expected that the following users would also be data sources for the NJRS System:

1. CIT (J): Officials of CIT (Judicial). There are 4 offices of CIT (J).
2. CIT (DR): There are a total of 27 offices of CIT (DR).
3. Directorate General of Income Tax(Legal &Research)
4. CBDT
5. IT applications of the ITAT
6. IT applications of the High Courts
7. IT applications of the Supreme Court
8. IT applications of the Income Tax Department

9.2.3 Access Channels

The NJRS portal application would be accessed over the internet. Integration with TAXNET would be considered later in consultation with the Directorate of Systems. However, NJRS should be designed such that integration with TAXNET could be easily done. The access to the portal would be provided to the users of the department registered in the user directory of the department. The users would be assigned roles and access rights over the contents of the system by the administrator.

The system should be designed to incorporate authentication of the user using Digital Signature Certificates (such as PKI with X.509 certificates) along with username / password.

The portal would provide single sign-on capabilities for a user to log in once and be able to access all the functions/features of NJRS based on the rights assigned. Users of existing ITD systems would be able to access the NJRS application without the need to enter login password again as per the privileges assigned to the user in NJRS application. Existing efiling system users/taxpayers would be able to view their appeal status/data from NJRS with this single sign on facility.

9.3 NJRS Application: Presentation Layer

The presentation layer of NJRS is a browser-based application and would function as the single entry point to the underlying business application. The presentation layer will determine the role of the individual who is accessing the application and the rights they have once they enter the NJRS application environment. As part of this process, the service will perform all the required security authentication and authorization such as username/ password validation, CAPCHAs, digital signature verification (when required) to ensure that only valid users can access the application. The portal would be accessed using any latest version of the standard web browsers and should be tested on at least MS Internet Explorer, Firefox, Opera and Google Chrome. The IA should ensure that the presentation tier is high performance and scalable.

9.4 NJRS Application: Business Logic /Application Layer

This layer would handle the most complex and fundamental aspects of the NJRS portal solution. The business logic will include the business rules and workflow required to deliver the services accessed through the portal. This set of rules and logic will be defined within the NJRS applications (i.e. JRRS & ARMS).

IA should design the NJRS application such that access to NJRS would be restricted to the departmental users only except for limited information made available for the consumption of taxpayers relating to appeals.

9.5 Data Tier

This layer of the NJRS portal solution would be the data store for the entire system and will house the centralized database for all the relevant functions of the entire system. This would act as the ‘single source of information’ with respect to the:

- Judgments passed by ITATs, HCs & SC.
- Appeals filed by the Department & the Assesses and their associated information
- Statutory enactments, Circulars etc. of the Department

9.6 NJRS Search Engine

The NJRS application has a critical dependence on the search component of the solution. It may well be stated that ability to search and retrieve the relevant data and presentation of the same in highly effective user interface is the key of the NJRS solution. The IA shall provide an efficient search interface for the NJRS solution which shall handle both structured and unstructured data, data transformation, tokenization, synonym support and other capabilities of an enterprise class search engine.

9.7 Security Layer

The Security layer of the application provides Identification, Authentication, Authorization and Access Control for all the users of NJRS portal solution. Security layer also facilitates Administration which is the process of establishing, managing, and maintaining security. Every user will access the NJRS portal Solution through the security layer. The security layer shall integrate with 'Single-sign-on' and user directory and shall provide mechanisms for username/password validation, digital signature support, directory integration and role based authentication for ARMS. Both the ARMS and JRRS shall have a single authentication and the system should not require users to re-login to get access when the valid users move between systems.

9.8 Infrastructure Layer

The infrastructure layer shall provide the Data Center, DR Center and Central data processing services. Details on the Infrastructure layer are provided in the Deployment Architecture section. The IA is expected to hire/rent/lease the necessary infrastructure space and/or equipment to provide services. The Infrastructure layer shall consist of Data Center, Disaster Recovery Center, RSC and the Central Data Processing Center. The IA shall setup, procure and manage the infrastructure at the RSCand DGIT (L&R) office.

9.9 Governance Strategic Control

Governance ensures the management of the entire life cycle (conceptualization, development, pre-release and maintenance) of the proposed System. This layer is responsible for prioritizing which high value services should be implemented for each layer in the architecture and provides a rationalization based on how the service satisfies a business goal. This layer is responsible to enforce design and run-time polices that the services should implement and confirm.

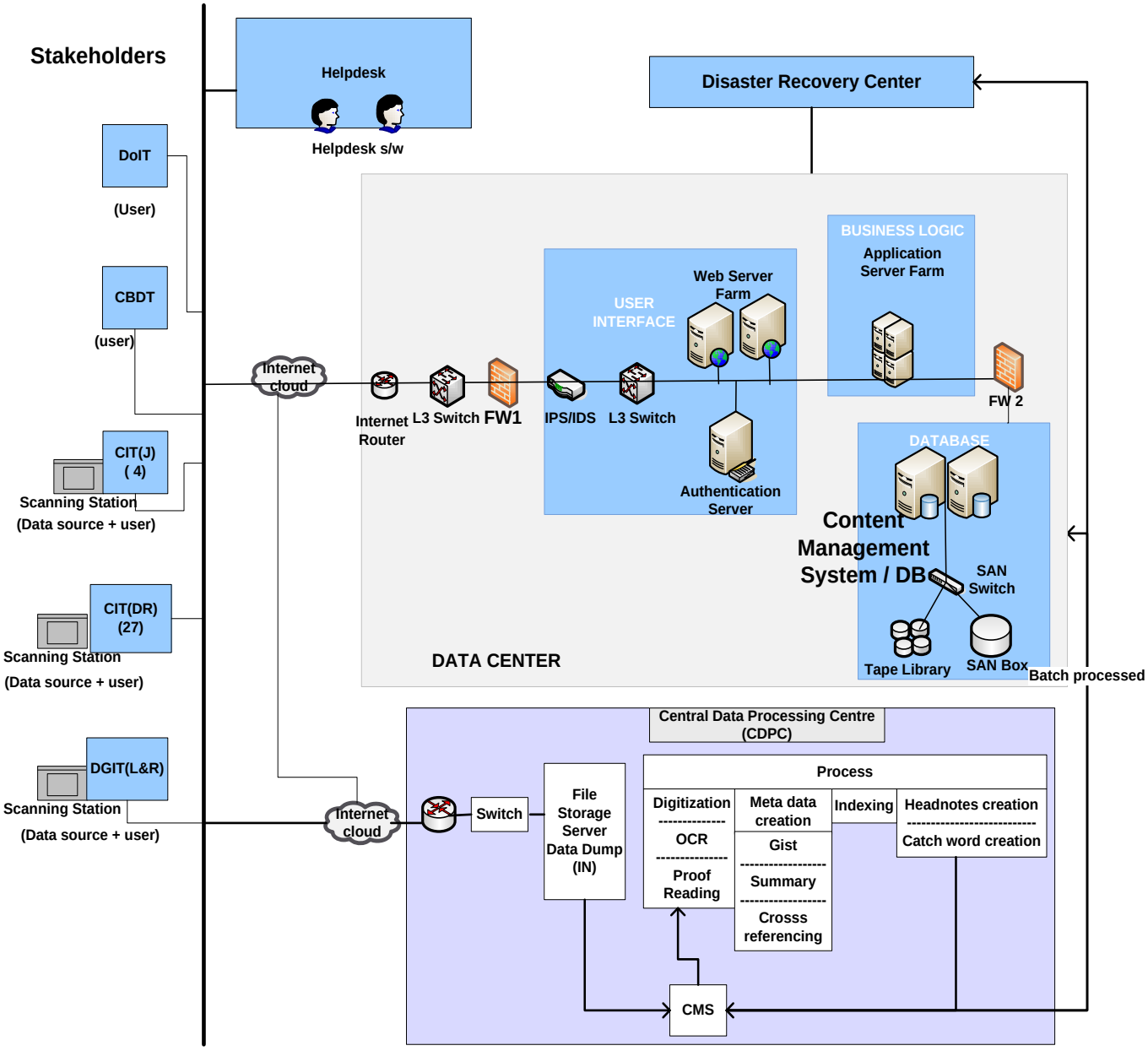
9.10 Enterprise Management &Monitoring Services

NJRS portal solution would employ monitoring services/tools to identify issues pertaining to performance, transaction and security. The monitoring service would help in analyzing the root cause of the problem which would facilitate in taking appropriate corrective measures. Monitoring services would also include monitoring and management of the development deliverables during the implementation phase pre go-live and monitoring of the SLA post go live. The IA must ensure that all the SLA parameters are monitored/ incorporated into the EMS system and the SLA shall be measured through the output of the EMS system.

Creation of standardized or ad-hoc reports, system management & logs for problem resolution, Help Desk Setup and support also form part of the monitoring and management services.

