

Request for Expression of Interest (REOI)

for

Selection of Service Provider for Formalization of Digital Record Room

Published by:

Directorate General of Shipping, Govt. of India
9th Floor, Beta Building,
i-Think Techno Campus, Kanjurmarg (East), Mumbai - 400 042, India

07 November 2024

Reference No: 18-23011/7/2020-ADMIN/REOI/001

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Part I: REOI Process

SECTION I: Request for Expression of Interest (REOI)

1. Invitation

Organisation Background / About DGS

The Directorate General of Shipping (DGS), an attached office of the Ministry of Ports, Shipping and Waterways, Govt. of India, deals in matters relating to merchant shipping. The DGS deals with all matters concerning the Maritime Administration, Maritime Education and Training, development of Shipping Industry and other related subjects.

This Directorate deals with implementation of shipping policy and legislation so as to ensure the safety of life and ships at sea, prevention of marine pollution, promotion of maritime education and training in co-ordination with the International Maritime Organisation, regulation of employment and welfare of seamen, development of coastal shipping, augmentation of shipping tonnage, `ination and certification of Merchant Navy Officers, Supervision and Control of the allied departments and officer under its administrative jurisdiction.

The details about DGS and its functions are available at website <https://www.dgshipping.gov.in>

The Directorate General of Shipping (DGS) through (hereinafter referred to as 'the Authority', 'the Head of Procurement', 'the Procuring Entity' and 'the Procuring Organisation' respectively), invites Request for Expression of Interest (hereinafter referred as the 'REOIs') from eligible and qualified Indian companies/agencies for Selection of Service Provider for Formalization of Digital Record Room

Applicants meeting the qualification criteria would be shortlisted and may be invited for presentation before the selection committee of the Directorate General of Shipping for the final selection. The date and venue of the presentation will be intimated with bidders later. It may be noted that the information in this REOI is indicative only and is liable to change. The actual Scope of Work will be available in the Request for Proposal (RFP) document which will be issued to the eligible / short listed bidders selected through this REOI.

2. Instructions for REOI

2.1 Important Dates

#	Particulars	Date
1	Date of availability of REOI on CPPP portal	Refer CPP Portal
2	Start date for submission of EOI response	
3	Start date for submission of queries	
4	Last date for submission of queries	
5	Date of uploading of responses to queries on CPP Portal	
5	Last date for submission of EOI response	
6	Opening of Bids	

2.2 Advertisement of REOI

The REOI document shall be published on Central Public Procurement Portal – CPPP (<https://eprocure.gov.in/eprocure/app>) and official website of DGS (<https://www.dgshipping.gov.in>).

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All corrigenda, addendums, amendments, date change to REOI shall be posted at the aforesaid portals and no separate notification shall be issued.

2.3 Governing Language and Law

The REOI submitted by the Service Providers and all subsequent correspondence and documents relating to the REOI exchanged between the Service Provider and the DGS, should be written in the language specified in Section II: Appendix (or English if nothing is specified - hereinafter referred to as the 'REOI Language'). However, the language of any printed literature furnished by a Service Provider in connection with its REOI may be written in any other language provided a certified translation accompanies the same in the REOI language. For interpretation of the REOI, translation in the language of the REOI shall prevail.

The REOI process shall be subject to the laws of the Union of India and the exclusive jurisdiction of courts relevant to the address of the Tender Inviting Authority.

2.4 Acronyms

The following Acronyms have been used in this REOI document:

Acronym	Full Form
DGS	Directorate General of Shipping
REOI	Request for Expression of Interest
CPPP	Central Public Procurement Portal
QCBS	Quality and Cost Based Selection
ISO	International Organization for Standardization
CMMI	Capability Maturity Model Integration
OCR	Optical Character Recognition
DMS	Document Management System
FM200	HFC 227ea (Heptafluoropropane) Fire Suppression System
NVR	Network Video Recorder
CMS	Central Monitoring System
TOR	Terms of Reference
IT	Information Technology
BIS	Bureau of Indian Standards
RFP	Request for Proposal
TAT	Turnaround Time

2.5 The Contents of the REOI document

This REOI document provides the relevant information and instructions to assist the prospective Service Provider's in preparing and submitting REOIs. It also includes the mode and procedure for receipt/ opening, evaluation of REOIs, and shortlisting of Service Providers.

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The REOI document consists of the following parts. If additional sections/ appendices are included in a specific REOI, these would be detailed in Section II: Appendix.

Part I: REOI process

- 1) Section I: Request for Expression of Interest (REOI)
- 2) Section II: Appendix
- 3) Section III: Qualification Criteria

Part II: Schedule of Requirements

- 1) Section IV: Terms of Reference

Part III: REOI Submission Formats

- 1) Form 1: REOI Form (Covering Letter)
 - a) Form 1.1: Service Provider Information
 - b) Form 1.2: Eligibility Declarations
- 2) Form 2: Qualification Criteria – Compliance
 - a) Form 2.1: Performance Capability Statement
 - b) Form 2.2: Financial Capability Statements
 - i) Form 2.2.1: Financial Statement
 - ii) Form 2.2.2: Average Annual Turnover
- 3) Form 3: Checklist for Service Provider
- 4) Form 4: Declaration for No Conflict of Interest
- 5) Form 5: Details of ineligibility for corrupt or fraudulent practices / blacklisted with any of the Government or Public Sector Units
- 6) Form 6: Authorisation to Attend Pre-REOI Conference
- 7) Form 7: Other information required

2.5.1 Section II: Appendix

Variable parameters and information related to this specific REOI process are summarised in the appendix.

2.5.2 Section III: Qualification Criteria:

This section lays down the Qualifying Criteria for shortlisting Service Provider. The Service Provider must have requisite experience with assignments similar in nature in general and specific sectors relevant to the subject assignment. It may indicate the extent of dispensation, if any, allowed for Start-ups under Clause 5.1 below. Unless otherwise stated in Section II: Appendix, Service Provider may associate with other firms to enhance their qualifications but should indicate clearly whether the association is in the form of a joint venture/consortium (JV/C) and/or a sub-consultancy. In response to this section, Service Provider must submit Form 2: Qualification Criteria – Compliance and its sub-forms 2.1, 2.2, 2.2.1 and 2.2.2.

2.5.3 Section IV: Terms of Reference (TOR)

‘Section IV: Terms of Reference (TOR)’ describes the background, purpose/ objectives, description/ scope, deliverables/ outcomes, and timelines of Services (hereinafter called the ‘Service’) required. The ‘Service’ may include incidental Goods, Works, and other Services if so

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indicated therein. Any generic reference the 'Service' shall be deemed to include such incidental Goods, Works, and other Services.

2.5.4 REOI Formats for submission (To be filled, digitally signed, and uploaded by Service Provider)

The Service Provider must fill, digitally sign and upload the REOI in the Formats given in Part III: REOI Submission Formats.

2.6 Corrigenda/Addenda to the REOI document

- 1) Before the deadline for submitting REOIs, the DGS may update, amend, modify, or supplement the information, assessment or assumptions contained in the REOI document by issuing corrigenda and addenda. The corrigenda and addenda shall be published in the same manner as the original REOI document. The Service Providers must check the website(s) for any corrigenda/ addenda. Any corrigendum or addendum thus issued shall be considered a part of the REOI document.
- 2) If considered necessary, the DGS may suitably extend the REOI submission deadline to give reasonable time to the prospective Service Providers to take such corrigendum/ addendum into account in preparing their REOI. After the DGS makes such modifications, any Service Provider who has submitted his REOI shall have the opportunity to either withdraw his REOI or re-submit his REOI superseding the original REOI within the extended time of submission as per Clause 8.4 below.
- 3) The DGS may extend the deadline for the REOI submission by issuing an amendment. In such a case, all rights and obligations of the DGS and the Service Providers previously subject to the original deadline shall then be subject to the new deadline for the REOI submission.

