



ASEAN SECRETARIAT

Request for Proposal

Provision of Developing Document Classification/Reference System (EXTENDED)

PROPOSAL MUST BE RECEIVED BY
Friday, 5 October 2018 before 5.00 PM

DELIVER PROPOSAL TO:
ASEAN Secretariat
Jl. Sisingamangaraja 70A
Jakarta 12110

Prepared by : Corporate Affairs Directorate
Date : 12 June 2018

1 EXECUTIVE SUMMARY

1. The ASEAN Secretariat (ASEC) was established in February 1976 by the Foreign Ministers of ASEAN. With current strength of approximately 350 staff, ASEC assists and provides support to ASEAN Member States in realizing the goals and objectives of ASEAN. To effectively fulfill its functions, the Member States place importance and priority on strengthening the institutional capability of ASEC, including development of ASEC knowledge management system.
2. Part of ASEC knowledge management system urgently required is for document classification/documents reference system. Each year, around 1,170 meetings are convened by 801 ASEAN organs/sectoral bodies. Those meetings produce numerous documents in various forms, such as declarations, statements/joint statements, agreements, protocols, blueprints, plan of actions, etc. To date, however, there is no common and unified ASEAN-wide document classification/reference system in place. ASEAN Official Documents have been produced and issued without the guidance of systematic and unified classification/reference coding. As a consequence, and considering the accumulation of the number of the documents produced over the years, it is not easy for users to locate and retrieve a specific ASEAN document.
3. A similar situation is being faced internally at the ASEC. Secretariat-wide documents and correspondences have been produced without a common and unified reference system. Those documents are often classified and numbered following each Department/Directorate/Division's own coding.
4. For ASEC Information Resource Management Division (IRMD), the Dewey Decimal Classification (DDC) has been used for book collections and three different customized classifications are applied for meeting reports, agreements and journal collections.
5. ASEC wishes to establish a unified/harmonized document Classification/Reference system for: (i) Official ASEAN-wide documents, and (ii) ASEC-wide documents. Therefore, ASEC is seeking a qualified consultant to work with (to-be appointed) ASEC Task Force on the Development of the Document Classification/Reference System, comprising assigned professional staff from the IRMD and representatives of the four ASEC Departments.

2 SCOPE OF WORK

2.1 IMPLEMENTATION ARRANGMENTS AND ASSIGNMENTS

The to-be appointed consultant/s shall follow the overall direction provided by ASEC Management and will work closely with and under the direct supervision of the Chair of ASEC Task Force on the development of Document Classification/Reference System to undertake the following assignments:

- a. Deliver an inception report will present the individual consultant's understanding of the assignment, proposed methodology and approach, and detailed work plan/schedules. Only after the Inception Report is accepted, the individual consultant will conduct a mapping exercise and analytical assessment of ASEC's current situation.
- b. Conduct mapping exercise and analytical assessment on the document classification/reference and management systems existing as currently, including a review on the security classification of documents. The specific areas to be covered would include (but not limited) to assessing categories/types of official documents; archiving/storing practice of documents; reviewing the existing classification/reference systems as well as the policies and procedures for filing; assessing areas of duplications, overlapping, and overall weaknesses and strengths for improvements under a new system;
- c. Propose a standard, unified ASEAN-wide Official Document Classification/Reference System and ASEC-wide Document Classification/Reference System which include classification rules, document categories, formats, policies and procedures for handling and filing of official documents, retrieval, storage format(s), etc.; and
- d. Develop a comprehensive handbook on the standard ASEAN Official Document Classification/Reference System and ASEC Internal Document Classification/Reference System.
- e. Provide training to ASEC staff from all divisions (about 60 staff) on standard ASEAN and ASEC Document Classification/Reference Systems. The consultant should provide training in two batches in the form of classroom workshop and ensure that after the training ASEC staff understand and are able produce documents with appropriate document classification and reference numbers. It may take one to two days for training each batch, depending on the consultant's own approach and methodology.

