



**ASEAN-Australia-New Zealand Free Trade Area (AANZFTA)
Economic Cooperation Support Programme (AECSP)**

Request for Proposal

**Consulting Opportunity to Support
In-Country Capacity Building Workshops on
Declaration of Origin under AANZFTA
[AANZ-0077-ROO-12]**

**PROPOSAL MUST BE RECEIVED BY
03 July 2018**

EMAIL PROPOSAL TO:

AANZFTA Support Unit
External Economic Relations Division
ASEAN Economic Community Department
The ASEAN Secretariat
Jakarta 12110, Indonesia
Email: ecwp@asean.org

Prepared by: AANZFTA Support Unit / EERD / MID
Date: May 2018

1. EXECUTIVE SUMMARY

1. The current AANZFTA Rules of Origin (ROO) uses Certificate of Origin (CoO) as documentary evidence in a support of a claim of origin of traded goods. Australia and New Zealand propose that origin certification under AANZFTA be provided by either self-certification through Declaration of Origin (DoO) or a Certificate of Origin (CoO). DoO is a simplified process allowing importers to claim preferential treatment based on origin declaration made by the exporters/manufacturers.
2. The Sub-Committee on Rules of Origin (SCROO), at its 12th Meeting held in Auckland, New Zealand, 30 May – 2 June 2017, discussed the proposal of Australia and New Zealand on having a pilot program on Declaration of Origin under AANZFTA Rules of Origin, i.e. the origin certification under AANZFTA be provided by either Certificate of Origin (CoO) or Declaration of Origin (DoO). The pilot program, during its implementation, will provide options for traders to either use the current CoO system or issue DoO for their exported goods.
3. The overall aim of the DoO Pilot Program is to assist ASEAN Member States (AMS) in effectively and efficiently designing, implementing and monitoring the use of DoO. This will enable the facilitation of trade and delivery of AANZFTA benefits to exporters.
4. This project aims to support the negotiation of a DoO Pilot Program through (i) creating an awareness and promoting understanding among AMS officials and private sectors (manufacturers, traders, exporters, etc.) on the concept and elements of a declaration of origin including the coverage, risk management, documentation and verification mechanism, (ii) providing capacity building to relevant AMS officials to negotiate the mechanism required in the DoO Pilot Program and to business to understand DoO mechanism.

2. SCOPE OF WORK

2.1. PROJECT OVERVIEW

5. To achieve the objective of the project, the project will support the conduct of in-country workshops on DoO for AMS. Outputs that will be produced from these activities are a set of recommendation from country reports on DoO for SCROO to consider and a workbook on DoO for the AMS which includes an explanation on the a possible Pilot DoO Program, how to use risk management to determine eligibility to use the DoO, how to use risk management when selecting exports using DoO for audit, how to conduct an audit of an export using a DoO and reporting of DoO usage.
6. The Project requires engagement of an international expert consultant or consultancy firm to support SCROO in assisting AANZFTA Parties in preparation for negotiating a DoO Pilot Program through providing necessary capacity building to officials in AANZFTA Parties.
7. Essentially the consultant is being asked to undertake the following tasks:
 - a. Develop a workbook on DoO which provides, among others, (1) an explanation on a Pilot DoO Program, (2) how to use risk management to determine eligibility to use a Pilot DoO Program, (3) how to use risk management when selecting exports using DoO for audit, (4) how to conduct an audit of an export using a DoO, (5) reporting of

DoO usage developed and disseminated to AMS, (6) addressing country specific issues

- b. Facilitate eight in-country trainings (one day training per country)^{*/} targeting participants from relevant agencies who presently handle CoO and would be required to handle DoO under Pilot program e.g. customs officials, officials from issuing authority, private sectors (exporters, manufactures, etc.), i.e. one in-country training each for Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Viet Nam, through the provisions of (i) developing agenda for the training based on the DoO workbook to be developed, (ii) preparing workshop materials, such as, but not limited to, presentation slides, examples and exercises, (iii) facilitating delivery of training; and (iv) preparing training report from each in-country training highlighting, among others, country specific issues, if any, output of discussions and recommendations.

^{*/} Length of workshop: 0.5 days per session, two sessions be held in each AMS, a morning and an afternoon session on the same day. Possible arrangement for participation of government officials and private sectors in each session (e.g. each session will be for combined government officials and private sectors; or government officials will have separate session from private sector session) has yet to be considered by SCROO

8. The main output of this project will be, but not limited to:

- a. **Workbook on Declaration of Origin for AANZFTA ROO**, which includes, among others,
 - (1) an explanation on a Pilot DoO Program and necessary legal documents to implement the Pilot Program;
 - (2) how to use risk management to determine eligibility to use a Pilot DoO Program;
 - (3) how to use risk management in selecting exports using DoO for audit;
 - (4) how to conduct an audit of an export using a DoO;
 - (5) reporting of DoO usage developed and disseminated to AMS; and
 - (6) addressing country specific issues;
- b. **Draft agenda for in-country trainings** to be conducted in each eligible AMS ¹;
- c. **PowerPoint presentations and materials** for eight in-country trainings;
- d. **In-country training reports** documenting and reporting the result of the in-country trainings including country specific issues, if any, output of discussions and recommendations from the in-country trainings.