3. DGS – Right to reject any or all REOIs.

The issue of the REOI document does not imply that the Procuring Entity is bound to shortlist Service Providers. The Procuring Entity reserves its right to accept or reject any or all REOIs, abandon/ bypass/ cancel the REOI process and issue another REOI for the same or similar Services before or after shortlisting Service Providers. It would have no liability to the affected Service Providers or any obligation to inform the affected Service Providers of the grounds for such action(s).

4. Participation IN REOI – Eligibility Criteria

4.1 Eligibility Criteria

Subject to other provisions in the REOI document, participation in this shortlisting process is open to all Service Provider who fulfil the 'Eligibility' and 'qualification' criteria. The Service Provider should meet the following eligibility criteria as of the date of their REOI submission and should continue to meet these until the subsequent RFP process and contract award. The Service Provider shall be required to demonstrate fulfilment of the Eligibility Criteria in Form 1.2 (Eligibility Declarations). The Service Provider unless otherwise stipulated in Section II: Appendix.

EC #	Condition	Criteria	Supporting Document
EC1	Legal Entity	The Service Provider must be a private entity (a Consulting	Copy of certificate for Registration

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EC #	Condition	Criteria	Supporting Document
		Company/ LLC/ LLP /Partnership firm/ Society registered in India under the Companies Act, 1956, 2013, 2020 / LLP Act, 2008 and subsequent amendments thereto), a public Entity (Government-owned enterprise or institution), or unless otherwise stipulated in Section II: Appendix - Joint Venture/ Consortium (an association of several persons, firms, or companies - hereinafter referred to as JV/C).	To be submitted for - <ul style="list-style-type: none"> • Single Bid - Bidder • Consortium Bid – Lead Bidder
EC2	Registration Certification by the concerned authority/government	The Service Provider must have valid registration regarding GSTIN, PAN, EPF, ESI, Labour, or equivalent registration certificate issued by the concerned authority/government as applicable to the subject Services.	Copy of certificate for Registration To be submitted for - <ul style="list-style-type: none"> • Single Bid – Bidder • Consortium Bid – Lead Bidder
EC3	Declaration of Insolvency, Bankruptcy, etc.	The Service Provider must not be insolvent, in receivership, bankrupt or being wound up, not have its affairs administered by a court or a judicial officer, not have its business activities suspended, and must not be the subject of legal proceedings for any of aforesaid reasons.	Declaration by authorised signatory in Form 1.2 In case of: <ul style="list-style-type: none"> • Single Bid – Bidder • Consortium Bid – All members
EC4	Blacklisting by Govt.	i.The Service Provider must Not stand declared ineligible/ blacklisted/ banned/ debarred by the Procuring Organisation or its Ministry/ Department from participation in its	Declaration by authorised signatory in Form 1.2 In case of: <ul style="list-style-type: none"> • Single Bid – Bidder • Consortium Bid – All members

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EC #	Condition	Criteria	Supporting Document
		<p>procurement processes; and/ or</p> <p>ii. Not be convicted (within three years preceding the last date of EOI submission) or stand declared ineligible/ suspended/ blacklisted/ banned/ debarred by appropriate agencies of the Government of India from participation in procurement processes of all its entities, for:</p> <p>a. offenses involving moral turpitude in business dealings under the Prevention of Corruption Act, 1988 or any other law; and/or</p> <p>b. offenses under the Indian Penal Code or any other law for causing any loss of life/ limbs/ property or endangering Public Health during the execution of a public procurement contract and/ or</p> <p>c. suspected to be or of doubtful loyalty to the Country or a National Security risk as determined by appropriate agencies of the Government of India.</p> <p>iii. Not have changed its name or created a new "Allied Entity", consequent to having declared ineligible/ suspended/ blacklisted/ banned/ debarred as above</p>	

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EC #	Condition	Criteria	Supporting Document
EC5	Conflict of Interest	The Service Provider must Not have a conflict of interest (as defined in clause 1.5, Conflict of Interest below), which substantially affects fair competition. No attempt should be made to induce any other Bidder to submit or not to submit an EOI to restrict competition.	Declaration by authorised signatory in Form 1.2 In case of: <ul style="list-style-type: none">• Single Bid – Bidder• Consortium Bid – All members

Not have a conflict of interest (as defined in clause 4.5 below), which substantially affects fair competition. No attempt should be made to induce any other consultant/ Service Provider to submit or not to submit an REOI to restrict competition.

4.2 Eligibility of Service Provider from Restricted Countries

4.2.1 Restrictions based on Reciprocity.

Entities from countries (if so, identified in Section II: Appendix) as not allowing Indian companies to participate in their Government procurement shall not be allowed to participate (directly or as a sub-contractor or as a member of a JV/C) on a reciprocal basis in this REOI process under the “Public Procurement (Preference to Make in India) Order 2017¹” (MII – para 10 -d) of Department for Promotion of Industry and Internal Trade, (DPIIT). The Service Provider must apprise themselves of the latest version of this order.

4.2.2 Restrictions based on Land Borders

Order (Public Procurement No. 1) issued by the Government of India (Ministry of Finance Department of Expenditure Public Procurement Division) restricting procurement from Service Provider from certain countries that share a land border with India shall apply to this procurement. The Service Provider must apprise themselves of the latest version of this order. Any Service Provider from a country that shares a land border with India, excluding countries to which the Government of India has extended lines of credit or in which the Government of India is engaged in development projects (as listed on the website of the Ministry of External Affairs), – hereinafter called ‘Restricted Countries’ shall be eligible to participate in this REOI, only if the Service Provider is registered with the Registration Committee constituted by the Department for Promotion of Industry and Internal Trade (DPIIT). The Service Provider shall enclose the certificate in Form 1 - REOI Form.

4.3 Sub-Consultants/Sub-Contracting

The Service Provider may propose to associate Sub-consultants for specialised parts of the Services provided their names and details are clearly stated in the REOI. Such Sub- consultants should not circumvent the eligibility condition laid down above. The value of such sub-contracts shall not exceed the limit specified (25% of the contract price, if not specified) in Section II: Appendix. Nevertheless, the Service Provider shall solely remain responsible for sub-contracted

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portions of the Services. Key and Non-key personnel, whether full-time employees or on contract, shall not be considered sub-consultants. Procurement of incidental goods, equipment hires, or labour engagement shall not be treated as sub-contracting.

4.4 Joint Venture/Consortium (JV/C)

- 1) In the case where a Service Provider is or proposes to be a Joint Venture/ Consortium (that is, an association of several persons, firms, or companies - hereinafter referred to as JV/C), then unless otherwise specified in Section II: Appendix, in JV/C:
 - a) members should not be more than four (04)
 - b) no member should have less than 10% participation.
 - c) members having participation between 10% and 20% shall be termed as non-substantial members.
 - d) Members having more than 20% participation shall be termed as substantial members.
 - e) The Lead member must have at least 40% participation.
 - f) The lead member/consultant and various categories of members of the JV/C must be identified.
 - g) Number of non-substantial members shall not be more than one (01)
- 2) The JV/C and all members must satisfy all the eligibility requirements in this REOI document.
- 3) JV/C and its members must jointly meet the qualification criteria in Section III
– Qualification Criteria. The technical/ experience qualification of all JV/C members (substantial members, Lead member and non-substantial members) shall be evaluated jointly as per Evaluation Criteria. However, for financial criteria of qualification, credentials of substantial and lead members (excluding non-substantial members) shall only be considered.
- 4) All the members shall be jointly and severally liable for the entire contract if selected in the RFP Process.

