



**Aus4ASEAN**  
FUTURES

## Australia for ASEAN Futures Initiatives

### TERMS OF REFERENCE FOR

#### ***Implementation Roadmap to Establish Regionally Comparable and Recognised Unique Business Identification Numbers (UBIN) in ASEAN***

The ASEAN Secretariat and the Australian Government, through –Australia for ASEAN Futures Initiatives, invite applications from consultants for the above-referenced project.

#### **I. Background**

Digital identity has been identified as one of the key pillars of a digital economy as it enables the identification and authentication of persons and entities – inter and intra AMS, presenting immense opportunities for economic growth and integration. As at 2020, only 18% of MSMEs are participating in exports, with the commonly cited barriers to cross-border trade include customs procedures and foreign regulations<sup>1</sup>.

The absence of a regionally recognised digital business identity created several challenges for MSMEs to trade cross-border, such as cumbersome and duplicative verification processes in each country they operate in, generating administrative burdens and slowing down transaction, limited transparency and consistent information about businesses across borders, hindering trust and hindering the willingness to engage in cross-border transaction, as well as complex and costly regulatory compliance procedures, with businesses having to comply with different regulations in each country<sup>2</sup>.

An interoperable UBIN system allowing cross-border verification of business identities could promote seamless cross-border trade and enhance process efficiency. In addition, having a mechanism to verify businesses would increase trust in cross-border trade activity, significantly reduce fraud risk, thereby creating a safer and more secure environment for the businesses in AMS to flourish.

In implementing the **Work Programme on Starting a Business**, ACCMSME through its Task Force on Starting a Business, comprising business registration agencies in AMS, developed the “**Benchmarking Guidelines on Unique Business Identification Number in ASEAN**” which was endorsed by the ASEAN Economic Ministers (AEM) at the 55<sup>th</sup> AEM Meeting in August 2023. Following the mandate tasked by the AEM during the 55<sup>th</sup> AEM Meeting, an implementation roadmap will be developed to provide a strategic and structured plan to execute the ASEAN UBIN, outlining key milestones, activities, timelines and resources required at both the national and regional levels. The full implementation of the ASEAN UBIN is expected to be one of the foundational elements of the ASEAN digital economy, creating a safer, more secure and efficient business environment.

This project is strategically designed to advance the overarching goals of ASEAN in realising a single market through facilitating cross-border trade and strengthen regional integration, **through the development of an interoperable digital infrastructure to promote interoperability of business registers among AMS**. By doing so, the Implementation Roadmap is expected to contribute directly to the creation of a more integrated and efficient market within ASEAN.

<sup>1</sup> Levelling the Trading Field for SMEs, WTO, 2016

<sup>2</sup> Ibid.

## II. Needs and Objectives

The objective of the Implementation Roadmap is to outline the actions needed by ASEAN and AMS to:

- i) Implement technical solutions to establish an interoperable, decentralised UBIN system in ASEAN,
- ii) conduct regulatory assessment towards legal compliance of initiative,
- iii) establish national and regional governance mechanisms,
- iv) study national and regional funding model to create a robust financial channel that supports the sustainability of the initiative, and,
- v) provide and identify the appropriate capacity building programmes needed to capacitate AMS towards the establishment of an interoperable, decentralised UBIN system in ASEAN that will allow the recognition of a UBIN across the ASEAN region.

This overarching goal is driven by the need to create a solid foundation for a robust digital economy, facilitating cross-border digital trade, and aligning with the ASEAN Digital Economy Framework Agreement (DEFA) particularly on digital ID and authentication provision. The progress of the UBIN initiative demonstrates yet another of ASEAN's commitment towards digital transformation of the region.

The ASEAN UBIN would be designed in consideration of existing technical framework, readiness, as well as domestic regulations and policies of each AMS, so that each AMS can implement UBIN.

## III. Outputs

The project is expected to produce:

### 1. Output 1: Inception Report

Inception Report which will include:

- Project approach
- Methodology
- Preliminary findings on a regional UBIN, including data collection on gender mainstreaming and gender analysis
- Proposed project stakeholders

### 2. Output 2: Use-Case Analysis with the view to prioritise the use case enablement

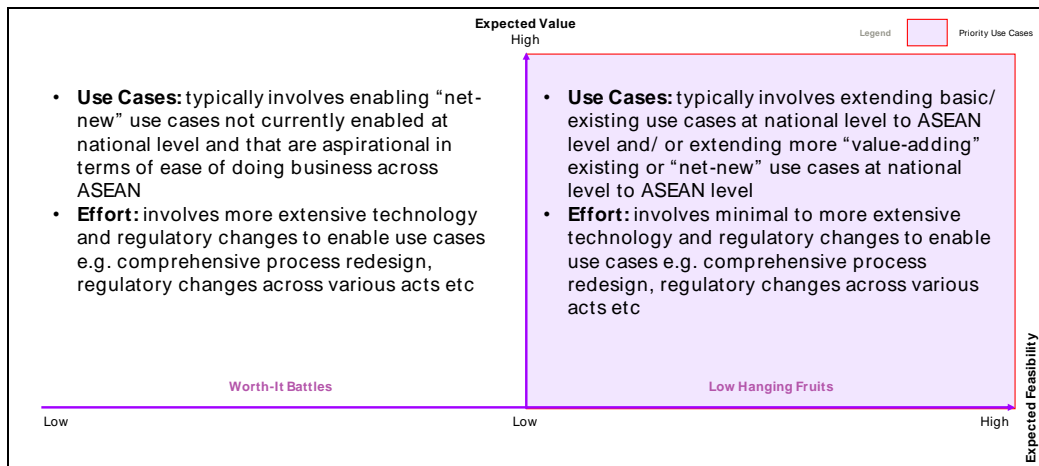
- **Use-case prioritisation framework:** The analysis will be based on the framework comprising four elements, namely, technology, financial feasibility, regulation and governance. Details of the framework appear below, while an example of use-case prioritisation matrix appears in Figure 1.