2.2. PROJECT REQUIREMENTS

9. All documents produced under this project will have to be submitted to SCROO, through the ASEAN Secretariat, for consideration and comments. Workbook on Declaration of Origin, referred to in paragraph 7(a), will have to be finalised and agreed by SCROO before the conduct of the in-country trainings.
10. Selection Criteria - an application should include the consultant's qualifications and expertise as follows:

¹ ODA eligible AMS are Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, Viet Nam

- A demonstrated high level of expertise and extensive experience in regulatory policy and knowledge on rules of origin in various FTAs, best practices in origin declaration including self-origin declaration;
- A demonstrated high level of expertise and possesses sufficient qualifications in the field risk management relevant to rules of origin, including origin declaration and certification, relevant origin audit process;
- A demonstrated high level of expertise and extensive experience in monitoring and reporting usage of declaration of origin for FTA;
- A willingness to work collaboratively with the ASEAN Secretariat, and other relevant parties, on this project;
- Ability to deliver within the proposed timeframes;
- Experience in consulting work in ASEAN/AANZFTA as a region and with individual AANZFTA Parties is preferred but not necessary

3. RFP REQUIREMENTS PROCESS

3.1 STRUCTURE OF THE DOCUMENT

11. The Technical Proposal to be submitted must include, but not limited to, the following sections:
 - a. Executive Summary
 - b. Expert Team, including sub-contractor, if any
 - c. Proposed Methodology
 - d. Risk Management
 - e. Work Plan

3.2 PROPOSAL SUBMISSION INSTRUCTIONS

- a. All proposals must be submitted in English.
- b. Consultant should indicate the Title of the Tender at the subject of the email.
- c. The Technical and Finance Proposals must be submitted in two separate documents.
- d. Consultant must not include any financial/cost data in the Technical Proposal, but only in the Financial Proposal.
- e. The proposal should be concisely presented and structured, and should explain in detail the Consultant'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:

AANZFTA Support Unit
 External Economic Relations Division
 ASEAN Economic Community Department
 The ASEAN Secretariat
 Jakarta 12110, Indonesia
 Email: ecwp@asean.org

3.3 RFP RELATED QUESTIONS / CLARIFICATIONS / SUBMISSION

12. All questions related to this RFP should be directed to: AANZFTA Support Unit, at ecwp@asean.org
13. Consultant must ensure that both Technical & Financial Proposals are received via email at the following address before the tender closing date <03 July 2018>.

AANZFTA Support Unit
External Economic Relations Division
ASEAN Economic Community Department
The ASEAN Secretariat
Jakarta 12110, Indonesia
Email: ecwp@asean.org

3.4 RFP TERMS & CONDITIONS

3.4.1 Bid Expiration Date

14. Received proposal shall be valid until **end of October 2018**.

3.4.2 Implementation/Delivery Schedule

15. Appointment and contract of the consultant or consultant team will be negotiated by the ASEAN Secretariat, in consultation SCROO Co-Chairs.
16. SCROO Co-Chairs of ASEAN, Australia and New Zealand and the ASEAN Secretariat will select the Consultant.
17. In carrying out his/her assignment, the consultant or consultant team will work closely with the ASEAN Secretariat and SCROO Co-Chairs. Communication and reporting process of the Consultant to the SCROO Co-Chairs will be done through the ASEAN Secretariat.
18. The proposed timeline for hiring and activities of the consultant or consultant team will be as follows:

| Deliverables and Milestones | Dates |
|--|---------------------|
| Consultant/consultant team hired | July 2018 |
| | |
| DoO Workbook | July – October 2018 |
| Submission of draft DoO Workbook for circulation and consideration by SCROO | |
| Submission of revised draft DoO Workbook for circulation and consideration by SCROO | |
| Submission of the 2 nd revision of the draft DoO Workbook, if needed, for approval by SCROO | |
| | |
| Agenda and Materials for in-country trainings | November – December |

| Deliverables and Milestones | Dates |
|---|----------------------|
| (Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Viet Nam) | 2018 |
| Submission of draft agenda and materials for the in-country trainings for circulation and consideration by SCROO | |
| Submission of revised draft agenda and materials for the in-country trainings for circulation and consideration by SCROO | |
| Submission of the 2 nd revision of the draft agenda and materials, if needed, for approval by SCROO | |
| | |
| Conduct and facilitate eight In-Country Trainings (one day training per country). Preferably, all in-country trainings to be conducted in weekly blocks, i.e. to conduct series in-country training for two or three different countries within one week. Each weekly block will be separated by two-week break to allow initial review of earlier weekly block trainings. | January – March 2019 |
| Consultant’s report: Consultant’s documentation and report of the in-country capacity building, including county specific issues, if any, output of discussions and recommendations from each in-country trainings. | March – April 2019 |