4.5 Conflict of Interest

- 1) Any Service Provider with a conflict of interest that substantially affects fair competition shall not be eligible to participate in this procurement process. REOIs found to have a conflict of interest shall be rejected as nonresponsive. Consultant shall be required to declare the absence of such conflict of interest in Form 1.2 - Eligibility Declarations. A consultant in this procurement process shall be considered to have a conflict of interest if the consultant:
 - a. directly or indirectly controls, is controlled by or is under common control with another Consultant; or
 - b. receives or has received any direct or indirect subsidy/ financial stake from another Service Provider; or
 - c. has the same correspondence address or same legal representative/ agent as another Service Provider for purposes of this REOI; or
 - d. has a relationship with another Service Provider, directly or through common third parties, which puts it in a position to have access to information about or influence the REOI of another Service Provider; or
 - e. would be providing goods, works, or non-consulting services resulting from or directly related to consulting services that it provided (or were provided by any affiliate that directly or indirectly controls, is controlled by, or is under common control with that firm) for the procurement planning (inter-alia preparation of feasibility/ cost estimates/ Detailed Project

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Report (DPR), design/ technical specifications, terms of reference (TOR)/ Activity Schedule/ schedule of requirements or the REOI/ RFP Document etc) of this procurement process; or

f. has a close business or family relationship with a staff of the Procuring Organisation who:

- i. are directly or indirectly involved in the preparation of the REOI document or Terms of Reference of the procurement process and/or the evaluation in REOI and/ or RFP process; or
- ii. would be involved in the implementation or supervision of the resulting contract
- iii. Any conflict stemming from such a relationship must be reported and resolved in a manner acceptable to the Procuring Entity throughout the REOI and RFP processes and execution of the contract.
- iv. A Service Provider may participate as a sub-consultant in more than one bid but only in that capacity (i.e., without bidding in an individual capacity). Bids submitted in violation of this procedure will be rejected.

2) Participation of only One Entity from Affiliates: Only one entity from among a Service Provider and its affiliates (that directly or indirectly control or are controlled by or are under common control with that firm) individually or as part of a joint venture or as a Sub-consultant shall be permitted to participate in REOI.

3) The Service Provider shall furnish information on commissions and gratuities, if any, paid or to be paid to agents or any other party relating to this REOI and RFP process.

5. Purchase preference policies of the government

5.1 Relaxation in Prior Turnover and Experience to Start-ups

Intentionally Removed

6. Downloading the REOI document, clarifications and pre-EOI conference

6.1 Availability and Downloading of the REOI Document

The REOI Document containing the details of qualification criteria, submission requirement, brief objective & scope of work, etc. is enclosed. REOI document is also available for downloading from the CPPP Portal (<https://eprocure.gov.in/eprocure/app>) and from DGS website www.dgshipping.eov.in. Further details, if any, may be obtained from DR Pandurang Raut, DDG Admin, Directorate General of Shipping, 9th Floor, BETA Building, I-Think Techno Campus, Kanjur Village Road, Kanjurmarg (E), Mumbai-400042. Email: pandurang.raut@nic.in

Interested Service Providers should provide sufficient and relevant information demonstrating that they meet the specified eligibility criteria and have the required qualifications to be shortlisted for providing the Services.

6.2 Clarifications

A Service Provider may seek clarification of the REOI document only through the CPPP portal (<https://eprocure.gov.in/eprocure/app>) before the date and time prescribed in Section II: Appendix (or, if not mentioned, before fourteen days of the deadline for the REOI submission). This deadline shall not be extended in case of any intervening holidays. No other means of submission of queries

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shall be entertained. All such queries shall relate to the REOI document alone, and queries related to a detailed analysis of Reference, payment terms and mode of selection shall only be entertained during the RFP Process. The Procuring Entity shall respond no later than seven days before the deadline for REOI submission. The query and clarification shall be shared with all prospective Service Providers on the portal without disclosing its source. If required, the Procuring Entity may modify the REOI document that may become necessary due to the clarification through an Addendum/ Corrigendum issued as per clause 2.4 above

7. Preparation of REOI

7.1 REOI Submission Formats:

The Service Provider must fill and submit the REOI in the Formats in Part III - REOI Submission Formats'. REOI by the Service Provider shall include inter-alia duly signed or digitally signed scanned copies of the original documents in pdf format.

7.2 EOI Validity

- 1) Unless specified to the contrary in Section II: Appendix, REOIs shall remain valid for a period not less than 60 (sixty) days from the deadline for the REOI submission stipulated in Section II: Appendix. An REOI valid for a shorter period shall be rejected as nonresponsive.
- 2) In case the day up to which the REOIs are to remain valid falls on/ subsequently declared a holiday or closed day for the Procuring Entity, the REOI validity shall automatically be deemed to be extended up to the next working day.
- 3) In exceptional circumstances, before the expiry of the original time limit, the Procuring Entity may request the Service Provider to extend the validity period for a specified additional period. The request and the consultants' responses shall be made in writing or electronically. A Service Provider may agree to or reject the request. A Service Provider who has agreed to the Procuring Entity's request for extension of EOI validity, however, in no case he shall be permitted to modify his REOI.

8. Signing and uploading of REOIs

8.1 Relationship between Service Provider and eProcurement Portal

The Procuring Entity is neither a party nor a principal in the relationship between the Service Provider and the organization hosting the e-procurement portal (<https://eprocure.gov.in/eprocure/app>) (hereinafter called the portal). Service Providers must comply with the rules, conditions, regulations, procedures, and implied conditions/ agreements of the eProcurement portal, including registration, compatible Digital Signature Certificate (DSC) etc. Service Providers shall settle clarifications and disputes, if any, regarding the portal directly with them. In case of conflict between provisions of the portal with the REOI document, provisions of the portal shall prevail. Service Providers may study the resources provided by the Portal for Service Providers.

8.2 Signing of REOI

The individual signing/ digitally signing the REOI or any other connected documents should submit an authenticated copy of the document(s), which authorizes the signatory to commit and submit REOIs on behalf of the Service Provider along with Form 1.1: Service Provider Information.

8.3 Submission/Uploading of REOIs

8.3.1 Submission/Uploading to the Portal

- 1) REOIs must be uploaded on the eProcurement Portal (<https://eprocure.gov.in/eprocure/app>) mentioned in Section II: Appendix until the submission deadline. If the office happens to be closed on the deadline to submit the REOIs as specified above, this deadline shall not be extended. No manual REOIs shall neither be made available nor accepted for submission. REOI submitted through modalities other than those stipulated in Section II: Appendix shall be liable to be rejected as nonresponsive.
- 2) In the case of downloaded documents, Service Providers must not make any changes to the contents of the documents while uploading, except for filling in the required information. Otherwise, the REOI shall be rejected as nonresponsive. Uploaded Pdf documents should not be password protected. Service Providers should ensure the clarity/ legibility of the scanned documents uploaded by them.
- 3) The date and time of the e-Procurement server clock, which is also displayed on the dashboard of the Service Provider, shall be taken as the reference time for deciding the closing time of REOI submission. Service Providers are advised to ensure they submit their REOI within the deadline of REOI submission, taking the server clock as a reference, failing which the portal shall not accept the REOIs. No request on the account that the server clock was not showing the correct time and that a particular Service Provider could not submit their REOI because of this shall be entertained. Failure or defects on the internet or heavy traffic at the server shall not be accepted as a reason for a complaint. The Procuring Entity shall not be responsible for any failure, malfunction or breakdown of the electronic system used during the e-Tender process.
- 4) Only one copy of the REOI can be uploaded, and the Service Provider shall digitally sign all statements, documents, and certificates uploaded by him, owning sole and complete responsibility for their correctness/ authenticity as per the IT Act 2000 as amended from time to time. An REOI submitted by a Joint Venture shall be digitally signed by an authorized representative who has a written power of attorney signed by each member's authorized representative to be legally binding on all members.
- 5) All REOIs uploaded by Service Providers to the portal shall get automatically encrypted. The encrypted REOI can only be decrypted/ opened by the authorized persons on or after the due date and time. They should ensure the correctness of the REOI before uploading and take a printout of the system-generated submission summary to confirm successful REOI upload.