2.2 OBJECTIVES

ASEC wishes to establish a unified/harmonized document Classification/Reference system for: (i) Official ASEAN-wide documents, and (ii) ASEC-wide documents. Therefore, ASEC is seeking a qualified consultant to work with (to-be appointed) ASEC Task Force on the Development of the Document Classification/Reference System, comprising assigned professional staff from the IRMD and representatives of the four ASEC Departments.

The to-be-appointed consultant/s shall be tasked to achieve the following objectives:

- a. **Develop Official ASEAN Document Classification/Reference System and ASEC Internal Document Classification/Reference System.** This will entail establishing a standard and unified document classification/reference system for all official documents. The standardized and unified system will guide all ASEAN official documents/correspondences (internal and external) produced/issued by ASEAN/ASEC, allowing them to be properly classified, managed and referred to. The Symbols of United Nations Document may be used as the reference/benchmark.
- b. **Provide training to assigned ASEC staff on the use of the ASEAN and ASEC Document Classification/Reference systems.**

2.3 EXPECTED DELIVERABLES

The to-be-appointed consultant shall deliver:

- a. Inception Report;
- b. Analytical Needs Assessment Report and Recommendations;
- c. A comprehensive Handbook on ASEAN Official Document Classification/Reference System and ASEC Document Classification/Reference System; and
- c. Training to ASEC staff on the use of the ASEAN Official Document Classification/Reference System and ASEC Document Classification/Reference System.

2.4 INDICATIVE WORK SCHEDULE

No.	Activities	Who & Where	When	No. of work days
1	-Inception Meeting/Briefing on the assignment -Secondary Research	-ASEC Management -Chair of ASEC ODCC Taskforce (TF) -ASEC concerned Staff		5

No.	Activities	Who & Where	When	No. of work days
2	Conduct analytical assessment and map all types of ASEAN and ASEC wide documents	-Representatives from All ASEC Divisions. -ASEC		10
3	Prepare the Draft Analytical Needs Assessment Report and Recommendations.	Home		6
4	-Incorporate comments and suggestions -Submit Final Draft Analytical Needs Assessment Report and Recommendations	Home		5
5	Develop and submit the 1 st Draft Handbook on ASEAN and ASEC wide Official Document Classification/Reference Systems	Home		30
6	-Incorporate comments/inputs from TF -Present the 1 st Draft Handbook on ASEAN and ASEC Official Document Classification/Reference Systems to TF -Incorporate further comment/inputs from TF	-TF -ASEC and Home		8
7	-Submit and Present the 2 nd Draft Handbook on ASEAN and ASEC Official Document Classification/Reference Systems to ASEC Management and CPRWG	-ASEC Management -CPR -ASEC		4
8	-Incorporate comments/inputs from ASEC and CPRWG -Submit the 3 rd Draft Handbook on ASEAN and ASEC Official Document Classification/Reference Systems	Home		5
9	-Present the 3 rd Draft	ASEC		2

No.	Activities	Who & Where	When	No. of work days
	Handbook on ASEAN and ASEC Official Document Classification/Reference Systems to the CPR -Wrap-up meeting with TF			
10	-Incorporate further comments/inputs -Submit the final Draft Handbook on ASEAN and ASEC Official Document Classification/Reference Systems	Home		3
11	Prepare and conduct training for ASEC staff.	-Home and ASEC		7
Total (man-day)				85

3 RFP REQUIREMENTS PROCESS

3.1. Proposal Submission Instructions.

- a. All proposals must be submitted in English.
- b. Vendors should indicate the Title of the Tender at the upper right of the envelopes.
- c. The Technical and Finance Proposals must be submitted separately in two different envelopes, in two sets i.e. original and a copy.
- d. **Vendors must not include any financial/cost data in the Technical Proposal, but only in the separate envelope titled Financial Proposal. Failure to adhere to this will lead to disqualification.**
- e. The proposal should be concisely presented and structured, and should explain in detail the Vendor's availability, experience and resources to provide the requested services.
- f. Proposals must be submitted by the Closing Date and Time, as indicated in the RFP.
- g. Proposals that are incomplete or do not address the required criteria may not be considered in the review process.
- h. All communications with regard to this RFP shall be in writing and submitted to:

**Procurement Unit
Administration and General Affairs Division
ASEAN Secretariat
Email: Procurement@asean.org**

3.2. Closing date and time of Submission of Proposals.

All proposals shall be submitted in two separate envelopes indicating Technical and Financial Proposals in each envelope and received by **Friday, 5 October 2018 by 5.00 PM** at the following address:

**Chairman of Sub-Committee on Tender
Administration and General Affairs Division
The ASEAN Secretariat
Jl. Sisingamangaraja 70A
Jakarta 12110
Indonesia**

Any notices with respect to this RFP should also be mailed to the above Contact and Address.

3.3. RFP TERMS & CONDITIONS

a. Validity of Bid Proposal

Received tender proposals shall be valid until **30 November 2018**.

b. Implementing Schedule

The selected individual consultant/consultancy firm shall be committed to perform the services for a period from **October 2018 - May 2019** (tentatively).

4 COMPLIANCE

In conformance to the ASEAN Secretariat's Financial Rules and Procedures (AFRP), applicants shall submit their application in two sealed envelopes as follows:

1) **First Envelope:**

Technical Proposal (see description under section four).

Vendors must not include any financial/cost data in the Technical Proposal, but only in the separate envelope titled Financial Proposal. Failure to adhere to this will lead to disqualification.

2) **Second Envelope:**

Financial Proposal which shall consist of the following sets of documents:

- a. **FIRST SET**, which shall contain, among others, the bid amount and payments schedule; and dully filled Appendix 2;
- b. **SECOND SET**, which shall consist, among others, the company profile; business name registration issued by appropriate government agency; authority of signatory; valid business permit and other appropriate licenses; taxpayer identification number; latest audited financial statements, track record which includes testimonials from past and present clients on projects similar to the project at hand; capability to undertake the assignment (*for consultancy firm*); **or** which shall consist, among others, track record which includes testimonials from past and present clients on assignments projects similar to the project at hand; capability to undertake the assignment (*for individual consultant*).

All documents not submitted in English shall not be considered and quoted price in the hardcopy submission shall be in US Dollar.

The ASEAN Secretariat may, after the closing date, request additional information or clarification of tenders in writing.

Appendix 1
Consultancy Firm/Individual Consultant General Information
To be submitted together in the Technical Proposal

Name:			
Division or Subsidiary (if applicable):			
Address:			
City:			
Province / State:			
Country:			
Postal Code:			
Telephone:			
Business Name Registration: (if applicable)			
Tax Registration Number:			
Valid Business Permit: (if applicable)			
Contact:		Telephone no.:	
Title / Position:		Fax no.:	
E-Mail:			
Indicate number of years involved in similar business			
Are you a subsidiary of a financial institution? *If Yes, Please indicate your Holding Company			

Appendix 1A

List of Clients

To be submitted together in the Technical Proposal

Customer Details	
Company Name	
Company Address	
Telephone Number	
Fax Number	
Contact Name	
Project Title	

Customer Details	
Company Name	
Company Address	
Telephone Number	
Fax Number	
Contact Name	
Project Title	

Customer Details	
Company Name	
Company Address	
Telephone Number	
Fax Number	
Contact Name	
Project Title	

APPENDIX 1B
Technical Requirements

To be submitted together in the Technical Proposal

The Technical Requirements should address the requirements and expectations set out in the table below. Consultancy firm/individual consultant should use the section numbers and corresponding titles shown in this tables in their Technical Proposal Submission to allow the ASEAN Secretariat Sub Committee on Tender to evaluate Technical Submissions accordingly.