a) **Technology** (availability of interoperable technology, ease of implementation vs. current systems in place in AMS):

- Conduct analysis of the existing technological business identification and verification infrastructure in each AMS.
- Examine AMS' technological capabilities to ensure data interoperability and security.

- b) **Financial Feasibility** (cost and value to implement solution, as well as the economic impact on the region):
  - Cost-benefit analysis to evaluate the financial feasibility of implementing the UBIN system for the identified use cases in each AMS.
  - Assessment on the expected Return on Investment (ROI) for governments and businesses participating in the UBIN system.
  
- c) **Regulatory Gap Analysis** (legislations assessment, as needed, to implement the interoperable solution);
  - Analyse and map existing regulations related to business identification in each AMS, which includes the legal frameworks governing data protection, business registration, and cross-border transactions in each AMS.
  
- d) **Governance** (data framework)
  - Analyse and map data governance framework and data architecture in AMS
  - Analyse and map national institutions / bodies responsible for the implementation and operation of the national business identification system.
  - Analyse and map regional institution / mechanism (Sectoral Bodies) relevant to the implementation of ASEAN UBIN.
  
- **Main activities:** The use-case analysis will be conducted through desktop research and extensive in-country and regional stakeholder consultations. The proposed consultations are shared below:
  - a) **In-country consultations** (virtual) to gain insights from each AMS on AMS' existing systems, regulations, as well as views on potential use cases for the ASEAN UBIN. Among stakeholders deemed relevant to the project include government agencies from the ministries / institutions overseeing MSME development, business registrants, industry, e-commerce, ICT, regulatory and compliance, consumer and data privacy; trade and export promotion agencies; financial institutions, as well as private sector (business associations (including MSME association) and chamber of commerce), and academic and research institution.
  
  - b) **Regional consultation** workshop (hybrid) to validate the findings of the use-case analysis. Regional stakeholders to be invited include ACCMSME, Task Force on Starting a Business, ACCED, CCI, and WC-FINC, as well as the private sector including ASEAN MSME Advisory Board (AMAB) and ASEAN-Business Advisory Council (ASEAN-BAC).
  
- **Gender Equality, Disability and Social Inclusion (GEDSI)** consideration: Upon identification of prioritised use-case(s) / application of the ASEAN UBIN, an analysis will be conducted to assess the implications on the ASEAN UBIN implementation to GEDSI, particularly for closing gender equality gaps.

Figure 1: Use-Case Prioritisation Matrix



### 3. Output 3: Implementation Roadmap to Establish Regionally Comparable and Recognised UBIN in ASEAN

- **Develop an Implementation Roadmap to Establish Regionally Comparable and Recognised UBIN in ASEAN**, that will set out the modality and timeline to roll out the prioritised use case, with the aim to clarify the following elements:
  - (i) **Technology Solutions** covering an interoperable, decentralised UBIN network model that allows for secure and transparent business identification and authentication across AMS; interoperable UBIN protocols to ensure interoperability among AMS and enable cross-border compatibility and recognition of UBIN; automation of UBIN verification system to verify automatically and compliance checks, as well as to reduce administrative burdens and ensuring consistency.
  - (ii) **Regulatory Assessment and Coordination** - legal and regulatory analysis and assessment as necessary, compliance on how the ASEAN UBIN system aligns with legal and regulatory requirements including data protection and privacy regulations, cross-border regulatory assessment, licensing and permission documentation required for UBIN system operation, and regulatory risk mitigation strategies.
  - (iii) **Governance Mechanism** covering governance framework to oversee the implementation, management, and regulation of the UBIN system at the regional level as well as to collectively make decisions regarding data security and privacy protocols to safeguard the personal information of UBIN beneficiaries, updates, and cross-border agreements.
  - (iv) **Funding model** - resource mobilisation strategies to identify potential funding sources (e.g. government budgets, international grants, public-private partnership, etc.); budget allocation to determine the allocation of funds from AMS' budgets and international sources to sustain

UBIN implementation; risk mitigation strategy to ensure the financial stability of the UBIN system including mechanism for addressing economic downturns or unexpected fiscal challenges; and financial auditing and reporting system to maintain transparency and accountability in the allocation and utilisation of UBIN funds.