8.3.2 Implied acceptance of procedures by Service Provider

Submission of REOI in response to the REOI document is deemed to be acceptance of the procedures and conditions of the e-Procurement and REOI document.

8.3.3 Responsibility of the Service Provider to declare all changes.

Service Provider must advise DGS immediately in writing of any material change to the information provided in their REOI submission, including any substantial change in their ownership, eligibility, or financial or performance capacity. For shortlisted Service Providers, this requirement applies until a contract is awarded in the following RFP process. For the consultant

successful in the RFP process, this requirement shall apply till the execution of the resultant contract.

8.4 Modification, Resubmission and Withdrawal of REOIs

8.4.1 Modification and Re-submission

Once submitted in e-Procurement, Service Provider cannot view or modify their REOI since it is locked by encryption. However, resubmission of the REOI by Service Providers for any number of times superseding earlier REOI(s) is allowed up to the submission deadline by the procedures prescribed in the portal. Resubmission of an REOI shall require uploading all documents afresh. The system shall consider only the last REOI successfully submitted.

8.4.2 Withdrawal

The consultant may withdraw his REOI before the submission deadline by following procedures prescribed by the portal, and it shall be marked as withdrawn and shall not get opened during the REOI opening. Once withdrawn, the consultant will not allow to submit the same REOI. No REOI should be withdrawn after the submission deadline and before its validity period expires.

9. REOI opening.

REOIs received shall be opened on date and time in Section II: Appendix.

10. Evaluation of REOIs and shortlisting of Service Providers

10.1 General Norms

10.1.1 Evaluation is based only on declared criteria

- 1) The evaluation shall be based upon scrutinising and examining all relevant data and details submitted by SI in its/ his EOI and other allied information deemed appropriate by DGS. Evaluation of EOIs shall be based only on the criteria/ conditions included in the REOI document.
- 2) Information relating to the evaluation of EOIs and shortlisting results shall not be disclosed to any participant or any other persons not officially concerned with such process until the notification of shortlisting is made in accordance with clause 10.2.5 below.
- 3) The determination shall not consider the qualifications of other firms, such as the Service Provider's subsidiaries, parent entities, affiliates, or any other firm(s) different from the Service Provider.

10.1.2 Clarification of REOIs and shortfall documents

- 1) During the evaluation of REOIs, the DGS may, at its discretion, but without any obligation to do so, ask Service Providers to clarify its EOI by a specified date (or, if not specified, seven days from the date of receipt of such request). The Service Provider should answer the clarification within that specified date. The clarification request and response shall be submitted in writing or electronically. No change in the substance of the EOI shall be sought, offered, or permitted that may grant any undue advantage to such a Service Provider. Any clarification submitted by a Service Provider regarding its EOI that is not in response to a request by the Purchasing Entity shall not be considered.

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- 2) DGS reserves its right to, but without any obligation to do so, seek any shortfall information/ documents. Provided such information/ documents are historical, which pre-existed at the time of the EOI opening and which have not undergone change since then and do not grant any undue advantage to any Service Provider. There is a provision on the portal for requesting Short-fall documents from the Service Providers. The system allows taking the shortfall documents from Service Providers only once after the EOI opening.
- 3) If the Service Provider fails to provide satisfactory clarification and/or missing information, its EOI shall be evaluated based on available information and documents.

10.1.3 Contacting Procuring Entity during the evaluation

From EOI submission to shortlisting of Service Providers, no Service Provider shall contact DGS on any matter relating to the submitted EOI. If a Service Provider needs to contact DGS relating to this EOI, it should do so only in writing or electronically. Any effort by a Service Provider to influence DGS during the REOI process shall be construed as a breach of the Code of Integrity, and EOI shall be liable to be rejected as non-responsive in addition to other punitive actions for such a breach as per the REOI document.

10.2 Evaluation of REOIs and Shortlisting

In evaluating the EOI, conformity to the eligibility and qualification criteria to those in the REOI document is ascertained. Additional factors incorporated in the REOI document shall be considered as indicated therein.

10.2.1 Determining Responsiveness

Only substantively responsive EOIs shall be evaluated for shortlisting. A substantively responsive EOI is complete and conforms to the REOI document's essential terms and conditions. Unless otherwise stipulated in Section II: Appendix, the following are some of the crucial aspects for which an EOI shall be rejected as nonresponsive:

- 1) The EOI is not in the prescribed format or is not submitted as per the stipulations in the REOI document.
- 2) The Service Provider is not eligible to participate in the EOI as per laid down eligibility criteria.
- 3) The EOI validity is shorter than the required period.
- 4) The EOI departs from the essential requirements stipulated in the EOI document.
- 5) Non-submission or submission of illegible scanned copies of stipulated documents/ declarations if any
- 6) The Service Provider fails to provide and/ or comply with the required information, instructions etc., incorporated in the REOI document or gives evasive information/ reply against any such stipulations.
- 7) The Service Provider furnishes wrong and/ or misleading data, statement(s) etc. In such a situation, besides rejecting the EOI as nonresponsive, it is liable to attract other punitive actions under relevant provisions of the REOI document for breach of the Code of Integrity

10.2.2 Evaluation of Eligibility

DGS shall determine, to its satisfaction, whether the Service Providers are eligible as per Clause 4 above to participate in the REOI process as per submission in 'Form 1.2: Eligibility Declarations'. The eligibility evaluation shall be on a "pass" or "fail" basis. A Service Provider

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must achieve a “pass” on all the criteria to proceed to the next step. Any Service Provider not achieving a ‘pass’ in any of the eligibility criteria shall be rejected as nonresponsive.

10.2.3 Evaluation of Qualification Criteria

- 1) DGS shall determine whether the Service Providers are qualified and capable in all respects to be shortlisted to provide the ‘Services’ (subject to dispensation, if any, for Start-ups, as per clause 5.1 above), as per Section III: Qualification Criteria and submission in Forms listed in Part II: ‘EOI Submission Formats’. The determination shall not consider the qualifications of other firms, such as the Service Provider’s subsidiaries, parent entities, affiliates, or any other entity different from the Service Provider. DGS reserves the right to waive minor deviations in the qualification criteria if they do not materially affect the capability of a Service Provider to perform the contract. The Experience of Key Experts are not included in the shortlisting criteria but shall be evaluated at the RFP stage.
- 2) Service Provider’s planning to subcontract any of the Key Activities indicated in Part II Schedule of Requirements to Sub- Service Providers in accordance with clause 4.3 above, shall specify the activity(ies) or parts of the Services to be subcontracted in their EOI identifying the proposed Sub-consultants in their EOI. Experience (but not Financial Qualifications) of such proposed Sub-consultant(s) can be used to meet the experience requirements specified in Section III Qualification Criteria.
- 3) Unless otherwise stipulated in Section II: Appendix, assignments completed by the Service Provider’s individual experts working privately or through other consulting firms cannot be claimed as the relevant experience of the Consultant or that of the Service Provider’s partners or sub-consultants in Form 2.1: Performance Capability Statement.

10.2.4 Verification of Original Documents at RFP Process

The DGS reserves its right to call for verification, originals of all self-certified copies of uploaded documents from the Service Provider’s during the following RFP Process. If the shortlisted Service Provider fails at that stage to provide such originals or, in case of substantive discrepancies in such documents, it shall be construed as a breach of the Code of Integrity (see clause 12 below). Such RFP proposals shall be liable to be rejected as nonresponsive in addition to other punitive actions for such a breach.