No	Description	ASEC Requirements	Remarks
1	Duration for Work Delivery	5-8 months with equivalence to 85 man-days	
2	Project Approach	Proven track record and experiences in conducting in-depth analyses of and in developing/establishing official document classification/reference system for international/regional organizations of similar nature to ASEAN	
3	Relevant Technical Skills	a. Proven skills at identifying/proposing approaches to determine users' needs for information/documents b. Comprehensive knowledge of UN Symbol Series, UN document processing and controlling system and/or other similar international organizations are required. c. Knowledge on and familiarity with digital application and technology that are relevant to documents classification, archiving and retrieval for ease of tagging/tracking and to ensure that the proposed new system will be on par with current IT developments and practices	
4	Leadership	Strong leadership and inter-personal skills including excellent communication, facilitation, and training skills are required	
5	Educational Qualification	Relevant educational qualifications in library science, information management or related fields	
6	Other qualification	a. Broad understanding and familiarity of knowledge management framework and systems are an advantage b. A strong understanding about ASEAN and the working of a Secretariat of an international organization will be added advantage	

APPENDIX 2**Financial Proposal Requirements***To be submitted together in the Financial Proposal*

The Financial Proposal should contain the bid amount with detailed estimates i.e. description and allocation for each item. The total proposed budget should be inclusive of all supplies, services, taxes, and any other costs required to complete the project. The Financial Submission should detail the estimates for each item as set out in the table below:

No.	Description	Cost (USD)	Remark
1.	Consultancy Fee		
2.	Reimbursable travel costs and Accommodation/Per Diem.		
3.	Miscellaneous (please specify)		
4.	Tax (If Any)		
5.	Total Proposed Amount	USD _____	
6.	Payment Schedules	Payment of the Service will be made in three stages: 1. First Payment of USD _____ (..... after verification of the signed SSA by ASEC) 2. Second Payment of USD _____ (.... after submission of first draft of insert/supplement). 3. Third Payment of USD _____ (..... after project conclusion).	

APPENDIX 3
Checklist for the Completeness of Documents Submitted

The checklist must be used to ensure that you have provided all documentations for the tender. The checklist must be signed and included in both envelopes of your proposals.

I. General Requirements

No.	Description	Checklist
1	Proposals shall be prepared in English	
2	Proposals are submitted in two different envelopes	
3	The envelope must be sealed and labeled accordingly. i. Technical Proposal ii. Financial Proposal	
4	Title of the tender shall be put on each envelopes	

II. Technical Proposal

No.	Description	Checklist
1	Technical Specifications of the service refer to the proposal	
2	All required information have been addressed accordingly	
3	Schedule of delivery	
4	Manpower/consultant requirement	
5	List of vendor's equipment (if any)	
6	One original signed copy	
7	One copy of technical proposal duplicate	

III. Financial Proposal

No.	Description	Checklist
1	Offering is formulated in English	
2	Bid amount	
3	Payment schedule	
4	Company profile (if applicable)	
5	Copy Company Legal Documents (if applicable), i.e. i. Business Name Registration ii. Valid Business Permit iii. Tax Identification Number iv. List of clients reference v. Customer testimonials on the similar project	
6	Latest audited financial statements (if applicable)	
7	Authority of signatory (if applicable)	
8	One original copy of financial proposal	
9	One duplicated copy of financial proposal	

Appendix 4
Template for the Proposal Envelope
First Envelope – Technical Proposal

Name & Address

Technical Proposal - *Title of the Tender*

Chairman of Sub-Committee on Tender
Administration and General Affairs Division
The ASEAN Secretariat
Jl. Sisingamangaraja 70A
Jakarta 12110
Indonesia

Second Envelope – Financial Proposal

Name & Address

Financial Proposal - *Title of the Tender*

**Chairman of Sub-Committee on Tender
Administration and General Affairs Division
The ASEAN Secretariat
Jl. Sisingamangaraja 70A
Jakarta 12110
Indonesia**