(v) **Development and provision of capacity building and training programme** for government officials, UBIN administrators, and relevant stakeholders; and capacity building initiatives aimed at enhancing management skills of UBIN administrators at both regional and national levels including to operate UBIN nodes, control the validation and administration of UBIN, and potential actions to address GEDSI in particular for closing gender equality gaps, among others.

- **Main activities:** The design of the Implementation Roadmap will be validated through a regional validation workshop (virtual), involving ACCMSME, Task Force on Starting a Business, ACCED, CCI, and WC-FINC, as well as the private sector including ASEAN MSME Advisory Board (AMAB) and ASEAN-Business Advisory Council (ASEAN-BAC).
- **Gender Equality, Disability and Social Inclusion** consideration: The design of the Roadmap will take into consideration the gender gap analysis conducted under Output 2.

#### 4. **Output 4: Public Outreach on the Benefits of an ASEAN UBIN**

- Develop a forward-looking outreach strategy which include the recommendations/results based on the gender analysis to inform and create awareness among the public on the benefits of the ASEAN UBIN initiative, as well as provide equal opportunities for business across the region.
- Develop Concept Note for future work on UBIN.
- Design outreach materials which will include but not limited to one (1) Op-Ed for ASEAN, one (1) article (including infographics) and one (1) video on the ASEAN UBIN, and at minimum five (5) social media materials for social media outreach. One (1) social media material will be reserved to educate the public on the impact of the ASEAN UBIN to promote GEDSI.

#### 5. **Output 5: Project Completion Report**

- Document actual project implementation and lessons learned.

#### IV. Tasks/Activities

The following activities will need to be undertaken to achieve the outputs presented above. The bidder should provide details on its approach to each activity in its bid and is free to recommend additional activities.

Deliverables	Activities / Tasks	Indicative Person Working Week	Indicative Completion Date	Person(s) Responsible
<b>Output 1: Inception Report</b>	Inception meeting to present methodology, validate scope, and timelines,	4 weeks	within 1 week after the signing of a Special Services Agreement between ASEAN and the contractor	Contractor, ASEC, Aus4ASEAN Futures
	Drafting Inception Report which will include: <ul style="list-style-type: none"> <li>• Project approach</li> <li>• Methodology</li> <li>• Preliminary findings on a regional UBIN, including data collection on gender mainstreaming and gender analysis.</li> <li>• Proposed project stakeholders</li> </ul>		Week 1 – 2	Contractor with inputs from ASEC
	Kick-off Meeting with ACCMSME and Task Force on Starting a Business (Task Force) for alignment of scope and initial guidance (virtual) & Report to 17 <sup>th</sup> ACCMSME		Week 1	Contractor, ASEC, ACCMSME, Task Force, Aus4ASEAN Futures
	Report to SEOM 2/55		Week 2	Contractor, ASEC
	Consideration of the draft Inception Report by ACCMSME (in coordination with the Task Force)		Week 3	ASEC to circulate to ACCMSME, Task Force
<b>Approval of the Inception Report by ACCMSME</b>				
<b>Output 2: Use-Case Analysis</b>	Developing use case analysis on technology assessment, financial feasibility, regulatory gap analysis, and governance. This is also include the assessment on the implications on the ASEAN UBIN implementation to GEDSI, particularly for closing gender equality gaps.	2 weeks	Week 3 – 4	Contractor with inputs from ASEC

	In-country consultation (virtual)	1 week	Week 3	ACCMSME and relevant stakeholders identified by ACCMSME, Contractor, ASEC
	Regional Consultation Workshop (hybrid)	1 week	Week 4	ACCMSME, Task Force, ACCED, CCI, WC-FINC, SEOM, AMAB, ASEAN-BAC, ASEC, Aus4ASEAN, Contractor
	ACCMSME's endorsement on the use case analysis report & preliminary design of the Implementation Roadmap		Week 4-5	ACCMSME (in coordination with the Task Force) (facilitated by ASEC)
<b>Approval of Use-Case Analysis Report &amp; Preliminary design of the Implementation Roadmap (Output 2) by ACCMSME</b>				
<b>Output 3: Implementati on Roadmap to Establish Regionally Comparable and Recognised UBIN in ASEAN</b>	Refinement of the draft Implementation Roadmap	1 week	Week –6	Contractor with inputs from ASEC
	1 <sup>st</sup> Circulation of the draft Implementation Roadmap		Week 7 – 8	ACCMSME (in coordination with the Task Force)
	Regional Validation Workshop (virtual)	1 week	Week 8	ACCMSME, Task Force, ACCED, CCI, WC-FINC, SEOM, AMAB, ASEAN-BAC, ASEC, Aus4ASEAN, Contractor
	Revision of the draft Roadmap by the consultant	1 week	Week 9	Contractor, with inputs from ASEC
	Progress report to SEOM 3/55	1 week	Week 9	Contractor, ASEC
	2 <sup>nd</sup> circulation of the draft Implementation Roadmap to ACCMSME for concurrence to submit to SEOM		Week 10	ACCMSME (in coordination with the Task Force), ASEC
	Submission to SEOM for SEOM's consideration		Week 11 - 12	SEOM, ASEC
	Revision by consultant	1 week	Week 13	Contractor, with inputs from ASEC
	SEOM's endorsement		Week 14	SEOM
	Submission of final draft of Implementation Roadmap for AEM Endorsement		Week –15 – 18	SEOM, ASEC
	Adoption by the AEM		Week 19	AEM
	Notation at the AEC Council and ASEAN Summit 2024		Week 22	AECC, ASEAN Leaders