9.11 **Solution Deployment Architecture**

Centralized three-tier deployment architecture is proposed for the NJRS Portal Solution. The architecture would provide ease of up gradation of any of the tiers with minimal impact on the other tiers. The componentized solution deployment architecture of NJRS is provided below:



10 FUNCTIONAL REQUIREMENTS

The functional requirements specifications for the NJRS Systems are provided in **Annexure IX.**

11 TECHNICAL REQUIREMENTS

- The indicative specifications for hardware & software for various offices is provided in **Annexure III.**
- The indicative requirements for CMS is provided in **Annexure IV**
- The indicative requirements of Data Center& DR Center is provided in **Annexure V**
- The indicative requirements of key components is provided in **Annexure VI**

Annexures

1. Annexure I: Locations for Regional Scanning Centers (RSCs)

S.No.	Office Name	Location
1.	Director General of Income Tax (L&R)	New Delhi
S.No.		
1.		
2.		
3.		
4.		
Location of CIT (DR) Offices		
SRL	ZONE	BENCH
1	MUMBAI	MUMBAI
2		NAGPUR
3		PUNE
4		PANAJI
5	DELHI	DELHI
6		AGRA
7		BILASPUR
8	CHENNAI	CHENNAI
9	BANGALORE	BANGALORE
10		COCHIN
11	KOLKATA	KOLKATA
12		PATNA
13		CUTTACK
14		GUWAHATI
15		RANCHI
16	AHMEDABAD	AHMEDABAD
17		RAJKOT
18		INDORE

S.No.	Office Name	Location
19	HYDERABAD	HYDERABAD
20		VISAKHAPATNAM
21	CHANDIGARH	CHANDIGARH
22		JAIPUR
23		JODHPUR
24		AMRITSAR
25	LUCKNOW	LUCKNOW
26		ALLAHABAD
27		JABALPUR

2. Annexure II: Locations of Training Centers

S. No.	Training Centre
1	DTRTI, Ahmadabad
2	DTRTI, Bangalore
3	DTRTI, Chandigarh
4	DTRTI, Chennai
5	DTRTI, Kolkata
6	DTRTI, Lucknow
7	DTRTI, Mumbai

3. Annexure III: Indicative Specifications of Hardware & Software to be installed at the Regional Scanning Centers

The IA shall be provided with suitable space for setting up the Regional Scanning Centers. The IA shall install, commission, man, operate and manage the infrastructure for scanning, processing and uploading of documents to the CDPC.

Periodicity & volume of the data collection at the manned counters set up by IA shall be monitored based on reports generated by IA at least 2 days per week on Monday and Thursday. The IA may increase the periodicity as and when required. The personnel at the manned counters shall also sign attendance registers and logging information shall be recorded with timestamps. The data collection shall be the responsibility of IA.

Software Requirements

The IA is required to build and commission centralized time-stamping software for collection of the documents and to enable measurements of response time as per the SLA. The indicative process for collection and response is given below:

i. The IA's personnel manning the data collection counters at the various locations would sign an attendance register.
ii. The Officers at the various locations would provide the documents to be scanned for upload to the personnel manning the centers.
iii. As per the SOP, all documents provided would be recorded with details and a signature taken by the submitting officer along with time of the submission.
iv. Personnel would receive the document and log the time of the receipt through the time-stamping application and fill in the details of submitting officer and time of submission.
v. Documents would be scanned and uploaded to the CDPC with a unique document identification number.
vi. CDPC would process the documents as per the SLA and push the same on to the Content Management Systems of DC making the documents available for users and the time stamp would be logged for the same.
vii. Upon completion of the Head Notes the same shall be linked to the uploaded document and the time stamp would be logged again.

The time stamping would be used to measure the SLA metrics for document submission by departments, scanning, digitization, processing and uploading.

Networking Requirements

The IA shall procure and install at least one (1) Mbps internet connectivity for uploading documents from the various locations to the CDPC.

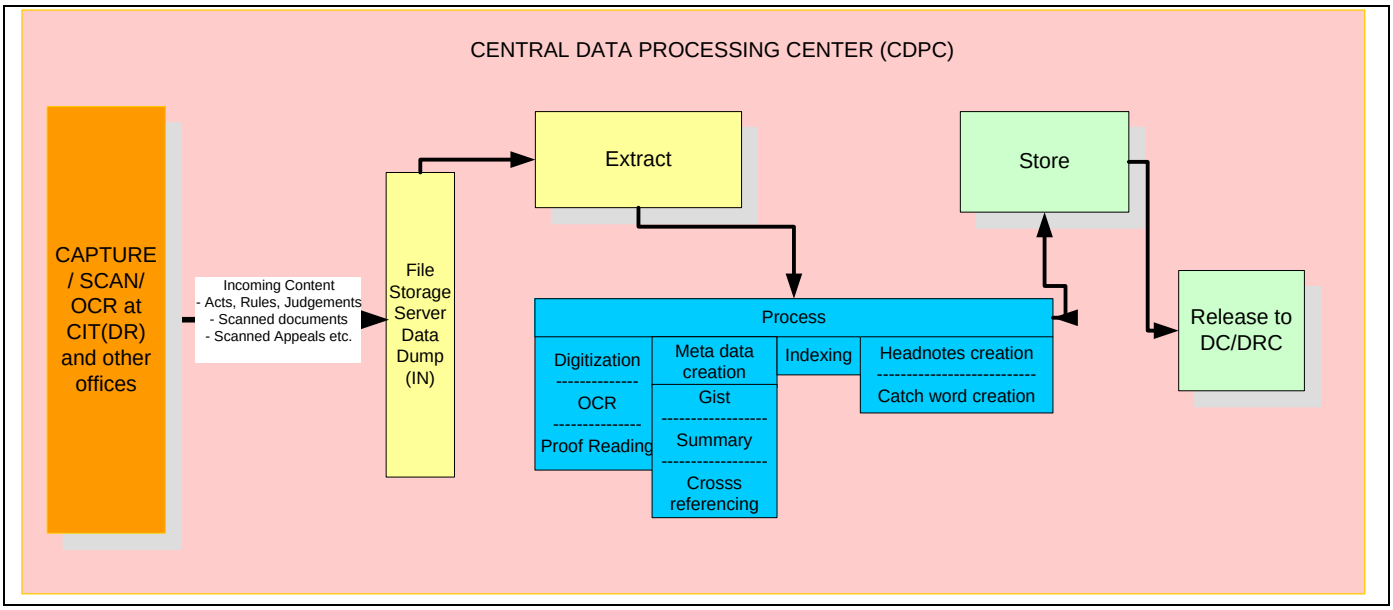
Hardware Requirements

The IA shall install at least one desktop and a multi-functional device to be used for scanning and uploading of documents. Please refer to **Annexure VI** for specification of key components.

4. Annexure IV: Indicative Requirements for Content Management System & Search Engine

The IA is expected to implement the NJRS system through an enterprise class Content Management System (CMS) &Search Engine installed in the Data Center / DR Center/ CDPC and accessible to users and help desk personnel.

The CMS should allow for content capture, processing, storing, extending, archiving, releasing. The indicative content management process is illustrated in the figure below:



The CMS should provide for:

- The IA shall procure/ install and commission the Content Management System cum Search Engine from reputed vendors. The CMS cum Search Engine should fall in the leader quadrant of Gartner or other industry standard reports
- The CMS system procured by IA shall have warranty and support at least till the end of the contract period from software vendor
- The CMS shall have support for upgrades to the software till the end of the contract period
- The CMS shall not require special hardware for installation & operation and shall run on any standard support server from major server manufacturers

- The CMS shall allow for large number (100+) users to work on the system (for data input). The CMS shall be a centralized software system accessible over LAN or WAN
- The CMS should have provision for configuration to meet the requirements of NJRS and may support multiple views for multiple users
- The CMS procured by IA shall enable a document or a set of documents (case file) to go through multiple rounds of storage and processing as various stages are completed as depicted in the figure above
- The IA shall separate the development and production CMS environment
- The CMS shall allow for creation of meta-data, summary, headnotes, indexes, tagging, linking, support full text and itemized search
- CMS should integrate with devices such as printers, scanners, digitization equipment (OCR, HCR, ICR), image processing devices etc.
- CMS should integrate with storage mechanisms and file system structures so classifications and data or downloaded / uploaded correctly within the CMS
- CMS should capture documents converting to electronic form in a consistent structure and may include tagging for example a unique ID for each case file (appeals, judgment etc.). CMS should be able to capture process documents that are scanned and should support OCR/HCR/ICR processing.
- CMS should allow for image processing and cleanup of scanned documents including alignment, rotation, zooming, transposition etc.
- CMS should support forms processing either submitted through the system or handwritten/ printed / typed form
- CMS should provide for indexing and should allow for automatic and manual indexing
- CMS should provide for document management, collaboration, web content development and management and workflow
- CMS should allow version control, search, navigation, taxonomy creation and document Organizing documents
- Web content management component of CMS should support various standardized web interfaces / specifications (W3C) including HTML, XML, delivery, authorization, Web Services, SOAP etc.
- CMS should allow for other production and ad-hoc workflows to be built into the system
- CMS should allow for process tolls, sequential and simultaneous processing, reminders, deadlines, delegations and process monitoring and routing
- CMS store should allow for storage in file system, format conversions, databases, data warehouses and SANs. Both nearline and offline storage should be supported.

- CMS should support secure authentication mechanism, access controls, encryption, and user account management and should support directory services.
- CMS should support electronic signatures, PKI, watermarking
- CMS access and security shall integrate with enterprise / Data Center & Platform Security mechanism
- CMS should allow for web content distribution
- CMS should allow for email content distribution
- The CMS should allow converting content to display on the World Wide Web. In effect, the CMS should allow, augment, integrate with a Web Content Management System. The requirements for the Web Content Management System are given below:

    - Versioning :Shall have in built version management system
    - Multiple platform : Shall support multiple databases and platforms including the latest platforms
    - Access Control: WCMS shall provide integrated access control
    - Scalability: Shall allow single site across multiple domains and shall be able to work on a virtualized environment for hosting
    - Editablity/ Editors: Shall have a WYSIWYG editorial interface to the content or support an external WYSIWYG editor
    - Templates: Create standard output templates (usually HTML and XML) that can be automatically applied to new and existing content, allowing the appearance of all content to be changed from one central place.
    - Modularity/Plugins: Shall allow for plugins and modules for extensions
    - W3C Compliant: Shall stay update to current W3C standards
    - Workflow management: WCMS shall support work flow automation
    - Collaboration: Shall allowing content to be retrieved and worked on by one or many authorized users. Changes can be tracked and authorized for publication or ignored reverting to old versions.
    - Delegation: Shall allow for delegation of development activity
    - Document management: Shall allow for document management capabilities
    - Content virtualization: CMS software shall provide a means of allowing each user to work within a virtual copy of the entire Web site, document set, and/or code base.
    - Content syndication: Shall support content syndication
    - Multilingual: Ability to display content in multiple languages.