19. The Consultant would be expected to complete the scope of work and activities reflected in paragraph 7 of this document with maximum 29 input days (based on the actual number of days of training and not to include travel days for the in-country trainings).

4. RESPONSE FORMAT (PROPOSAL FORMAT)

4.1 PROPOSAL CONTENT / FORMAT

20. The application should be submitted in two (2) parts: Technical and Financial proposal.
21. Technical Proposal should include the following information:
- a. A methodological discussion, to cover, among others, understanding of the needs of the project, brief analysis of the key issues, analytical strategy to address the key issues, tools and techniques to be used, possible limitations in carrying out the project;
 - b. Detailed work plan to identify activities to be undertaken and its possible timeline;
 - c. Expert team to support the work, including team management plan and CVs of all proposed experts;
 - d. Brief discussion on the firm’s past experience in undertaking similar work and brief summary of all projects undertaken;
 - e. Other information to substantiate the capacity of the applicants to undertake the project; and
 - f. Completed company information based on template reflected in Appendix 1 and Appendix 1A.

4.2 FINANCIAL PROPOSAL

22. Financial proposal should include the cost of consultancy with the following details:
- Consultancy fee for developing Workbook on Declaration of Origin, training agenda, training materials, in-country training reports in unit cost and the number of hours/days;
 - Facilitating in-country training for 8 ASEAN Member States in unit cost and the number of hours/days; and
 - Miscellaneous charges, if applicable.
23. The cost of travel and accommodation for the consultant, as may be required by the ASEAN Secretariat, shall be paid based on actual costs and borne by the Project Fund.

5. COMPLIANCE

24. In conformance to the ASEAN Secretariat's Financial Rules and Administrative Procedures (AFARP), the Consultant shall submit Tender Bids in two separate documents as follows:

- 1) **Technical Proposal** (see description under section 4). Please complete and attach Appendix 1 and 1a - Company General Information and List of Clients; and completed Compliance Checklist as per Appendix 2 to this RfP;

Consultant must not include any financial/cost data in the Technical Proposal, but only in the separate document titled Financial Proposal.

- 2) **Financial Proposal** (see description under section 4). Please complete submit the financial proposal which shall include detailed cost estimates including a summary sheet indicating the unit prices; payments schedule, following Appendix 3 to this RfP

All documents have to be submitted in English and price quoted in United States or Australian Dollar.

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

Appendix 1

Company General Information

(For individual consultants, a curriculum vitae is required in lieu of this document)

*To be submitted together in the **Technical Proposal***

| | | | |
|---|--|-----------------------|--|
| Company LEGAL Name: | | | |
| Division or Subsidiary (if applicable): | | | |
| Company Address: | | | |
| City: | | | |
| Province / State: | | | |
| Country: | | | |
| Postal Code: | | | |
| Telephone: | | | |
| Business Name Registration: | | | |
| Tax Registration Number: | | | |
| Valid Business Permit: | | | |
| Company 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.
Customer Reference
To be used for 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 2

Technical Requirements *To be used for the Technical Proposal*

| No | AECSP Requirements |
|----|--|
| 1 | A demonstrated high level of expertise and extensive experience on rules of origin in various FTAs, in particular origin declaration including self-origin declaration |
| 2 | A demonstrated high level of expertise and possesses sufficient qualifications in the field risk management relevant to rules of origin, including origin declaration and certification, relevant origin audit process |
| 3 | A demonstrated high level of expertise and extensive experience in monitoring and reporting usage of origin declaration of origin for FTA |
| 4 | A willingness to work collaboratively with the ASEAN Secretariat, and other relevant parties, on this project |
| 5 | Ability to deliver within the proposed timeframes |

APPENDIX 3

Price and Payment Schedule

<Only if required> To be used for the Financial Proposal

A. PRICE

Unit: USD or AUD

| No. | Description | Unit | Price (Total estimated cost) |
|--------------|--|-------------|------------------------------------|
| 1 | Professional Services | | |
| | - Input days for each expected output | (# of days) | |
| 2 | Other reimbursable expenses | | |
| | - Item 1 | | |
| | - Item 2 | | |
| TOTAL | | | |

B. PROPOSED PAYMENT SCHEDULE