<b>Adoption of final Implementation Roadmap (Output 3) by AEM</b>				
<b>Output 4:</b> Public Outreach on the Benefits of an ASEAN UBIN	<ul style="list-style-type: none"> <li>Developing a forward-looking outreach strategy which include the recommendations/result based on the gender analysis to inform and create awareness among the public on the benefits of the ASEAN UBIN initiative, as well as equal opportunities for business across the region.</li> <li>Developing Concept Note for Further Work on UBIN</li> </ul>	7 weeks	Week 23 – 30	Contractor with inputs from ASEC
	Report to the 18th ACCMSME Meeting	1 week	Week 24	Contractor
	Designing outreach materials, which include but not limited to one (1) Op-Ed for ASEAN, one (1) article (including infographic) and one (1) video on the ASEAN UBIN, and at minimum five (5) social media materials for social media outreach. One (1) social media material will be reserved to educate the public on the impact of the ASEAN UBIN to promote GEDSI.	6 weeks	Week 31 - 37	Contractor with inputs from ASEC
<b>Approval of Proposed Concept Note for Further Work on UBIN and Public outreach on the benefits of ASEAN UBIN (Output 4) by ACCSME</b>				
<b>Output 5:</b> Project Completion Report	Document actual project implementation and lessons learned, as well as recommendation for further work on UBIN in line with the agreed concept note.	1 week	Week 39 – Week 40	Contractor with inputs from ASEC
<b>Approval of Project Completion Report by ASEC</b>				
<p><i>** The number of person working weeks is intended to indicate the amount of relative effort required to deliver the corresponding outputs. The calculation is based on assumption of 5 person days per week. Actual time will be agreed in negotiation with the successful bidder.</i></p>				



## V. Project Management and Reporting

The consultant is expected to produce reports / outreach materials, namely (i) Inception Report; (ii) Use Case Analysis Report; (iii) Implementation Roadmap to Establish Regionally Comparable and Recognised UBIN in ASEAN; (iv) outreach materials; and (v) Project Completion Report (including the proposed concept note for further work on UBIN) in accordance with Section III and IV above.

All reports will be submitted based on Aus4ASEAN Futures Guidelines for Contractors in draft format to Enterprise and Stakeholders Engagement Division (ESED) of ASEC (with a copy to Aus4ASEAN Futures) and, following ASEC approval, in final form. All outputs and reports must be suitable for publication, although the decision on publication lies with the ASEAN.

The contractor will also provide regular (bi-weekly/monthly or as agreed with the ASEC) summation of activities undertaken and issues that have arisen. These will be submitted to ESED and Aus4ASEAN Futures Initiatives via email.

## VI. Scope of Services

The consultancy will be undertaken over a **continuous effective period of ten (10) calendar months** or approximately **140 person working days** of professional services. Work will commence immediately after contract signing.

## VII. Qualifications

In its proposal, the bidder should demonstrate:

- Proven track record of successfully implementing projects related to business identification systems;
- A deep understanding of digital business ID, including technological, governance, funding mechanism, and regulatory aspects;
- Have a strong understanding of the ASEAN region, including its business environment and regulatory frameworks, and in-depth knowledge on digital economy and digital economy agreement (DEA);
- Have experience in engaging with a wide range of stakeholders, including government agencies, private sector entities, and MSMEs;
- Strong project management skills, including the ability to develop and implement detailed project plans, manage budgets and resources, and monitor progress against milestones;
- Innovative and creative approaches to addressing the challenges of establishing regionally comparable and recognised UBIN in ASEAN;
- Have a network of partners and collaborators who can contribute to the successful implementation of the project, including technology providers, research institutions, and industry associations; and to facilitate effective engagements for in-country consultation and validation workshops;
- Good understanding of gender equality, disability and social inclusion issues in the region, and the ability to provide resource to consult with to identify opportunities for mainstreaming GEDSI.
- Proven skills in report writing and conversing in English;
- Experience in working with the ASEAN Secretariat or Australia/DFAT is considered an advantage

## VIII. Bidding

Interested consulting firms are invited to submit a proposal in response to these Terms of Reference. This proposal should be in two parts: **Technical** and **Financial components**, to be submitted as two separate documents in two separate emails. The technical proposal shall not include any price or financial information, but only in the separate email titled Financial Proposal. A technical proposal containing material with financial information may be declared non-responsive.

The proposal should be concisely presented and structured, and should explain in detail the Bidder's availability, experience, and resources to provide the requested services.