5. Annexure V: Indicative Requirements for Data Center & DR Center

The IA is expected to hire/ lease/ rent the Data Center &DR Center space to host the NJRS system. The specifications of DC/DR Center components are thus not provided in detail; so as to enable the bidder to make his own estimate. The Department is interested in provision of services of NJRS including the functional and non-functional requirements to meet the objectives of the SLA and it is assumed that majority of the components would already be installed in a commercial data center (Tier 3 or above) including equipment. For indicative purpose a sample list of components is provided below followed by high level indicative specifications.

(The list of equipment shall be furnished by the IA to the Department before the installation of application at the Data Center. The IA shall ensure that availability, security, scalability and SLA requirements of the project are met during the contract period and shall scale the necessary equipment to achieve the same.)

Item Description
Blade Enclosure (Chassis)
Web Servers
Application Servers
Content Management / Document Management System / Database Servers
Staging Server
Enterprise Management System Server
AD and DNS Server
Archival Solution (including the Archival Server)
Antivirus Solution (including the Antivirus Server)
Backup Solution (including the Backup Software)
SAN Storage with SAN Management Software
SAN Switches

Tape Library
Application Switches
Firewalls
Server Load Balancer
Host Based Intrusion Prevention System
LAN Cabling
Network Rack
Server Racks
KVM Switches
Database licenses
Database Clustering S/W License
Operating Systems
Enterprise Management system

i. Architecture Requirements

The key architectural goals & requirements of the Data Centre for NJRS are:

a. **Availability:** All the components of the data centre must provide redundancy appropriately to ensure high availability of the NJRS application and related services.
b. **Scalability:** All components of the data centre must support scaling to provide continuous growth to meet user demand and requirements of the Department Government departments / Client.
c. **Security:** The data centre must provide an end-to-end security model that protects applications, services, data and the infrastructure from malicious attacks or theft from external (through internet) and internal (through intranet) users.
d. **Manageability:** Ease of configuration, ongoing health monitoring, and failure detection are vital to the goals of high-availability, scalability, and security and must be able to match the growing requirements and demands of the departments.
e. **SLA:** The primary goal is to architect the system and manage the same to meet the requirements of the SLA.

ii. Disaster Recovery Centre

Some of the specific requirements for Disaster Recovery services for the proposed NJRS are given below:

a. The DR site should be designed as the backup (mirror) site to the production site
b. The DR Site needs to deploy the entire Application solution for the NJRS.
c. The DR Site needs to ensure that it supports a degraded performance of 50% of that prescribed for the Primary site under the SLA terms.
d. The deployment solution offered by the Agency needs to ensure that the DR Site is kept current with the latest version of the Application builds, and all solution components. IA shall ensure that the data replicated at the DR is updated on regular intervals.

Note: The cities for locating / hiring data center and disaster recovery center shall be in two different seismic zones and shall be finalized in consultation with and on approval of the Department. Preferably, Data centre should be located in a commercial data center (Tier 3 or above) in Delhi and disaster recovery center can be located in any other city in India.

iii. Server Requirements

iv. Content Management / Database Server

a. Should support various industry standard platforms such as MS Windows 2000/XP/2003, IBM AIX, UNIX, LINUX etc.
b. Should provide the solution of storing data types, like ASCII, Hexadecimal, Binary, etc.
c. Should provide high availability and should provide a cost effective option of automatically synchronizing the transaction logs to disaster site, which in case of fail over the other node provides the availability of all data.
d. Should be capable of doing the partial recovery when some of the data is lost.
e. Should support Schemas, Roles Based Privileges & Authentication
f. Should provide various Security features like Encryption on Wire, data level encryption and Auditing controls.
g. Centrally Monitored & Browser Based GUI Administration Tool should be available with the RDBMS to Create, Delete & Manipulate different Database Objects and also Schedule Queries priorities centrally.
h. Should provide integrated no-cost tools for analyzing SQLs, managing, monitoring, maintaining and administering the database.
i. Should have tools integrated within to make data available on web without much Programming & must be capable of executing compiled code from within the database engine.

v. Application Server

a. Should be a commercially available and supported version from the leaders/ challengers quadrant in Gartner or other similar report

b. Should be designed to be in high-availability mode with no single points of failure.
c. Should be enterprise class products from reputed OEMs with appropriate certifications.
d. Should provide an enhanced Application Server Toolkit to provide basic support for the creation of new applications targeting Application Server.
e. Should also have load balancing and failover capabilities.
f. Should support rapid development and deployment.
g. Should have Web Services Support
h. Should provide Web services gateway
i. Should support broad cross-platform support – Windows 2003/Linux, AIX, Solaris, HP-UX, UNIX etc.
j. Should support enhanced workload management, and dynamic caching and performance management tools, including load balancing components that distribute workload across multiple servers through sophisticated load balancing and clustering capabilities.

vi. Data and Information Security Requirements

The IA shall implement an Information Security Management System (ISMS) based on the principles espoused in the ISO 270001 standard. The key requirement is to meet the ISO 27001 security standards. The same shall be assessed during Audit & Certification process.

A well defined security policy shall be designed for high security in all aspects as it would handle sensitive information and data related to NJRS. Security design should provide for a well-designed identity management system, security of physical and digital assets, data and network security, backup and recovery and disaster recovery system.

The solution must have adequate checks and balances built into the solution and its process to ensure that the users can not breach the security of the system. The solution should maintain an audit trail of all the transactions and all entries into the system. The security components to be used shall include: Identification, Authentication, Authorization, Role Based Access Control etc.

The security policy will include the business rules for protecting information and the systems which store and process the information. These policies will be documented and provides a high-level description of the various controls.

Provide the security requirements for the following categories:

vii. Information Classification & Security

Information within the system should be classified as Public, Confidential &Restricted. Access to the information should be provided based on the classification of the information. Data owners would nominate appropriate information classification on their data and should

review information classification periodically to determine if current classification levels are valid.

viii. Application Security

The solution will provide high security and will be based on a platform that will grow with additional application deployment and scales as user traffic grows, while providing the highest level of reliability is required. Access to application, its services will be restricted to authorized users. The security solution will resist attempts by users to bypass security controls. The security controls will be at data input & output validation level, data process levels and access of source libraries. Some of the security features are:

a. Ability to securely store critical data and user related databases so that database administrators or any unauthorized users do not have access to such items as passwords and other critical documents of any oration.
b. Providing for session settings such as idle or max session timeouts, concurrent sessions and other session control settings.
c. Inspecting all traffic to all services / pages being protected by the solution. All access attempts to the web server / application shall be intercepted and examined for authentication and authorization requirements.
d. Validating & encoding the incoming data / user request
e. Utilizing parameterized queries

ix. Database Security

The Database used in solution will provide high security and will be based on a platform that will grow with additional database deployment and scales as user traffic grows, while providing the highest level of reliability is required. Access to database, its services will be restricted to authorized users. The security solution will resist attempts by users to bypass security controls. The security controls will be at data input & output validation level, data process levels and access of database libraries. DB security enables database and system administrators, security administrators, auditors and operators to track and analyze any database activity including access and usage, data creation, change or deletion.

x. Physical and Environmental Security

All infrastructure equipment related to Information processing would be placed in secured zone. Such areas must be physically protected from unauthorized access, damage and interference. The areas to be protected include the Information System area at Data Center & DR Centre, tape library, tapes, disks and, off-site backup file storage facility, communication closet, power sources and networks. They must be located in secure areas and protected by a defined security perimeter with appropriate entry controls.

The physical security includes:

a. Securing the environmental controls
b. Securing access to Information Systems and other secure area
c. Securing the premises from visitors and third parties
d. Securing Information Storage Media

xi. Network Security

Network security provides the controlled access to the critical applications, data, and other resources, while at the same time securing all elements of the NJRS project i.e. systems, applications, and users across the networks. It controls the vulnerability of networks to attacks by hackers, malware as well as by internal employees. Proper network management controls will be established in order to protect networks from exposures.

In order to achieve the high level network security, Intrusion Prevention / Intrusion Detection System, Fire wall at perimeter and internet server zones will be deployed.

xii. Authorization and Access Control

The system shall provide two layers of access control over the creation / modification of user profiles. The access should be on a role basis rather than designation. The access control policy should cover:

a. Identification
b. Authentication
c. Authorization and Access Control
d. Administration
e. Audit

The IA will have to maintain strict Privacy and confidentiality of all the data it/its staff gets access to. Adequate provisions are to be made which do not allow unrestricted access to the data.

The system should be capable of enforcing the password policy:

a. Minimum number of characters.
b. Alphanumeric strings
c. Expiry after a certain period
d. Changeable by the administrator and user

6. Annexure VI: Indicative Specifications of Key Components

The prospective bidder is advised that he shall estimate the specifications on his own based on the information provided in this RFP and the primary requirement is to meet the Service Level Agreement (SLA). The prospective bidder is required to understand that the following specifications are indicative only and the responsibility of sizing/ re-sizing the components is the IA's responsibility to meet the requirements of the SLA.