10.2.5 Declaration of Shortlisted Service Provider

- 1) EOIs of Service Provider that succeed in the above evaluation shall be shortlisted. Provisionally shortlisted Service Provider will be informed of the condition(s) that must be met before submitting their Proposal in the RFP process. Such shortlisting shall remain valid for a period specified in Section II: Appendix (six months from the date of declaration, if not so specified).
- 2) Only shortlisted (including provisionally shortlisted) Service Provider shall be invited to participate in the following RFP process. If stipulated in Section II: Appendix, if there are a larger number of consultants meeting the evaluation criteria, the shortlist shall be restricted to a specified number of Service Provider (if not specified, eight (8) Service Providers) based on higher Average Turnover (or any other criteria, if so, stipulated therein).
- 3) The name and address of the shortlisted Service Provider (s) shall be published in the portal and notice board/ bulletin/website of DGS. All Service Providers shall be advised about shortlisting of their EOIs or otherwise without disclosing the comparative position of their EOIs

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with that of others. Shortlisted Service Providers must not advertise or publish the same in any form without the prior written consent of the Procuring Entity.

- 4) Shortlisting a Service Provider is an administrative process and does not confer any legal or contractual rights on him. Since original documents/ certificates are not being called for and examined at this stage, all shortlisted shall be conditional upon final verification of such documents/ certificates during the RFP Process.

10.3 Publication of RFP following with REOI

DGS shall publish a Request for Proposal (RFP) addressed exclusively to shortlisted Service Provider for the following procurement process through the eProcurement portal (<https://eprocure.gov.in/eprocure/app>). DGS/ the Portal may issue notifications/ alerts to such Service Provider but without any liability. Such Service Provider shall be responsible for being on the lookout for the RFP on the portal. While publishing the RFP, the Procuring Entity reserves its right to elaborate further on the brief overview of the proposed procurement/scope of work, qualification Criteria and other terms & conditions without vitiating the shortlisting process. Shortlisted Service Provider shall have no claim in this regard.

11. Grievance redressal/complaint procedure

- 1) Service Providers have the right to submit a complaint or seek de-briefing if he is not shortlisted in this REOI process, in writing or electronically, within ten days of the declaration of REOI evaluation results. The complaint shall be addressed to the Head of Procurement.
- 2) Within five working days of receipt of the complaint, the Tender Inviting Authority shall acknowledge the receipt in writing to the complainant, indicating that it has been received. The response shall be sent in due course after a detailed examination.
- 3) The Tender Inviting Authority shall convey the final decision to the complainant within 15 days of receiving the complaint. No response shall be given regarding the confidential process of evaluating EOIs before the results are notified, although the complaint shall be kept in view during such a process. However, no response shall be given regarding the following topics explicitly excluded from such complaint process:
 - a) Only a Service Provider who has participated in the REOI process and has not been shortlisted can make such a representation. Complaints regarding shortlisting or exclusion of other Service Providers shall not be entertained.
 - b) No third-party information (REOIs, eligibility/ qualification) shall be sought and must not be included in the response.
 - c) Following decisions of the DGS shall not be subject to review:
 - i) Determination of the need for procurement.
 - ii) Complaints against eligibility and qualification criteria except under the premise that they are either vague or too specific to limit competition.
 - iii) Choice of the selection procedure.
 - iv) Provisions limiting the participation of Service Providers in the REOI process, in terms of policies of the Government.
 - v) Provisions regarding purchase preferences to specific categories of Service Providers in terms of policies of the Government.
 - vi) Cancellation of the REOI process except where it is intended to subsequently re-tender the same Services

12. Code of integrity in public procurement, misdemeanours and penalties

Code of Integrity and penalties for violating the Govt of India, Ministry of Finance, Department of Expenditure shall apply to this REOI process. Procuring authorities, consultants, suppliers, contractors, and Service Providers should observe the highest standard of integrity and not indulge in prohibited practices or other misdemeanours, either directly or indirectly, during the entire procurement Process (including this REOI) or the execution of resultant contracts.

Note: For further details, please refer to appended Section II: Appendix.

Digitally Signed by

Tender Inviting Authority (TIA)

[DR Pandurang Raut, DDG Admin, email id: pandurang.raut@nic.in]

13. Audit by Third Party

DGS at its discretion may appoint third party(s) for auditing the activities of onsite services and operations of entire services provided to the DGS. The services shall include, not limited to, hardware's supplied to DGS, Software's etc.

Section II: Appendix

Request for Expression of Interest Document No. 18-23011/7/2020-ADMIN/REOI/001

Tender Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

Publisher: Directorate General of Shipping (DGS), Govt of India

1.0 Basic REOI Details			
Tender Title	Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room		
Name of Project	Formalization of Digital Record Room for The Directorate General Shipping of India		
Tender Reference Number	18-23011/7/2020-ADMIN/REOI/001	Tender ID	Refer CPPP Portal
Tender Type	Expression of Interest	Tender Category	Services
No. of Covers	Single Cover	Product Category	Formalization of Digital Record Room
Domestic/ Global Procurement	Domestic Procurement	Organisation:	The Directorate General of Shipping (DGS)
The Procuring Entity:	The Directorate General of Shipping (DGS)	Authority on whose behalf EOI is invited	The President of India, through the

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			Head of Procurement of the Directorate General of Shipping (DGS)
Through the	DR Pandurang Raut	Tender Inviting Authority (TIA)	The Directorate General of Shipping (DGS)
Address	Directorate General of Shipping, Govt. of India 9th Floor, Beta Building, i-Think Techno Campus, Kanjurmarg (East), Mumbai - 400 042, India		

2.0 Critical Dates (Clause 6; 7; 8, and 9)

Published Date	Refer CPPP	EOI Validity (Days from the date of EOI Opening) – REOI Clause 7.2	Min. 60 days
Document Download Start Date & Time	Refer CPPP	Document Download End Date & Time	Refer CPPP
Clarification Start Date & Time	Refer CPPP	Clarification End Date & Time	Refer CPPP
EOI Submission Start Date & Time	Refer CPPP	EOI Submission Closing Date & Time	Refer CPPP
EOI Opening Date & Time	Refer CPPP		

3.0 Eligibility Criteria

As mentioned in REOI; *Refer Section I (clause 4: Eligibility Criteria)*

4.0 Obtaining the REOI document and clarifications (Clauses 6 & 8)

eProcurement and Procuring Entity's Portal/ Help Desk	https://eprocure.gov.in/e-procure/app	<i>Refer CPPP</i>
	https://www.dgshipping.gov.in/	
Cost of REOI document (INR)	Nil	
Office/ Contact Person/ email for clarifications	DR Pandurang Raut, DDG Admin Branch Email id: pandurang.raut@gov.in	

5.0 Pre-EOI Conference (Clause 6.3)

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Is a Pre-EOI Conference proposed to be held?		Refer CPP Portal	
Place, time, and date of the Pre-EOI Conference		Refer CPP Portal	
Place, time, and date before which Written queries for the pre-EOI conference must be received		Refer CPP Portal	
Place, time, and date before which registration of participants for the pre-EOI conference must be received		Refer CPP Portal	
6.0 Preparation and Submission and Opening of EOIs (Clauses 7 and 8)			
EOIs to be Addressed to	President of India, Through Head of Procurement, Directorate General of Shipping (DGS), Govt of India		
Instructions for Online EOI Submission	Refer CPP Portal		
Language of Submission	English	EOI Validity	Min. 60 days
EOI Opening Place	Online CPPP Portal		
7.0 Evaluation of EOI and Qualification Criteria			
As mentioned in REOI; Section I (Clause 10); Section III Qualification Criteria			
8.0 About RFP that would follow – clause 10.3			
RFP to be issued	Limited to shortlisted Service Provider/s from this EOI	Form of Contract from RFP	To be mentioned in RFP
Selection Method	QCBS 70:30 (Technical 70 % and Financial* 30 %) Bid Structuring For Financial Evaluation <ul style="list-style-type: none">Part (a): Digitization Services – This core component will focus on the scope, quality, and experience of the service provider’s digitization capabilities.Part (b): Transportation Services – This component should be applicable only if transportation is required, allowing new bidders to include transportation costs as needed. This structure will level the playing field and ensure a fair evaluation across all bidders. <p>*Transportation Services cost of documents from existing vendors facility to prospective bidders’ facility will not be considered for evaluation. However, transportation cost should be as per Industry</p>		

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	Standards.
Bid Security Requirements	To be mentioned in RFP
Performance Security	To be mentioned in RFP

Section III: Qualification Criteria

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room for The Directorate General of Shipping of India.