The Technical component should present the following information:

- A brief discussion indicating the bidder's understanding of the needs of the project.
- A short analysis of critical issues.
- A methodological discussion of how the bidder proposes to address those needs, including assessment of critical issues, analytical strategies that will underlie the project, specific techniques to be utilised, and practical discussion of possible limitations in carrying out the project.
- A detailed work plan that specifies activities to be undertaken, expected outputs and deliverables, resources to be utilised and timing.
- Staffing and management plan.
- A discussion on how measures to ensure the future sustainability of the outcomes of the project will be addressed.
- A brief discussion on the expertise and experience of the firm members in undertaking similar work and concise summaries of all projects undertaken.
- Cover Letter for Technical Proposal (see **Form A** annexed to this document).
- Bidder Information and Completed Registration Form (see **Form B** of this document), including set of the following documents if applicable: 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.
- Bidder Declaration (see **Form C** of this document).
- Bidder should use the Technical Proposal Format (see **Form D** annexed to this document).
- Curriculum vitae of all proposed experts(see **form E** of this document).
- Examples of previous work and list of referees as annexes to the proposal (see **Form F** of this document).

The Financial component should specifically include the following:

- Cover Letter for Financial Proposal (see **Form G** annexed to this document).
- Professional fees of experts.
- Management and/or operational fees (if any), which include all costs incurred by the person/entity/company for internal coordination, communication, travel, and any other associated project management cost.
- Applicable taxes such as value-added tax (VAT), good and services tax (GST), Pajak Pertambahan Nilai (PPN), and income tax. The total amount quoted in the financial component must include all applicable tax. Additional amounts not specified in the financial component will not be included in the contract. See Section X point 5 for an additional note on tax liability.
- Bidder should use the Financial Proposal Format (see **Form H** of this document).

Activity costs for experts and participants such as reimbursable expenses for airfare, other travel costs and daily subsistence allowance for workshops, meetings, and all other agreed activities, do not need to be included in the Financial Component. These items will be discussed with the preferred contractor during the finalisation of the scope of services. Costs will be based on prevailing ASEC rates.

The proposal should be valid for at least one hundred eighty (180) days starting from the closing date of this tender.

## IX. Submission of Bid

Bidders should send their Technical Proposal and Financial Proposal on two separate emails with cover letters and materials specified in Section VII above and other supporting documents to [tender@aus4aseanfutures.org](mailto:tender@aus4aseanfutures.org), **no later than 17 April 2024 at 23:59 Jakarta time (GMT+7)**. Large documents (>5MB) can be submitted in parts through several emails. Late submissions will be disqualified.

The title of the tender should be put as the subject of each email as follows:

- Technical Proposal\_ "**Implementation Roadmap to Establish Regionally Comparable and Recognised Unique Business Identification Numbers (UBIN) in ASEAN**"\_Name of Vendor
- Financial Proposal\_ "**Implementation Roadmap to Establish Regionally Comparable and Recognised Unique Business Identification Numbers (UBIN) in ASEAN**"\_Name of Vendor

For Frequently Asked Questions (FAQ), please visit <https://www.aus4aseanfutures.org/tender-frequently-asked-question/>.

Any queries on the TOR should be sent to [query@aus4aseanfutures.org](mailto:query@aus4aseanfutures.org) **before 15 April 2024 at 17:00 Jakarta time (GMT+7)**. Response to received queries will be published at <https://www.aus4aseanfutures.org> until 17 April 2024. Please use the subject line: "**Query: Implementation Roadmap to Establish Regionally Comparable and Recognised Unique Business Identification Numbers (UBIN) in ASEAN**". There will be no individual responses/replies provided for queries.

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

## XI. Additional Notes on Terms and Conditions of the Project

1. Any future studies/reports/analysis in any form of intellectual property rights (including but not limited to patents, copyright, and any related rights) submitted by the Contractor to ASEAN arising out of or in connection to the services performed by the contractor to ASEAN shall belong to ASEC under the name of **ASEAN** only.
2. The successful bidder shall agree to be bound and sign the SSA with all requirements under the terms and conditions provided therein, including but not limited to Australia for ASEAN Futures Guidelines for the Contractors attached to the SSA.
3. SSA can only be signed by the registered bidder.
4. The bidder shall not initiate or engage in any work under this project before the SSA is duly signed.
5. As an intergovernmental organisation, ASEAN shall not be responsible for any tax(es), levy, tax claim or any tax liability which may be imposed by any law in relation to any amount payable by the ASEAN Secretariat. This means that ASEAN Secretariat has no tax identification, is tax-exempt (including withholding tax) and is a non-tax withholding entity. ASEAN Secretariat will provide proof of tax-exemption status to the contractor, as needed.

## **PROPOSAL FORMS**

**Form A. Cover Letter for Technical Proposal**

**Form B. Tenderer Information**

**Form C. Tenderer's Declaration**

**Form D. Technical Proposal of up to 50 pages on A4-sized page;**

**Form E. Specified Personnel CV's with each CV up to four pages**

**Form F. List of References**

**Form G. Cover Letter for Financial Proposal**

**Form H. Financial Proposal**

**PROPOSAL CHECKLIST FOR THE COMPLETENESS OF DOCUMENTS SUBMITTED**

Checklists must be used to ensure that all tender documentation has been provided. Checklists must be included in both emails of proposals.