Desktop

Feature	Specifications
CPU	Minimum Intel core i3 540series @ 3.06 GHz, or AMD Equivalent
Chipset	OEM Chipset supporting 1333 MHz FSB or equivalent
Motherboard	OEM Motherboard
Memory	4 GB DDR 3 (2GB x 2 nos.) & Expandable with 2 free slots
Hard Disk	320 GB SATA, Hard Drive, 7200 RPM
Optical Drive	DVD Writer
LAN	Integrated Gigabit Network Connection
Ports	6 USB (4 rear + 2 front), serial port, PS 2 ports, VGA, ,
Monitor	17" LCD wide monitor: Resolution : (1024x768)
Keyboard	USB 104 /107 keys OEM keyboard
Audio	Audio card on –board with internal speakers
Mouse	USB 2 button optical scroll mouse with pad
Operating Systems	Pre Installed Microsoft Windows 7 –Prof (64 bit) with all service packs
Certifications	Win Logo for windows & Linux certification Energy Star qualified & Power Management, UL certificate
Office automation software	Open office 2007 to be preloaded
Warranty	3 Years Comprehensive on site (Note: Old hard disk, when failed will not returned during the warranty period)

Multi-Functional Devices

Sl. No	Feature Description	Specifications
1	Technology	Digital
2	Copy Speed (PPM)	18 PPM (print & Copy)
3	Memory	64 MB
4	Scanner	Colour scanning
5	Scan File Formats	BMP, TIFF, PDF
6	Print Speed	24 PPM
7	Size	A4
8	Paper Capacity (Trays)	150 Sheet Tray
9	Warranty	3 years comprehensive
10	Ports	Hi Speed USB port

Server Specifications for CDPC

Component	Specification
Processor	Intel Xeon Quad Core X3430 Processor (2.4GHz, 8 MB L3 Cache, 2.5GTps 1066 MHz FSB or equivalent or Higher
Chipset	Intel 3400 Chipset or equivalent or Higher
Cache Memory	8 MB L3 Cache
Memory	4 GB DDR3 , Supporting upto 8 GB of Unbuffered DDR3 1066MHz ECC RAM
Storage Controller	6 SATA Ports with RAID 0/ 1/5/ 10
Hard Disk	500 GB SATA HDD

Internal Storage	Expandability – Maximum 2 TB SATA
Optical Drive	DVD Writer
Form Factor	ATX Tower
Monitor	18.5" TFT monitor wide; Resolution : 1366 x 768 @ 75 Hz, Aspect ratio- 16:9
Network Controller	Integrated dual Gigabit Ethernet controller
Slots	5 slots total, 2*32 bit PCI and 3*PCI express
Ports	1 Serial, 5 USB ports (3 x Rear & 2 x Front)
Keyboard	PS/2 107 Keys Mechanical Keyboard
Power Management	Screen blanking, hard disk and system idle mode in power on, set up password, power supply surge protected.
Power Supply	Min 400 Watts Power Supply
Mouse	PS/2 or USB Optical Scroll Mouse
Operating System	Windows 2008 Server Standard Edition
Certifications	Microsoft Windows Server 2008 Edition (32 and 64 bit) Redhat Enterprise Linux 5.0
Industry Standard	ACPI Compliant PCI Compliant WOL Support
Antivirus Software	Symantec, McAfee, Entrust or equivalent Antivirus (Latest Version) with 3 year subscription
Warranty	3 years on site comprehensive
Security	

Indicative UPS Specifications for CDPC

- 3KVA single phase input and single phase output (60 Minutes)

General

- UPS without any workmanship defects, sharp edges, nicks, Scratches burs, etc.
- Enclosures conformance to protection requirement of IP2L1 to IS13947 (part1)/1993 (reaffirmed 1998).
- By-pass facility for maintenance of UPS.

- UPS supply output power and charging current at the same time.
- Switching device MOSFET or IGBT.
- Switching frequency above 10 KHz.
- KW rating of the UPS 0.80 times the KVA rating.

a. Input (as applicable)

- 160 TO 260 V , 50 +/-3%Hz SINGLE PHASE AC

b. Output (as applicable)

- 230V +/-1% (with alternative setting for 220V +/-1%) 50 +/-0.5Hz, single phase.

c. Total harmonics distortion at output: 2% maximum for UPS up to 5KVA and 3% maximum for UPS above 5 KVA on resistive load. If total input harmonics are less than or equal to 10%.

d. Efficiency (at rated output voltage and frequency)

Overall efficiency (minimum): 90%

e. UPS power factor at rated load: better than 0.9 lagging.

f. Over load: UPS able to withstand 20% overload for 10 minutes and 50% over load for one minute.

g. Protections :Following protection in UPS:

- Over voltage, short circuit, and overload at UPS output terminal.
- Under voltage at battery terminal.
- Over shoot and under shoot not greater than 4% of rated voltage for duration of 40m sec. (maximum)

h. Indicators and meters

  - Mains presence.
  - Battery charging and discharging
  - Output overload
  - Low battery voltage.

i. Digital meter for monitoring the following parameters in UPS(not applicable for rack mounting):

  - Input AC voltage.

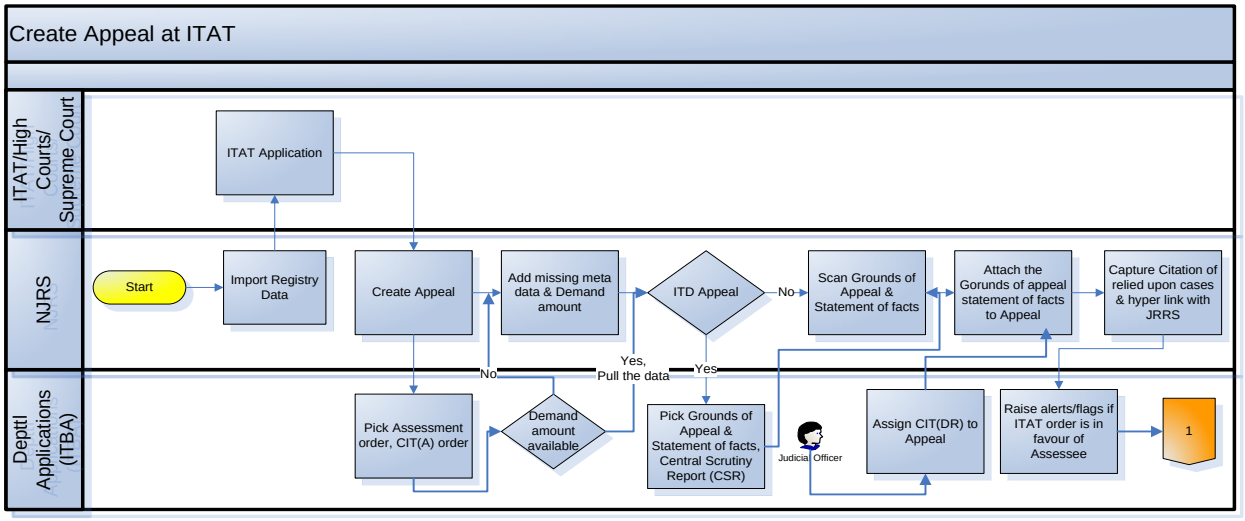
- Output AC Voltage, current and frequency
- Battery voltage and current.

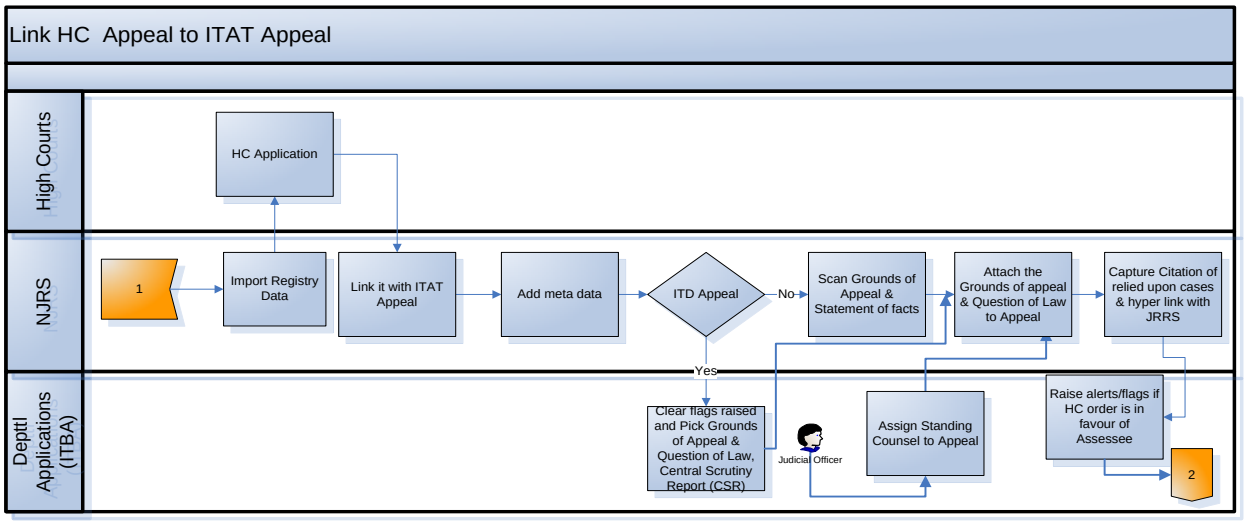
j. Battery bank:

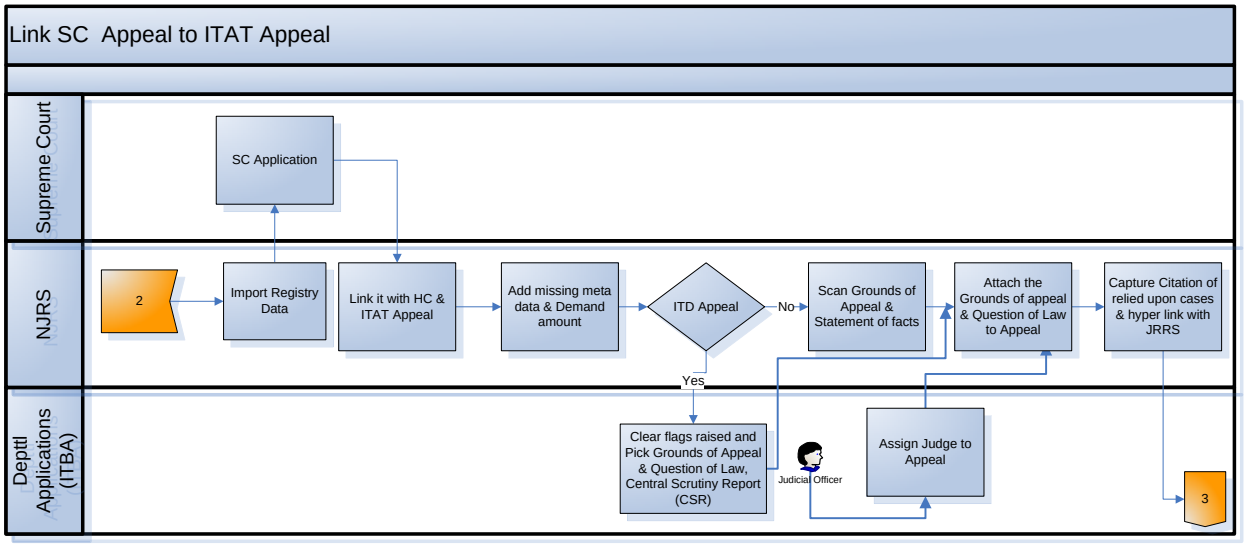
- SMF VRLA battery
- Battery 100 AH capacity, battery voltage 12 V DC, number of batteries of each rating to support one hour backup, make and model of batteries offered with each item of UPS.
- UPS with Trolley for battery stand
- Input/output wiring and installation of the UPS to make it functional is the sole responsibility of vendor

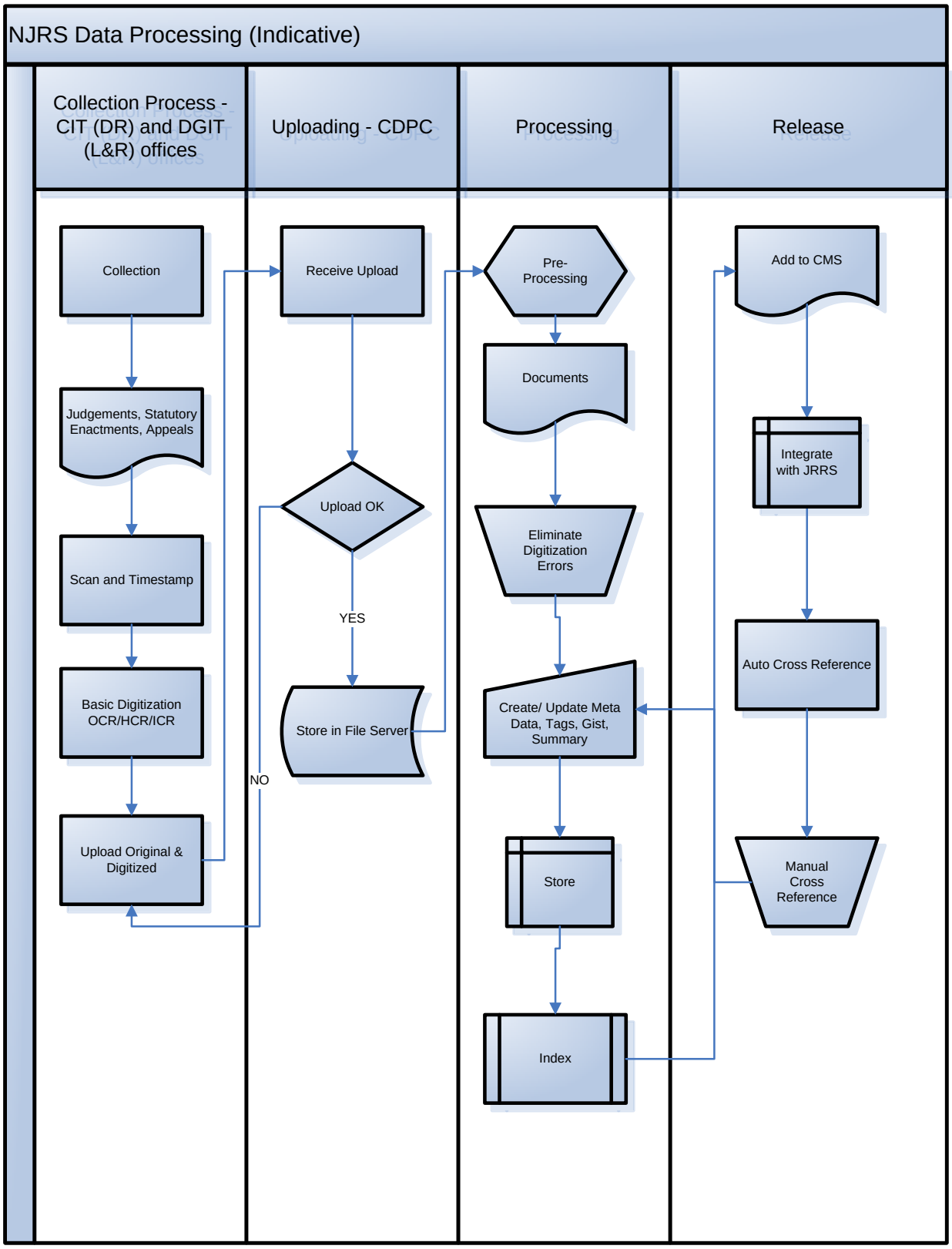
UPS for Scanning Centers: Bidder may choose any UPS to provide for 60 minutes of backup

7. Annexure VII: Indicative To-Be Process Workflows






Link SC Appeal to ITAT Appeal
Supreme Court
NJRS
Deptt Applications (ITBA)
SC Application
2
Import Registry Data
Link it with HC & ITAT Appeal
Add missing meta data & Demand amount
ITD Appeal
No
Yes
Scan Grounds of Appeal & Statement of facts
Attach the Grounds of appeal & Question of Law to Appeal
Capture Citation of relied upon cases & hyper link with JRRS
Clear flags raised and Pick Grounds of Appeal & Question of Law, Central Scrutiny Report (CSR)
Judicial Officer
Assign Judge to Appeal
3


NJRS Data Processing (Indicative)
Collection Process - CIT (DR) and DGIT (L&R) offices
Uploading - CDPC
Processing
Release
Collection
Judgements, Statutory Enactments, Appeals
Scan and Timestamp
Basic Digitization OCR/HCR/ICR
Upload Original & Digitized
Receive Upload
Upload OK
YES
NO
Store in File Server
Pre-Processing
Documents
Eliminate Digitization Errors
Create/ Update Meta Data, Tags, Gist, Summary
Store
Index
Add to CMS
Integrate with JRRS
Auto Cross Reference
Manual Cross Reference

8. Annexure VIII: Indicative list of documents for Digitization/scanning and Meta Data Format

For appeal to ITAT:

- relevant order of the Assessing Officer
- Grounds of Appeal to ITAT
- Statement of Fact to ITAT
- Grounds of Appeal taken before CIT (A)
- Statement of Fact to CIT (A)
- Memo of Appeal to ITAT
- Order of CIT (A)
- A certified copy of the order of the Commissioner directing that an appeal be preferred – for department appeals only
- A certificate signed by the Commissioner stating the date when the CIT (Appeals) order appealed against was communicated to him – for department appeals only
- Challan showing the payment of the prescribed fee as mentioned in sec.253 (6) – for assesse appeals only

Additional documents for appeals to High Court

- ITAT order
- Substantial question of law proposed by the department
- Certificate signed by the CIT stating the date on which the order is communicated to him

Additional documents for appeals to the Supreme Court

- Certificate signed by the CIT stating the date on which the certified copy of the HC order is made available
- Copy of Appeal Memo
- Copy of Standing Counsel's legal opinion
- Copy of Question of Law

Other documents

- Central Scrutiny Report
- Any other document supplied by the department

<u>Meta-Data Formats</u>

The department shall have the right to modify the Meta data. The IA shall define the final list of metadata elements to meet the functional requirements of the system. The indicative list is provided below:

For Cases in ITAT:	32. Name of the High Court
1. PAN No.	33. Name of the Judge(s)
2. Assessment year (A.Y.)	34. Issues Involved
3. Date of filing of Appeal	35. Status of Appeal (Allowed/ Partly allowed/ Dismissed/ Remanded back)
4. Reference no. of Appeal	36. Date of High Court Order
5. Appellant Type (Revenue/Taxpayer)	37. Citation of Order
6. Appellant Name	38. Gist of Decision
7. Respondent Name	39. Order accepted-Yes/No
8. CIT Charge	40. Tax effect of order
9. Disputed Demand	41. Reason for Acceptance-merits / low tax effect
10. Bench	***For Cases in Supreme Court***
11. CIT(DR)/Sr. DR	42. Date of approval for filing SLP by CBDT/Law Ministry
12. Relevant section of the IT Act/ other acts	43. Date of filing of SLP
13. Issue(s) involved	44. Whether SLP admitted Yes/No
14. Status of Appeal (Allowed/ Partly allowed/ Dismissed/ Remanded back)	45. Reasons for non-admission of SLP-(merits / condonation / others)
15. Dates of first/ Final hearing	46. Reference No. of SLP
16. Dates of ITAT's order	47. Name of the appellant before Supreme Court
17. Gist of Decision	48. Remarks
18. Citation of Order	