Note for Service Provider: Regarding this section, Service Providers shall submit the following forms:

- 1) Form 2: Qualification Criteria – Compliance
 - a) Form 2.1: Performance Capability Statement
 - b) Form 2.2: Financial Capability Statements
 - i) Form 2.2.1: Financial Statement
 - ii) Form 2.2.2: Average Annual Turnover
 - c) Form 3: Checklist for Service Provider
 - d) Form 4: Declaration for No Conflict of Interest
 - e) Form 5: Details of ineligibility for corrupt or fraudulent practices / blacklisted with any of the Government or Public Sector Units
 - f) Form 6: Other information required.
 - g) Relevant date when the specified period ends for different supporting reports shall be:
 - i) For all annual reports, the periods mentioned end date with the financial year.
 - ii) For other statements, the periods mentioned end on the month before the last date of EOI submission.

S.NO	QC #	Condition	Criteria	Supporting Document
Criteria 1 - General and Similar Experience:				
1.	QC1	Similar Experience	i. The Service Provider should have minimum 3 years of experience during last 5 years in India in scanning and digitization of a cumulative volume of 5 Cr pages with a combination of pages of size Legal, A4, A3, A2, A1, A0. Also, the Service Provider should have executed digitization/scanning of at least 1 Cr Legal, A4, A3, A2, A1, A0 pages in a single work order in the last 3 financial years.	Form 1.1: Bidder Information Form 2.1: Performance Capability Statement.

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S.NO	QC #	Condition	Criteria	Supporting Document
			<p>These work orders should be from any of the State/Central Government Departments /Organisations / Public Sector Undertakings.</p> <p>ii. Service Provider must have experience of executing a single work order of INR 1 Cr for storing of documents in facilities/record rooms at least once during last five years. These work orders should be from any of the State/Central Government Departments /Organisations / Public Sector Undertakings.</p>	
2.	QC2	Records Management Solutions and Processes.	<p>The Service Provider should have implemented a Comprehensive Records Management Solutions. The Service Provider should have dedicated in house IT team and should have the ability to customize the process with access to the Source code of the software being used by the Service Provider at any time as per client requirement .</p>	<p>Form 1.1: Bidder Information</p> <p>Form 2.1: Performance Capability Statement.</p>
3.	QC3	Scanner Specifications	<p>Company should own minimum 50 highspeed scanners, flatbed scanners , as per the specifications mentioned scope of work and any other scanner as may be required, Computers, NAS Boxes, servers to</p>	<p>Form 1.1: Bidder Information</p> <p>Form 2.1: Performance Capability Statement.</p>

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S.NO	QC #	Condition	Criteria	Supporting Document
			provide scanning and digitization service at multiple centres in the Circle.	
4.	QC4	Safety at Facility	Service Provider to give compliance certificate adhering to all the provisions viz. fire safety; pest, rodents, termite control; fumigation norms in the facility in beginning and thereafter every 6 months' interval. No complaint against vendor / or its supervisor / staff of breach of data privacy, confidentiality, proliferation, misuse	Form 1.1: Bidder Information Form 2.1: Performance Capability Statement.
5.	QC5	Transportation Facility	Service provider must have transportation facility to transfer physical documents from one place to another place	Form 1.1: Bidder Information Form 2.1: Performance Capability Statement.
6.	QC6	Certifications	<p>The Service Provider in case of consortium must have been assessed for</p> <ol style="list-style-type: none"> I. ISO 9001 for Quality Management II. ISO 27001 for Information Security Management III. CMMI Level 3 and above certification <p>The certifications should be valid on the date of bid submission. In case the certification is under renewal, the Bidder shall provide the details of the previous certifications and the current</p>	<p>Copy of valid certificate</p> <p>In case of:</p> <ul style="list-style-type: none"> • Single Bid – Bidder • Consortium Bid – Lead bidder and Consortium members

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S.NO	QC #	Condition	Criteria	Supporting Document
			assessment consideration in the Bid Process. Bidder to submit a valid certificate at the time of signing the contract (if selected) otherwise bidder will be disqualified. Bidder shall ensure that the certifications continue to remain valid till the end of the Agreement.	
Criteria 2 - Financial Capability				
7.	QC7	Turnover	Turnover: Minimum average annual turnover of INR 5 Cr. at least, calculated as total certified payments received for contracts in progress or completed within the last 5 years.	Form 2.2: Financial Capability Statements In case of: <ul style="list-style-type: none"> • Single Bid – Bidder • Consortium Bid – Lead bidder
8.	QC8	Financial: Net worth	The Service Provider should have a positive net for 3 consecutive years i.e. 2021-22, 2022-23 and 2023-24	CA Certificate for 3 Years Service Provider to provide CA certificate for 2021-22, 2022-23 and 2023-24.

Note to Service Provider: During RFP Process, while original documents/ certificates are called for to authenticate the qualification claimed, the following may be kept in mind:

1. When a joint venture or other association submits the bid, in that case, all members (other than non-substantial members) in the JV/C must submit their financial statements in order of the member's share in the partnership, greatest to least. The figures of members of a JV/C (other than non-substantial members) shall be added to determine compliance with the minimum financial qualifying criteria. However, unless otherwise stated in Section II: Appendix, for a JV/C to qualify, the Lead member must meet at least 40 percent of those minimum criteria for an individual Bidder and other members at least 20% of the criteria. Failure to comply with this requirement shall result in the rejection of the JV/C's bid.
2. The Service Provider shall submit the audited balance sheet and/or banking reference along with their RFP proposal. An authorised representative of the Service Provider must -sign the statement.

Part II: Schedule of Requirements

SECTION IV: Terms of Reference (TOR)

1. Background

The formalization of a Digital Record Room for the Directorate General of Shipping (DGS), India, is a crucial initiative aimed at modernizing the management of its extensive physical records. The need for this transformation arises from the vast amounts of data and records DGS handles in overseeing India's maritime sector. Transitioning to a digital environment will enhance operational efficiency, ensure secure storage, improve accessibility, and streamline compliance with legal and regulatory frameworks.

The DGS handles various critical documents, including legal, administrative, and operational records related to maritime affairs. Traditionally, these records have been maintained in physical formats, resulting in challenges related to storage, retrieval, and preservation. Issues such as physical deterioration, lack of accessibility, and potential loss due to unforeseen events (e.g., fire, water damage) make it essential to digitize and secure these records in a centralized digital repository.

2. Purpose/ Objectives

The primary objectives of formalizing the Digital Record Room for the Directorate General of Shipping (DGS) are:

1. **Enhanced Accessibility:** Ensure that all records are easily accessible to authorized personnel from any location.
2. **Data Security:** Provide robust security mechanisms to protect sensitive information from unauthorized access and data breaches.
3. **Efficiency in Record Management:** Streamline the process of record-keeping, retrieval, and management, reducing time and manual effort.
4. **Compliance and Auditability:** Facilitate compliance with legal and regulatory requirements, including ease of auditing and record verification.
5. **Disaster Recovery:** Ensure the safety and availability of records in case of physical damage to the premises or other unforeseen events

3. Scope

The scope of the Digital Record Room includes:

1. **Digitization of Existing Records:** Conversion of all physical records into digital formats ensuring proper indexing and storage.
2. **Integration with Existing Systems:** Seamless integration with current IT systems used within DGS, ensuring that the Digital Record Room complements ongoing processes.
3. **Access Control and Security Protocols:** Implementation of user authentication, role-based access control, and encryption to safeguard sensitive records.
4. **Search and Retrieval Mechanisms:** Development of an advanced search engine to enable quick and efficient retrieval of records.
5. **Backup and Disaster Recovery Solutions:** Establishing regular backup protocols and disaster recovery plans to ensure data integrity and availability

The scope primarily focusses on the following:

3.1 Requirement Assessment

This assessment and planning process will ensure that the digitization of records at the Directorate General of Shipping is conducted systematically, efficiently, and with the necessary considerations for security, confidentiality, and long-term preservation.