**Technical Proposal**

No	Description	Checklist
1	Proposals are submitted in two separate emails (softcopy)	
2	Title of the tender shall be put in each email as follows: - Technical Proposal_Title of Tender_Name of Vendor - Financial Proposal_Title of Tender_Name of Vendor	
3	<b>Technical Proposal:</b>	
	- Form A. Cover Letter for Technical Proposal	
	- Form B. Tenderer Information and other supporting documents, such as:	
	<ul style="list-style-type: none"> <li>• Scanned Copy Company Legal Documents (if applicable), i.e.                             <ul style="list-style-type: none"> <li>▪ Business Name Registration (Trade Register)</li> <li>▪ Valid Business Permit</li> <li>▪ Tax Identification Number</li> <li>▪ Latest audited financial statements (for company)</li> </ul> </li> </ul>	
	• Company Profile	
	• Authority of signatory	
	- Form C. Tenderer's Declaration	
	- Form D. Technical Proposal of up to 50 pages on A4-sized page	
	- Form E. Specified Personnel CV's with each CV up to four pages	
	- Form F. List of References	
4	<b>Financial Proposal:</b>	
	- Form G. Bid amount	
	- Form H. Payment Schedule	

**Form A – Cover Letter for Technical Proposal**

**[On company letterhead]**

[Location, Date]

To :

Procurement Team

Australia for ASEAN Futures Initiative  
ASEAN Secretariat  
Jl. Sisingamangaraja 70a, Jakarta Selatan  
Indonesia 12110

Dear Sir/ Madam,

We, the undersigned, offer to provide the Services for *(Insert RFP Title)* in accordance with your Request for Proposal No. *(Insert RFP Reference Number)* dated *(Insert Date)*. We are hereby submitting our Proposal, which includes this Technical Proposal, and a Financial Proposal sent in a separate password protected file, through electronic submission.

Our Proposal shall be valid and remain binding upon us for the period of time specified in the RFP Documents, and subject to the modifications resulting from Contract negotiations. We acknowledge and accept your right to inspect and audit all records relating to our Proposal irrespective of whether we enter into a contract with ASEAN as a result of this proposal or not.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorized Signature

Name and Title of Signatory :

Date :

Name of Firm :

Address :

*(Stamp with official stamp of the Tenderer)*

## Form B - Tenderer Information

<b>Tenderer's legal name</b>	
<b>In case of a Joint Venture, Consortium, Association - Legal name of each party</b>	
<b>Tenderer's type of organisation</b>	E.g sole trader / public limited company/ private company
<b>Tenderer's Country of Registration, Constitution or Incorporation</b>	
<b>Tenderer's Year of Registration, Constitution or Incorporation</b>	
<b>Tenderer's legal address in Country of Registration, Constitution or Incorporation</b>	
<b>Registration no./Deed of Organisation (if applicable)</b>	
<b>Tenderer's authorized representative information</b>	Name: Title / position : Address: Telephone: Email Address:
<b>Organisation chart</b>	Attach the organisation chart to this form, as an option.
<b>List of management names and position</b>	

Please attach:

- Scanned copies of Incorporation or Registration of the designated firm and information on its capital structure (Trade Register).
- Company profile
- Latest audited financial statements (if applicable)

**Form C - Tenderer Declaration**

<b>Name of Tenderer</b>	Click or tap here to enter text.	<b>Date</b>	Click or tap to enter a date.
<b>RFP No.</b>	Click or tap here to enter text.		

On behalf of our firm, its affiliates, subsidiaries and employees, including any JV / Consortium / Association (JVCA) members or subcontractors or suppliers for any part of the contract.