19. Dates of filing of Misc. Application (MA) if any 20. Date of Order of MA 21. Outcome of MA-Allowed/ Dismissed 22. Order Accepted Yes/No 23. Tax effect of order 24. Reasons for Acceptance - merits or low tax effect 25. Date of authorization for filing of appeal by CIT ***For Cases in High Court :*** 26. Date of filing of appeal in High Court 27. Whether appeal admitted in High Court 28. Reasons for non-admission of appeal - (merits/non condo nation/ others) 29. Reference No. of appeal filed in High Court 30. Name of the appellant before High Court 31. Remarks	49. Issues Involved 50. Status of Appeal (Allowed/ Partly allowed/ Dismissed/ Remanded back) 51. Name of the Judge(s) 52. Date of Supreme Court Order 53. Citation of Order 54. Gist of Decision 55. Tax effect of order 56. Remarks/ particulars of review petition if recommended

9. Annexure IX: Functional Requirements Specifications

The key functional requirements for creation of National Judicial Reference System (NJRS) are categorized as below:

Table 5: Functional Requirements Specifications for NJRS

S. No	Functional Requirements Specifications of NJRS
NJRS Portal Interface	
FR1	Should be accessible over the internet to authenticated users with necessary authorizations through standard web browsers including the most popular browsers. Should be compatible with the latest IE, Firefox, Chrome, and Opera.
FR2	Should provide User friendly Interface. Portal shall support users with disabilities and should be accessible by screen readers, client side CSS, captioning Shall have online help, FAQs, Computer Based Training/ Visualization through walkthroughs, videos etc. for users. Shall have the ability for end-users to provide online feedback. The feedback shall be simultaneously sent to the Project Director of the department and the Project Manager of the IA.
FR3	Should provide 'password renewal, expiry, security and authentication as required. It should support Single-Sign-On- authenticated users of ITBA/existing ITD system should be able to use the NJRS system without having to again submit their username and password
FR4	Should provide role based access to the system based on the mapped roles & rights of the users
FR5	Should act as a gateway to the underlying functionalities in JRRS & ARMS
FR6	Should provide access to the centralized database of the system through the user interface
	website should have a functionality similar to bulletin board where important

S. No	Functional Requirements Specifications of NJRS
	judgment or announcements from CBDT can be flashed
Judicial Research & Reference System (JRRS)	
	Data Management
FR7	Data creation
FR7.1	The system must be able to add orders/judgments to the repository that are obtained electronically by interfacing with ITAT/HC/SC systems or in electronic media like CD ROM's, or from websites or enable scan and digitization of judgments from documents ensuring quality when electronic copy is not available
FR7.2	The system should enable manual flagging of the requirement for headnote creation of identified orders/judgment by specified users of the department (e.g. CIT (DR)).
FR7.3	Should have the capability of capturing and populating the contents from applications like Ms Office word, Open office word, notepad, scanned documents etc. into the system
FR7.4	Should store each order/judgment with a unique identity number which may be alphanumeric based on a predefined logic
FR7.5	Should provide indexing of the order/judgments for faster retrieval
FR7.6	Should provide an interface for entering the metadata, head notes & the entire order/judgment and other multiple fields
FR7.7	Should provide entering and linking references to the judgments
FR7.8	Should provide hyperlinks and interface for creating and uploading all relevant statutory enactments viz. IT Act & Rules, Allied Laws, Circulars, Notifications, Instructions, DRP Judgments, Articles to legal issues, etc.

S. No	Functional Requirements Specifications of NJRS
FR7.9	The data entry fields in the system should provide for basic validations
FR7.10	Should have the appropriate workflow for digitization in case the orders/judgments are obtained by the IA in paper copies. The system should provide for automated processes to the extent possible to enable addition of the scanned judgments to repository with relevant metadata, keywords, linking to other documents, addition of head notes after undergoing review and quality control processes. The tracking of document across various stages from hard copy to repository addition, SLA measurement, defect logging and audit logging should also be automated
FR7.11	Should provide adequate levels of proof readings to check the quality of the data digitized
FR8	Retrieval of data
FR8.1	Search should be fast and comparable to the best as per industry standards
FR8.2	Should provide various search mode capabilities: Should provide attribute based search on system & user defined fields. Should enable integration with other search engines. Enable advanced search by enabling creation of customized queries on parameters captured in metadata/keywords like case number, keyword, section, issue, court, Year, CIT charge, case citation etc. Enable complex search operators like AND, OR and NOT as well as complex search terms over different criterion -e.g. Wildcard search; Full text search on the order/judgment and its gist/head-note; Thesaurus based search Should enable search refinements by narrowing the search results based on further inputs. Once a result set is obtained the user can click on the provided links to get the full text of the result source from the repository
FR8.3	Should enable users to save frequently used searches

S. No	Functional Requirements Specifications of NJRS
FR8.4	The Search algorithm of the system should be scalable so as to accommodate the future departmental requirements for extending search criteria/parameters
FR8.5	Search should provide the results in a user friendly interface with the use of various combinations of colors such as a different color for new judgments, the party in whose favor the judgment was given, one or two identifier lines on the search result, relevancy of the fetched result etc.
FR8.6	The system should allow sorting and filtering to display of the search results by the user on various parameters such as date of order/judgment, relevance, court, section etc.
FR8.7	The system should display judgments having forward and backward linkages to applied and referred judgments. Clicking on the links should display the linked document
FR8.8	Should have the capability of displaying the new Judgments of ITAT/HC/SC for the period of one month from the date of pronouncement. These judgments should be displayed as per the criteria spelt out below: • The display of these judgments should be categorized into judgments of ITAT, HC & SC respectively. • The judgements for the day should be displayed upfront with summarized details. • All other new judgments should be provided as a link (such as more new judgments) in the same section.
FR8.9	Should have the capability of displaying the list and digitized () form of the statutory enactments along with appropriate animations (such as scrolling text, flash etc.) wherever required.
ARMS Requirements	
	Data Management
FR9	Creation of Data

S. No	Functional Requirements Specifications of NJRS
FR9.1	Should be capable of maintaining the logs of the documents being received
FR9.2	Should have the capability of capturing and populating the contents from ITAT, High Court & Supreme Court applications into the system
FR9.3	Should store each appeal with a unique ID which could be alphanumeric as per a defined logic and associated meta data as stated in **Annexure 8**for tracking the appeal and the related documents.
FR9.4	Should have the capability of scanning the documents and storing them in the system in an orderly manner
FR9.5	Should have the capability of optimizing the quality of the scanned document.
FR9.6	Should be capable of handing bulk scanning at RSCs and bulk uploading of the documents from the RSCs to the central database at the Data Centre
FR9.7	Should provide the interface with appropriate fields for capturing the required data from the appeal & related documents
FR9.8	Should provide capability of entering the gist of the appeal and its referencing with the document location in the repository.
FR9.9	Should provide the departmental users the ability to view the documents together with the related data entered into the system for easy comparison
FR9.10	Should provide an interface for the departmental users to upload documents related to the appeals
FR9.11	Should provide a Knowledge bank/ library in which Media reports, books, publications could be uploaded & shared by ARMS users.
FR10	Workflow
FR10.1	Should provide designed workflow and document management capabilities to the

S. No	Functional Requirements Specifications of NJRS
	users of DGIT (L&R) and the judicial officers of the departments based on their rights
FR10.2	Should provide an interface for the authorized departmental users to enter the reasons if any for not pursuing the appeal.
FR10.3	Should provide the authorized users to enter comments / noting on the appeal.
FR10.4	Should update the status of appeal automatically once the remarks of one user gets submitted
FR10.5	Should be able to route the documents through a multi-level hierarchy for authorization
FR10.6	Should provide the user the capability of delegating the authorization to the second level in command or others
FR10.4	Should have the appropriate workflow for digitization of paper copies of appeal documents. The system should provide for automated processes to the extent possible to enable addition of the scanned documents to the repository with relevant metadata, keywords, linking to other documents, after undergoing review and quality control processes. The tracking of document across various stages from hard copy to repository addition, SLA measurement, defect logging and audit logging should also be automated
FR11	Retrieval of data
FR11.1	Provide search on the metadata or indexes and gist note prepared on the document. The search should also be capable of displaying the link to the scanned document.
FR11.2	Should provide search on parameters viz. issue, section, Act, PAN, disputed demand, etc
FR11.2	Search should provide user friendly results with the use of various combinations of colors such as a different color for new appeals etc.

S. No	Functional Requirements Specifications of NJRS
FR11.3	Should provide the capability of viewing and tracking the status of the appeal
FR11.3	The system should suggest decided cases from the JRRS repository when a pending appeal is viewed.
FR12	Additional Functionalities
FR12.1	Should provide Online customizable dashboard capabilities to the users
FR12.2	System should populate hearing date to appeal cases by fetching ***cause list*** from the ITAT/HC/SC registries and set up reminders for user(s) concerned
FR12.3	Providing interface for addition of information relating to bench/counsel/CIT (DR) allocated to a case, addition of notes on cases, date of hearing, setting alerts and updates to the appeals. The user should also be able to attach documents to appeals.
FR12.4	System should be able to automatically track the status of appeals
FR12.5	System should have automated alert generation capabilities –reminders (e.g. for hearing) based on deadlines/timelines for taking action on appeals as per appeals process and any other reminder set up by the user. Should provide automated email and/or sms reminders for the appeals pending for predefined time intervals as stated in annexure 8.
FR12.6	System should allow addition maintenance of record of all adjournments and the reasons thereof by the DR on the system
FR12.7	The system should be able to close an appeal and fetch data based on the order/judgment imported from the court websites.
FR12.8	The system should allow the addition of relevant information i.e. date of pronouncement of the order, nature of order (allowed or partly allowed etc.)