3.1.1 Volume of Records:

- Conduct a comprehensive inventory of all physical records currently maintained by the Directorate General of Shipping.
- Measure the volume of records in terms of physical storage space occupied (e.g., number of shelves, boxes, files) and estimate the total number of documents.

3.1.2 Condition of Records:

- Evaluate the physical condition of the records, noting any documents that are damaged, fragile, or in need of restoration prior to digitization.
- Identify records that are at risk of deterioration due to environmental factors such as humidity, temperature, or pests.

3.1.3 Types of Records: (Refer Annexure A & B)

- Classify records based on their nature and format, such as:
 - Textual Documents: Reports, correspondences, legal documents.
 - Visual Materials: Maps, blueprints, charts, engineering drawings, etc.
 - Multimedia: Audio recordings, video files.
 - Mixed-Format Records: Files that contain a combination of different formats.
- Determine the specific digitization requirements for each type of record.

3.1.4 Classification of Records

- Records are classified into three categories, A, B, and C, with prescribed retention periods: (Refer to Annexure A & B)
 - **A Category:** Records meant for permanent preservation and microfilming, e.g., precious documents requiring frequent reference.
 - **B Category:** Records for permanent preservation but not to be microfilmed.
 - **C Category:** Records for limited retention, with C-1, C-3, C-5, and C-10 representing the number of years the file is to be retained after closure
- Assign confidentiality levels to records based on their content:
 - **Highly Confidential:** Sensitive information that requires stringent access controls.
 - **Confidential:** Restricted access to specific personnel.
 - **Public:** Open for general access without restrictions.

3.1.5 Retention Period

- Refer to Annexure A & B for the details of retention periods.

3.2 Digitization Planning

This assessment and planning process will ensure that the digitization of records at the Directorate General of Shipping is conducted systematically, efficiently, and with the necessary considerations for security, confidentiality, and long-term preservation.

3.2.1 Prioritization of Records:

- Prioritize records for digitization based on their importance, frequency of access, and risk of deterioration.
- Develop a phased approach, starting with critical and frequently accessed records.

3.2.2 Resource Allocation:

- Identify and allocate the necessary resources for the digitization process, including:
 - **Human Resources:** Teams for scanning, indexing, quality control, and IT support.
 - **Technical Resources:** Scanning equipment, storage servers, and digitization software.

3.2.3 Quality Assurance:

- Implement quality control measures to ensure that digitized records are accurate, complete, and meet the required standards.
- Conduct periodic reviews and audits to assess the progress and quality of the digitization process.

3.2.4 Storage and Access:

- Plan for the secure storage of digitized records in a centralized digital repository.
- Develop user access protocols and search functionalities to facilitate easy retrieval of records by authorized personnel.

3.3 Preparation of Records for Digitization

By organizing, cataloging, and addressing the needs of records that require repair or conservation, the Directorate General of Shipping can ensure a smooth and effective digitization process. This preparation is crucial to maintaining the integrity of the records and ensuring that they are accurately represented in the Digital Record Room.

3.3.1 Document Collection and Logging

- The selected agency will be responsible for collecting physical documents from various departments. A detailed log register must be maintained by the VENDOR, capturing the following information:
 - **Name of Document Collected:** The title or description of the document.
 - **Total Number of Pages:** The count of pages in different sizes (A4 & Legal, A3, A2, A1, A0).
 - **Collected From:** Name and designation of the government official from whom the document is collected.
 - **Collected By and Signature:** Name of the vendor representative collecting the document, along with their signature.

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- **Date of Collection:** The date when the document is collected by the vendor.
- **Expected Date of Return:** The anticipated date when the document will be returned to the department.
- **Returned To – Signature & Seal:** Name and signature of the government official to whom the document is returned, including the official seal.
- **Returned By:** Name of the vendor representative returning the document.
- **Actual Date of Return:** The actual date when the document is returned.

3.3.2 Organizing and Preparing Records

3.3.2.1 Sorting Records:

- Begin by sorting records based on the categories established during the assessment phase, such as by type, importance, and confidentiality.
- Group similar records together to streamline the digitization process and ensure consistency in cataloguing.
- Ensure that records are organized in a logical sequence, such as chronologically, by department, or by subject matter, to facilitate easy indexing and retrieval.

3.3.2.2 Cataloguing Records:

- Develop a comprehensive cataloguing system that assigns unique identifiers to each record or group of records.
- Catalog records using metadata that captures essential information, such as title, date, author, department, and any specific keywords that will aid in future searches.
- Create a digital inventory of all records to be digitized, including detailed descriptions and their physical locations.

3.3.2.3 Indexing Records:

- Design an indexing framework that allows for the efficient retrieval of records post-digitization.
- Index records by creating a structured database that links the digital files to their corresponding catalog entries.
- Ensure that the indexing system is compatible with the search and retrieval functionalities of the Digital Record Room platform.

3.3.3 Addressing Records Requiring Repair or Conservation

3.3.3.1 Identifying Records for Repair:

- During the sorting and cataloguing process, identify any records that are damaged, fragile, or otherwise compromised.
- Assess the extent of damage and determine whether records require minor repairs or more extensive conservation efforts.
- Prioritize the repair of records based on their importance, confidentiality, and the risk of further deterioration.

3.3.3.2 Repair and Conservation Process:

- Implement a repair and conservation plan that may involve:
 - Cleaning and deacidification of paper documents.

- Mending tears, reinforcing weak areas, and flattening creased documents.
- Restoring faded text or images using appropriate conservation techniques.
- Engage professional conservators, if necessary, particularly for records of historical or legal significance.

3.3.3.3 Preparing Records for Digitization Post-Repair:

- Once repairs are completed, ensure that records are properly prepared for digitization by:
 - Re-cataloging any records that have undergone significant conservation efforts.
 - Ensuring that repaired records are stable and will not be further damaged during the digitization process.
 - Conducting a final quality check to verify that all records are in the appropriate condition for scanning and indexing.

3.4 Digitization Process

By implementing high-quality scanning solutions, applying OCR technology, and establishing a thorough quality control process, the Directorate General of Shipping will ensure that its digitized records are accurate, accessible, and fully searchable, preserving the integrity and usability of its important documents for future use.

3.4.1 Implementing Scanning Solutions

3.4.1.1 Selection of Scanning Equipment:

- Procure high-resolution scanners capable of handling various document sizes and types, ensuring that the equipment can accommodate the specific needs of the records being digitized (e.g., large format maps, delicate papers).
- Scanned images must be in black and white with the scanning resolution shall 200/300/400/600 dpi or better as per S.O., raw master image uncompressed and clean master image loss less compression shall be in file format Tiff 6.0 or better.
- Ensure that scanners can produce outputs in multiple formats, such as TIFF/PDF/JPEG/RTF/ODT/PNG/GIF or other standard formats as per the requirement of the DG Shipping, and depending on the nature of the document and its intended use.
- The physical page size may vary across departments, and this must be accounted for during the scanning process.

3.4.1.2 Scanning Physical Documents:

- Set up dedicated scanning stations to manage the digitization workflow efficiently.
- Train personnel to operate the scanners, ensuring they are knowledgeable about handling delicate documents and optimizing scanner settings for different types of records.
- Implement a systematic approach to scanning, starting with the most critical records identified in the earlier phases.

3.4.2 Ensuring High-Quality Scanning

3.4.2.1 Capture All Relevant Details:

- Configure scanners to capture high-resolution images that retain all relevant details, including text, images, and any annotations or marks on the documents.
- Adjust settings to optimize contrast, brightness, and clarity, particularly for older or faded documents.