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Requirements and Terms and Conditions:</b> I/We have read and fully understand the RFP. I/We confirm that the Tenderer has the necessary capacity, capability and necessary licenses to fully meet or exceed the requirements and will be available to deliver throughout the relevant contract period.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Ethics:</b> In submitting this proposal I/we warrant that the Tenderer: has not entered into any improper, illegal, collusive or anti-competitive arrangements with any competitor; has not directly or indirectly approached any representative of ASEAN Entities, ASEAN Secretariat, Aus4ASEAN Futures (other than the point of contact) to lobby or solicit information in relation to the RFP; has not attempted to influence, or provide any form of personal inducement, reward or benefit to any representative of the buyer.
<input type="checkbox"/>	<input type="checkbox"/>	I/We confirm to not engage in proscribed practices, or any other unethical practice, with ASEAN Secretariat or any other party, and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the ASEAN Secretariat and the Australian Government
<input type="checkbox"/>	<input type="checkbox"/>	<b>Child protection and Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH):</b> I/We confirm that we have read DFAT policies on child protection <a href="http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx">http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx</a> and Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH) <a href="https://www.dfat.gov.au/international-relations/themes/preventing-sexual-exploitation-abuse-and-harassment/Pages/default">https://www.dfat.gov.au/international-relations/themes/preventing-sexual-exploitation-abuse-and-harassment/Pages/default</a> and will adhere to them.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Conflict of interest:</b> I/We warrant that the Tenderer has no actual, potential or perceived conflict of Interest in submitting this proposal, or entering into a contract to deliver the requirements. Where a conflict of interest arises during the RFP process the Tenderer will report it immediately to the Procuring Organisation's Point of Contact.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Collusive Tendering:</b> I/We declare that our firm, its affiliates or subsidiaries or employees, including any JVCA members or subcontractors or suppliers for any part of the contract have no knowledge of the technical or financial tender of any other tenderer when they submit their tender. We also declare that we have not and will not disclose any of the details of our tender submission to any other person or organisation prior to the closing date for the RFP
<input type="checkbox"/>	<input type="checkbox"/>	<b>Prohibitions, Sanctions:</b> I/We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JVCA members or subcontractors or suppliers for any part of the contract is not on any list of sanctioned parties issued by any Australian Government institution, World Bank, ASEAN Development Bank, UN agencies, European Union and others, and not blacklisted by any local/ international organisation, Government/ semi-government department, NGO or any other company/ organisation.
<input type="checkbox"/>	<input type="checkbox"/>	I/We do not employ, or anticipate employing, any person(s) who is, or has been convicted for an offense concerning professional conduct, or guilty of grave professional misconduct (proven by any means which



Yes	No	
		the contracting authorities can justify), or have been convicted of an offence of, or relating to bribery of a public official, nor are they subject to any proceedings which could lead to such a conviction.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Bankruptcy:</b> I/We have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against us that could impair our operations in the foreseeable future.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Proposal Validity Period:</b> I/We confirm that this Proposal, including the price, remains open for acceptance for the proposal validity period.
<input type="checkbox"/>	<input type="checkbox"/>	I/We understand and recognize that you are not bound to accept any proposal you receive.
<input type="checkbox"/>	<input type="checkbox"/>	By signing this declaration, the signatory below represents, warrants and agrees that he/she has been authorised by the Organisation/s to make this declaration on its/their behalf.

Authorized Signature

Name and Title of Signatory :

Date :

Name of Firm :

Address :

*(Stamp with official stamp of the Tenderer)*

**Form D – TECHNICAL PROPOSAL FORMAT**

<b>Name of Assignment</b>	
<b>Tenderer's Organisation or Person</b>	
<b>Address</b>	
<b>Contact Person and Title/Position</b>	
<b>Email</b>	
<b>Telephone</b>	
<b>Mobile Phone</b>	
<b>Business Name Registration</b>	
<b>Tax Registration Number</b>	
<b>Indicate number of years involved in similar business/work</b>	
<b>Date</b>	

**I. Consultant's Organization and Experience**

1.1. Organisational capability

Outline general organisational capability which is likely to affect performance of the TOR such as size of the organisation, in-house expertise, strength of project management support, networks, etc.

1.2. Relevant experience

Include a description of past and present experience and relationships that have a direct relationship to the performance of the TOR. Include relevant collaborative efforts the organisation may have participated in. Detail any specialized knowledge that may be applied to performance of the TOR. Include experience working with ASEAN Member States and/or ASEAN Secretariat.

1.3. Quality assurance procedures

Describe the potential risks for the performance of the TOR that may impact achievement and timely completion of expected results as well as their quality. Describe measures that will be put in place to mitigate these risks. Provide certificate (s) for accreditation of processes, policy e.g. ISO etc.

1.4. Extent to which the work will be subcontracted

Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors. Special attention should be given to providing a clear picture of the role of roles, responsibilities, reporting lines and accountability.

**II. Comments and/or Suggestions on the Terms of Reference**

Please feel free to present and justify any modifications to the Terms of Reference your firm/organization would like to propose in order to perform the assignment more effectively. If there are such suggestions, they should be incorporated in your proposal.

**III. Description of Approach and Methodology**

Please describe the proposed Approach and Methodology in detail according to the expected outcomes of the project.

**IV. Work Plan**

Include a detail work plan for data collection, analysis, reporting, and milestones.

**V. Quality Assurance**

Please detail the proposed quality assurance method, including who will do the quality assurance for the products of this engagement. It should also include a description of how comments and corrections received from main stakeholders will be handled.

**VI. Team Composition and Task Assignments**

Please provide a brief description of each team member and a statement of how team members complement each other to meet the knowledge and skills needs of the assignment. Additionally, please provide the information requested in the table below.

**VII. WORK SCHEDULE AND PLANNING FOR DELIVERABLE**

No	Deliverables <sup>1</sup> (D-..)	Months											
		1	2	3	4	5	6	7	8	9	.....	n	TOTAL
<b>D-1</b>	{e.g., Deliverable #1: Report A												
	1) data collection												
	2) drafting												
	3) inception report												
	4) incorporating comments												
	5) delivery of final report to Client}												
<b>D-2</b>	{e.g., Deliverable #2:.....}												

1. List the deliverables with the breakdown for activities required to produce them and other benchmarks such as the Client's approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
2. Duration of activities shall be indicated in a form of a bar chart.