S. No	Functional Requirements Specifications of NJRS
	date of dispatch to different parties and dispatch number after the appeal is disposed
FR12.9	The system should provide Business Analytics - Predefined Reports (amount wise, region wise, Standing Counsel wise, issue wise, section wise etc), customized report generation and intelligent trend analysis
FR12.10	The system should be able to integrate and share data/documents to the ITBA system (fetch appeals related data/documents from ITD systems/ITBA and send appeals data from repository to ITBA)
FR12.11	PAN number for the displayed appeals should be a link. Clicking on this link should fetch data about the PAN holder from the PAN database of the existing ITD system
	Integration of ARMS& JRRS
FR13	The system should provide an integrated view of JRRS & ARMS wherein the user who has access to both the functionalities of NJRS can view them when logged into NJRS
FR14	Judgments should be hyperlinked with appeals in the appeals repository (ARMS) and other statutory legal documents referred in the judgments. Clicking on the links should display the linked appeal/legal document
FR15	Allow the users to search on JRRS database while working on the ARMS application.
User Administration	
FR16	Should provide the ability for creation, updation and deletion of users by the authorized user
FR17	Should provide the ability to the administrator or the authorized user to grant / revoke / delegate access to users
FR18	Should be capable of monitoring the user access

S. No	Functional Requirements Specifications of NJRS
FR19	Should maintain audit trail of all modifications to the repositories
MIS & Dashboards	
FR20	The System should provide an interface to obtain periodical transaction history, summary and detailed reports. The users should be able to generate the MIS reports online. (The reports should be in line with the stakeholder requirements) Provide useful MIS such as: • PAN number based Judicial history • Issue based • Assessment officer based • Jurisdiction based • Geographical distribution of Appeals • Section based
FR21	Along with dynamic report generation, the system should have the capability of adding and running customized MIS reports. Reports to be provided in different formats (CSV, MDB, RTF, HTML) for result sets of a given search query. Users of the system can use this facility to save or print result sets of various queries performed on the system
FR22	The system should be capable of providing the stakeholders with dashboard view on the various critical parameters of JRRS and ARMS like the PAN, the Court, Assessment year etc. The dashboards should have the drill-down capability. The dashboard should display details of the Appeals under the user's jurisdiction. The indicative list of information/ documents to be displayed are: • Distribution of Appeals based on o Jurisdiction o Issue in dispute o Section

S. No	Functional Requirements Specifications of NJRS
	o Demand in dispute • Pending Appeals based on o PAN number wise o Assessment year/Block Period wise o Demand in dispute wise o Court wise o Filed by Department o Filed by Assessee • Alerts / Reminders for Filing Appeal Due in Near Future • Important circulars/notices/acts etc. from ITD The list is only indicative. The initial set will be finalized once the Implementation Agency starts the Systems Study. The set will be revised based on the requirements during the project duration. The information presented on the dashboard shall be hyperlinked to take the user to the particular item without closing the dashboard window.
Other Specifications	
	Configuration Management Services
FR23	The application software shall be version controlled, adopting the industry standard practices like Version Control System (VCS), Source Code Management System and Software Configuration Management (SCM) in this regard.
FR24	The System shall permit the latest versions of the application and source code to be deposited with the department, with appropriate logs maintained for each change. It is the responsibility of the IA to ensure that whenever the source code is handed over by the IA to the department, the binaries must match the latest

S. No	Functional Requirements Specifications of NJRS
	version of source code. All component dependencies and versions for deployment must also be recorded and submitted as a part of the handover.
FR25	The roles of different personnel responsible for designing, coding, accepting the changes and authorizing the changes to be carried out into the production environment shall be clearly defined.
	Authentication Service
FR26	User authentication services should : • Support common authentication mechanisms (Basic, User Id/Password, Certificates, Tokens, Smart Card, digital signatures) • Standard operating systems. • Standards (X.509, RADIUS, etc.) without much custom written/bespoke code for maximum system stability as applicable.
FR27	Authentication Services should be able to integrate with leading PKI concessionaires and standards
	User Management Services
FR28	IA shall design an SOP for adding, deleting users using the system. The system shall provide an online mechanism for addition/ modification/ deletion of users by the Department.
FR29	IA shall take written approval in bulk or on an individual basis for addition/ modification/ deletion of any user in the database.
FR30	IA shall inform ITD for any change in the user base (addition/ deletion/ modification of the users)
FR31	The system shall allow only the registered and approved departmental users, with appropriate permissions to use the system.

S. No	Functional Requirements Specifications of NJRS
	Specific Requirements for Email & SMS Alerts
FR 32	IA shall implement an SMS and Email based alert facility in the NJRS system. The SMS and email alert system shall allow a valid NJRS user to store his preferred email ID and mobile number in the system securely for receiving alerts.
FR33	
FR34	The system should allow for bulk email and SMS to all the registered users for important events and circulars
FR35	
FR36	The system should send reminder alerts at pre-defined intervals for filing appeals
FR37	The system should maintain log of SMS Alerts, Email and letters & reminders
FR38	Each case/ file in the workflow shall have a color coding to display the time elapsed/ delay in processing. A dashboard view with all the cases/ files (number/ percentage/ summarized) based on the color coding should be generated and displayed.

9.1 General Specifications or Non Functional Specifications

The general specification or non-functional requirements relating to performance, availability, deployment, implementation, operations and others are given in the table below:

General or Non Functional Specifications

S. No	Non Functional Specification
Technical Solution Architecture Requirements	

S. No	Non Functional Specification
NFR 1	The System solution needs to be architected using robust and industry tested software and hardware technologies like Service-Oriented Architecture (SOA) and open industry standards.
NFR 2	The solution architecture should be built on sound architectural principles enabling fault-tolerance, high-performance, and scalability both on the software and hardware levels.
Software Architecture Requirements	
NFR 3	Software architecture must support web services standards including XML, SOAP, UDDI and WSDL
NFR 4	Software architecture must support software based load balancing for scalability and performance
Hardware Architecture Requirements	
NFR 5	Hardware architecture must provide redundancy and high availability capabilities at the hardware level; this includes servers, network components, and storage system.
NFR 6	All servers and systems must be configured with no single point of failure.
NFR 7	Hardware architecture should be capable of consolidating several applications / workloads in a number of servers if required.
Development, Testing, Staging and Production Requirements	
NFR 8	Bidders are required to provide appropriate development, test, and staging hardware environments and explain how they are related to production environment. Bidders are required to explain how the development, test, and staging environment support the implementation activities of System Solution.

S. No	Non Functional Specification
NFR 9	Development and test environment should include configuration management capabilities and tools for system configuration, versioning scheme, documentation, change control processes and procedures to manage deployment of solution deployment.
NFR 10	The test, development, and staging environment should include required workstations, desktops, and tools appropriate to support development, testing, and staging, and deployment tasks.
Security Requirements	
NFR 11	The Bidder should provide a secure solution at the hardware infrastructure level, software level, and access level.
NFR 12	Authentication, Authorization & Access Control: Bidders are required to implement necessary security mechanisms to enable secure login and authorized access to portal information and services.
Monitoring and Management Requirements	
NFR 13	The Central System Solution should provide monitoring and management of the entire Solution including all software components and application.
NFR 14	The monitoring and management should monitor health of software and hardware infrastructure running the System Solution covering operating system, database, software components, applications, servers, network components, and other related software and hardware components. It should provide proactive monitoring, alerting and reporting.
Performance and Scalability Requirements	
NRF 15	Bidders are required to design the overall System Central Solution with high performance and scalability to handle increasing number of users.

S. No	Non Functional Specification
NRF 16	Bidders are required to deliver System Solution that provides measurable and acceptable performance requirements for various user groups, channels, and connectivity bandwidths.
NRF 17	Bidders are required to provide optimal and high performance Portal Solution satisfying response time for slow Internet connections and different browsers.
Implementation Requirements	
NFR 18	The Implementation Agency will be required to work closely with the Department & PMU and perform detailed functional requirements and analysis of System Solution to confirm and document functional specifications for the portal and its applications to fulfill its objectives.
Project Management	
NFR 19	Bidders are required to provide an implementation plan illustrating all functional analysis, development, testing, staging, and deployment activities.
NFR 20	Bidders are required to specify and describe their deliverables.
NFR 21	Bidders are required to specify and describe the different phases and activities of the project. It is very important for the Department that the Bidders provide a quality implementation plan covering all aspects of the project. The plan shall clearly specify the start and end dates (relative to contract signing) of each of the project phases specifying key milestones allowing visibility of project progress.
NFR 22	Bidders are required to Provide a comprehensive project implementation plan covering (but not limited to): • Tasks estimation, • Project planning, • Work allocation, • Progress tracking and monitoring, and • Reporting to Department.

S. No	Non Functional Specification
NFR 23	Bidders are required to describe the project management team structure, along with the roles and responsibilities of all team members.
Project Organization	
NFR 24	Bidders are required to describe the proposed project structure identifying all project individuals including senior project manager, business analysts, software developers, QA engineers, hardware / network engineers, administrators, domain /legal experts and others.
NFR 25	Bidders are required to specify roles and qualifications of various team members proposed for the project as well as identify the key roles of Department technical staff expected to play.
NFR 26	In addition to the senior project manager, Department expects strong technical support team to be assigned to the project to deliver the System. It is required that all members of technical team have demonstrated sound experience in implementation of similar projects ether in nature or scale. Department will review and approve selected Bidder's personnel for assignment to the project.