**VIII. TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS**

No.	Name	Expert's input per person in month for each deliverable							Total time-input (in month)		
		Position		D1	D2	D3	D4	D5	Home	Field	Total
<b>Key Experts</b>											
1.	Mr/Ms. Example	Team	Home	2.0 m	0.5 m	1.0 m	1.0 m	0.5 m	5 months	7 months	12 months
		Leader	Field	3.0 m	1.0 m	1.0 m	1.0 m	1.0 m			
2.											
3.											
								<b>Sub Total</b>			
<b>Non Key Experts</b>											
1.			Home								
			Field								
2.											
3.											
								<b>Sub Total (days)</b>			
								<b>Total (days)</b>			

1. For Key Experts, the input should be indicated individually for the same positions as required
2. Months are counted from the start of the assignment/mobilization. One (1) month equals twenty two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
3. "Home" means work in the office in the expert's country of residence.  
"Field" work means work carried out in the Client's country or any other country outside the expert's country of residence

**Form E. Specified Personnel CV's with each CV up to four pages**

**CURRICULUM VITAE (CV)**

<b>Position Title</b>	{e.g., TEAM LEADER}
<b>Name of Expert:</b>	{Insert full name}
<b>Date of Birth:</b>	{day/month/year}
<b>Country of Citizenship/Residence</b>	

**Education:**

*List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained*

**Employment record relevant to the assignment:**

*Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included*

<b>Period</b>	<b>Employing organization and your title/position. Contact information for references</b>	<b>Country</b>	<b>Summary of activities performed relevant to the Assignment</b>
[e.g., May 2005-present]	[e.g., Ministry of ....., advisor/consultant to...  For references: Tel...../e-mail.....; Mr. Hbbbb, deputy minister]		

**Membership in Professional Associations and Publications:**

**Language Skills (indicate only languages in which you can work):**

**Adequacy for the Assignment:**

<b>Detailed Tasks Assigned on Consultant's Team of Experts:</b>	<b>Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks</b>
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<i>List all deliverables/tasks in which the Expert will be involved</i>	

**Expert's contact information:** (e-mail ....., phone.....)

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by the Bank.

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Name of Expert	Signature	Date
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Name of authorized Representative of the Consultant (the same who signs the Proposal)	Signature	Date
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**Form F. List of References**

Please list references of three (3) clients/ customers for whom the Tenderer has provided similar service.

Project Title and brief description	
Client	
Contract Value	
Period of Performance (from/to)	
Role in relation to the undertaken to goods/services/works	
Contact Name and Position/Title	
Contact Phone	
Contact Email	

Project Title and brief description	
Client	
Contract Value	
Period of Performance (from/to)	
Role in relation to the undertaken to goods/services/works	
Contact Name and Position/Title	
Contact Phone	
Contact Email	

Project Title and brief description	
Client	

Contract Value	
Period of Performance (from/to)	
Role in relation to the undertaken to goods/services/works	
Contact Name and Position/Title	
Contact Phone	
Contact Email	

**Form G. Cover Letter for Financial Proposal [On company letterhead]**

[Location, Date]

To :

Procurement Team

Australia for ASEAN Futures Initiative

ASEAN Secretariat

Jl. Sisingamangaraja 70a, Jakarta Selatan

Indonesia 12110

Dear Sir/ Madam,

We, the undersigned, offer to provide the Services for *(Insert RFP Title)* dated *(Insert Date)*. We are hereby submitting our Proposal, which includes a Technical Proposal sent in a separate file, and this Financial Proposal, through electronic submission. The password for this financial proposal *(\*\*\*\*)*

Our attached Financial Proposal is for the sum of *(Insert amount in words and figures)*.

Our Proposal shall be valid and remain binding upon us for the period of time specified in the RFP Documents, and subject to the modifications resulting from Contract negotiations. We confirm that the amount stated above is inclusive of GST/ VAT and other applicable tax. We acknowledge and accept your right to inspect and audit all records relating to our Proposal irrespective of whether we enter into a contract with ASEAN as a result of this proposal or not.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorized Signature

Name and Title of Signatory :

Date :

Name of Firm :

Address :

*(Stamp with official stamp of the Tenderer)*

**Form H. Financial Proposal**

**I. Cost Breakdown by Professional Fee**

#	Team Member	Role in project	Daily Rate	# of days	Total professional fees
1	Name 1				
2	Name 2				
3	Name 3				
4	...				
A	Total Professional Fees				
#	Other Expenses (if applicable)	Description	Item Cost	# of items	Total Other Expenses
1	Name 1				
2	Name 2				
3	Name 3				
4	...				
B	Total Other Expenses				
<b>GRAND TOTAL (A+B)</b>					

**II. Cost Breakdown by Deliverables**

#	Deliverable	Description	# of days	Total professional Fees	Total Other Expenses	Total Cost
1	Deliverable 1					
2	Deliverable 2					
3	Deliverable 3					
4	...					
<b>GRAND TOTAL</b>						

**III. Additional Notes (if any)**