10. Annexure X: Service Level Agreement

SERVICE LEVEL AGREEMENTS (SLAs)

This schedule outlines the key service level requirements for National Judicial Reference System (NJRS) Project, which needs to be ensured by the Implementing Agency (IA) during the operations and maintenance period. These performance requirements shall be strictly imposed and a third party audit/certification agency shall be deployed for certifying the performance of the IA against the target performance metrics as outlined in the table provided subsequently. The SLA monitoring shall be reviewed on a monthly basis/quarterly. During the contract period, it is envisaged that there may be changes to the SLA, in terms of addition, alteration or deletion of certain parameters based on mutual consent of both the parties i.e. ITD and IA.

SLA Definition & Measurement

The SLA specifies the expected levels of service (i.e. baseline service level) to be provided by the IA to the various stakeholders of the Project. Payment to the IA as per the payment schedule is linked to the compliance with the SLA metrics laid down in the tables provided subsequently. The table also specifies the limits and metrics for lower performance and breach levels.

The SLAs consists of specific set of parameters for ensuring the desired performance level of NJRS and are listed below:

- Business Requirements
- Availability of NJRS
- Performance
- Data center (DC) / Disaster Recovery (DR) services
- Other services

A summarized metrics of the above mentioned SLA parameters is provided below and detailed out subsequently in table 2.

Table 1: Summarized SLAs

S.No.	Metric	Score for Baseline Metrics
A.	BUSINESS REQUIREMENTS	30
B.	AVAILABILITY OF NJRS	25
C.	PERFORMANCE	15
D.	QUALITY OF SERVICES	30
TOTAL		***100***

IA will get 100% of the payment as per the payment schedule for the concerned quarter if the baseline performance metrics are complied with. The IA will get lesser payment in case of a lower performance on any parameter.

The SLA score will be calculated based on the following table:

S.No.	SLA Score Range	Incentives / Deductions
Deductions		
1	<100 &>=95	0.25 % penalty for every point < 100 &>=95
2	<95 &>=85	0.75 % penalty for every point <100 &>=85
3	<85	1 % penalty for every point <100
Note: The percentage penalty would be calculated on the bill raised by the IA for the concerned quarter.		
Example: *SLA Score of 82 will lead to a Penalty of 18% (i.e. 18 x 1% =18%)*		

Note: ITD may provide to the IA, some period from the date of Go-Live as the SLA holiday period wherein the SLAs shall not be applicable on the IA. This SLA holiday period shall be decided by the ITD and shall not be more than two quarters. This SLA holiday period is only

for the purpose of streamlining the SLA measurement and monitoring process of NJRS. However during this period, ITD may also modify the SLAs.

Note: No of days in the table below refers to calendar days

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
A.	**BUSINESS REQUIREMENTS**		**30**						
1	**Import of digital data** Creation of records in NJRS by importing data of ALL new appeals &judgments (including creation of Meta data, indices, links etc. for imported judgments) from the external IT systems expeditiously within a specified time from the date of availability of such data from external IT systems	Within 7 days	10	Within 9 days	5	> 9 days	--10	Monthly	Measure the time duration between the availability of the data from external systems and the availability on the NJRS portal. The IA would log the date and time of availability of data from the registries/websites/applications of external systems and also record the date and time availability on the NJRS Portal. The difference in these two values would give the time taken for each record for automatically computing this parameter by the SLA System. **<u>For Monthly SLA Monitoring</u>** The monthly score will be calculated as the average score of all cases in a month. However, in case 10% or more cases in a month are not made available or are made available after 9 days, the entire SLA parameter shall be considered as breached for that month

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
									For Quarterly SLA Monitoring Average of the month-wise scores shall be taken for the quarterly measurement of the concerned parameter
2	**Scanning and metadata extraction**: Scanning of documents and creation of Meta data, indices, links etc. and making them available in the NJRS Portal, after the paper documents are provided by ITD at the RSCs (including extraction of metadata in cases where the data is not available in the digital format from the registries or the websites for any reason).	Within 7 days	10	Within 9 days	5	More than 9 days	-10	monthly	The logs for receiving the documents & making it available on NJRS need to be maintained by the IA in the system and should be available in the SLA monitoring system. The process for maintaining the logs is specified in Annexure III under Software requirements. **For Monthly SLA Monitoring** The monthly score will be calculated as the average score of all cases in a month. However, in case 10% or more cases in a month are not made available or made available after 9 days, the entire SLA parameter shall be considered as breached for that month **For Quarterly SLA Monitoring** Average of the month-wise scores shall be taken for the quarterly measurement of the concerned parameter.

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
3	**Timeliness of Headnotes Creation** Time taken for Creation of Headnotes & Catch words for judgments and making the same available in NJRS from the date of the judgment being uploaded in NJRS without Headnotes/catch words.	Within 10 days	10	within 14 days	5	More than 14days	-10	Monthly	The logs for receiving the documents & making it available on NJRS need to be maintained by the IA in the system and should be available in the SLA monitoring system. The process for maintaining the logs is specified in Annexure III under Software requirements. **For Monthly SLA Monitoring** The monthly score will be calculated as the average score of all cases in a month. However, in case 10% or more cases in a month are not made available or are made available after 14 days, the entire SLA parameter shall be considered as breached for that month **For Quarterly SLA Monitoring** Average of the month-wise scores shall be taken for the quarterly measurement of the concerned parameter.
B.	**AVAILABILITY OF NJRS**		**25**						
4	Availability of NJRS Portal to the ITD officials, except the scheduled downtime time, if any	>=99.9% durin	25	>=99% durin	15	<=98% in a	-25	daily	•IA shall ensure that all relevant events are logged and such logs are made accessible to the Department for review/ report through SLA

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
	as approved by ITD. Peak hours: 9am to 9pm Off-peak Hours: 9pm to 9am	g the peak hours and 99% during off-peak hours		g peak hours & 98% during off-peak hours		day			monitoring system in a readable format. • End-to-end loop back mechanism must be established for checking the availability of services. • Non- availability of even one of the services would amount to no service available for the purpose of this SLA and thus breach. **For Monthly SLA Monitoring** Average of the day wise availability shall be taken for arriving at the monthly score for the concerned parameter. However if there is a breach on 3 working days in a month, then the entire parameter for that month would be taken as breached. **For Quarterly SLA Monitoring** Average of the month-wise scores shall be taken for the quarterly measurement of the concerned parameter.
C.	**PERFORMANCE**		**15**						

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
5	Page Opening Time Peak hours : 9am to 9 pm Off peak hours : 9pm to 9am	<=3 seconds	15	<=7 seconds	5	>7seconds	-15	Daily	1. End-user measurement system (automated measurement as part of SLA tool/system) will be adopted and there will be two categories – peak and non-peak. In peak category frequency of measurement shall be 5 sample transactions per hour. In off-peak category frequency of measurement shall be 10 sample transactions per hour. 2. Cache to be cleared before measuring. **For Monthly SLA Monitoring** In case 10% or more sample cases in a day take more than 7 seconds, the SLA for that day shall be treated as breached. However, if there is a breach for more than 4 days in any month then the entire parameter for that month would be taken as breached. **For Quarterly SLA Monitoring** Average of the monthly SLA scores shall be taken for the quarterly measurement of the concerned parameter.

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
D.	**QUALITY OF SERVICE**		**30**						
6	**Accuracy of output** The accuracy of the data in the NJRS is to be ensured by eliminating deficiencies like wrong/missing metadata, wrong/missing links and cross references, OCR errors, etc.	<=2% of the sample has deficiencies	15	<=4% of the sample has deficiencies	10	>=6% of the sample has deficiencies	-15	monthly	***The IA shall be responsible for ensuring 100% accuracy in the conversion of scanned images to text and for ensuring data integrity subsequently at all times.*** For the purpose of SLA measurement, a sample of the documents (appeals, judgments etc.) (indicative 50 documents randomly selected, for the month)will be analyzed by the department for any deficiency in the documents **<u>For Monthly SLA Monitoring</u>** The monthly score will be calculated based on the sample. **<u>For Quarterly SLA Monitoring</u>** Average of the month-wise scores shall be taken for the quarterly measurement of the concerned parameter.

S.No.	Metric	Baseline Metrics		Lower Performance		SLA Breach		Periodicity of Measurement	Measurement Method
		Metric	Score	Metric	Score	Metric	Score		
7	Resolution of end-user related incidents/requirements reported to the helpdesk as per the mutually agreed escalation mechanism.	>=99% issues addressed within the defined timelines.	15	>=95% issues addressed within the defined timelines.	10	<90% issues addressed within the defined timelines.	-15	daily	Measured from the reports from the helpdesk system and integrated with the SLA monitoring system **For Monthly SLA Monitoring** The monthly score will be calculated as the average of the daily scores in a month. However, if there is a breach for more than 4 days in any month then the entire parameter for that month would be taken as breached for that month **For Quarterly SLA Monitoring** Average of the month-wise scores shall be taken for the quarterly measurement of the concerned parameter.

Note:

- SLAs would be monitored using an SLA measurement / monitoring system. The cost of the system would be borne by the IA as part of the overall solution. IA would be responsible for training at least 2 resources nominated by the Department, on the usage of the SLA monitoring system deployed.
- The SLA monitoring system of IA shall be tested and certified for its accuracy, reliability and completeness by the Third Party agency before it is deployed.
- The aforementioned SLA parameters shall be measured on a daily/weekly/monthly/quarterly basis (average) as per the individual SLA parameter requirements. However, if the performance of the solution/services is degraded significantly at any given point in time during the contract and if the immediate measures are not implemented and issues are not rectified to the satisfactory levels of the Department, Department will have the right to terminate the contract and forfeit the Performance Bank Guarantee.
- It is to be noted that if the overall penalty applicable for any of the quarters during the contract period exceeds15 % of the quarterly payment, then the Department shall have the right to terminate the contract.

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