3.4.2.2 Handling Special Cases:

- For documents with special requirements, such as colour accuracy or very fine details, use advanced scanning techniques, including colour correction and image enhancement.
- Where necessary, employ professional restoration services before scanning to ensure the best possible quality of the digital output.

3.4.3 Applying Optical Character Recognition (OCR) Technology

3.4.3.1 OCR Integration:

- Implement Optical Character Recognition (OCR) software during the digitization process to convert scanned text into machine-readable data.
- Ensure that the OCR software is configured to handle multiple languages and fonts, especially if the records include diverse document types.

3.4.3.2 Enhancing Searchability:

- Post-OCR, ensure that all digitized documents are text-searchable, allowing users to quickly locate specific information within a large volume of records.
- Verify that OCR has accurately recognized all text and correct any errors that may affect the searchability and usability of the documents.

3.4.4 Establishing a Quality Control Process

3.4.4.1 Quality Checks

- The vendor must ensure the following quality checks are conducted during the scanning process:
 - The image should not be too dark or too light.
 - The image should not be captured under improper lighting.
 - The image should not be cropped from any side.
 - The orientation of the image should be correct.
 - The image should be in true colour mode with consistent colour across all images.
 - The image should not be skewed, blurred, or have excessive noise.
 - There should be no data loss due to folds, tight binding, bulge at the centre, or extra darkness at the edges.
 - The solution should automatically correct issues such as improper resolution, format compression, skew, wrong orientation, cropping errors, and punch hole marks.

3.4.4.2 Verification of Accuracy and Completeness:

- Implement a rigorous quality control process to review digitized records, ensuring that all documents are complete, accurately captured, and free of errors or distortions.
- Use sampling methods to check the quality of scanned documents, focusing on critical records and those with complex formatting.

3.4.4.3 Continuous Monitoring and Feedback:

- Set up continuous monitoring systems to identify and address any issues in the digitization process promptly.
- Collect feedback from users on the quality and usability of digitized records to make necessary adjustments in scanning or OCR processes.

3.4.4.4 Final Quality Assurance:

- Conduct a final review of all digitized records before they are integrated into the Digital Record Room.
- Ensure that records meet the defined standards for resolution, clarity, and searchability, and are properly indexed and catalogued in the digital repository.

3.5 Metadata Creation and Indexing

By creating detailed metadata and an efficient indexing system, the Directorate General of Shipping will significantly enhance the accessibility and usability of its digitized records. This process will ensure that users can quickly locate and retrieve the information they need, improving operational efficiency and decision-making.

3.5.1 Metadata Creation

3.5.1.1 Defining Metadata Standards:

- Establish standardized metadata fields to be used across all digitized records. Common metadata fields might include:
 - **Title:** The name or title of the document.
 - **Author/Originator:** The individual or organization that created the document.
 - **Date of Creation:** The date the document was created or published.
 - **Document Type:** The category or type of document (e.g., report, correspondence, map).
 - **Keywords:** Relevant keywords that describe the content of the document.
 - **Confidentiality Level:** The security classification of the document.
 - **Unique Identifier:** A unique reference number or code assigned to each record.

3.5.1.2 Attaching Metadata to Records:

- During the digitization process, ensure that metadata is systematically attached to each digitized record.
- Utilize automated tools where possible to extract metadata from documents, especially for bulk processing.

- For records where automated metadata extraction is not feasible, assign metadata manually, ensuring consistency and accuracy across similar documents.

3.5.1.3 Enhancing Metadata Quality:

- Implement guidelines for consistent data entry to avoid discrepancies or errors in metadata.
- Include detailed descriptions in the metadata to provide context and enhance the usability of the records.
- Regularly review and update metadata to reflect any changes in the document's status, classification, or relevance.

3.5.2 Indexing Digitized Records

3.5.2.1 Criteria for Indexing:

- Develop an indexing system based on multiple criteria to facilitate efficient search and retrieval:
 - **Document Type:** Group records by their type, such as reports, letters, financial statements, etc.
 - **Date:** Index records chronologically to allow users to retrieve documents from specific time periods.
 - **Subject Matter:** Classify records based on their content or thematic relevance (e.g., shipping regulations, international agreements).
 - **Department/Division:** Index records by the DGS department or division responsible for their creation or use.

3.5.2.2 Structuring the Index:

- Create a hierarchical indexing structure where records can be searched at multiple levels, such as by department first, then by document type, and finally by date.
- Implement cross-referencing in the index to link related documents, ensuring comprehensive access to all relevant records.

3.5.2.3 Search and Retrieval Optimization:

- Ensure that the indexing system is integrated with the search engine of the Digital Record Room, allowing users to search for records using various criteria.
- Implement filters and sorting options in the search interface to help users refine their searches and find specific records quickly.
- Regularly update the index to incorporate new digitized records and reflect any changes in the classification or categorization of existing records.

3.6 Data Storage and Management

By establishing a secure centralized digital repository, implementing a robust Document Management System, and ensuring data security and compliance, the Directorate General of Shipping will be well-equipped to manage its digital records effectively. This will not only protect sensitive information but also improve the accessibility and usability of records, supporting the DGS's operational and strategic goals.

3.6.1 Secure Centralized Digital Repository

3.6.1.1 Centralized Storage Solution:

- Establish a centralized digital repository to store all digitized records, ensuring that they are easily accessible to authorized users from any location.
- Utilize cloud-based or on-premises storage solutions that offer scalability, redundancy, and high availability to meet the growing needs of the Directorate General of Shipping (DGS).

3.6.1.2 Data Redundancy and Backup:

- Implement data redundancy protocols, such as mirrored storage, to prevent data loss due to hardware failures or other disruptions.
- Schedule regular backups of the digital repository to multiple locations, including off-site storage, to ensure data recovery in the event of a disaster.

3.6.1.3 Storage Optimization:

- Compress and optimize digital files to minimize storage space while maintaining the quality and integrity of the records.
- Organize storage by creating separate folders or partitions based on departments, record types, or other relevant criteria to facilitate easy management and retrieval.

3.6.2 Data Security and Compliance

3.6.2.1 Data Security Protocols:

- Implement robust security measures to protect the digital repository from unauthorized access, data breaches, and cyber threats.
- Utilize encryption for both data at rest and data in transit, ensuring that sensitive information remains secure.
- Deploy multi-factor authentication (MFA) for accessing the DMS and the digital repository to enhance security.

3.6.2.2 Compliance with Legal and Regulatory Standards:

- Ensure that the storage and management of digital records comply with relevant legal and regulatory standards, including data protection laws and records retention requirements.
- Conduct regular audits and assessments to verify compliance and identify any potential vulnerabilities or areas for improvement.
- Maintain detailed logs of access and modifications to records, ensuring transparency and accountability in the management of digital records.

3.6.2.3 Disaster Recovery and Business Continuity:

- Develop and implement a disaster recovery plan that includes procedures for quickly restoring access to digital records in the event of a system failure, natural disaster, or cyberattack.
- Regularly test the disaster recovery plan to ensure its effectiveness and update it as needed to address new risks or changes in technology.

3.7 Confidentiality and Security Provisions

3.7.1 Confidentiality and Data Integrity

- The service provider is obligated to maintain the strict confidentiality of all documents and data handled under this project.
- This includes preventing unauthorized access, sharing, or handling of any records or sensitive information. Both intentional and accidental breaches will be treated with the utmost severity.

3.7.2 Penalties for Breach

- In the event of a breach of confidentiality or data integrity, the service provider will face immediate penalties, including:
 - Blacklisting from all future contracts with the Directorate General of Shipping (DGS).
 - Forfeiture of the Bank Guarantee as a financial penalty for breach of trust and failure to meet security obligations.
 - Possible legal action if the breach is deemed intentional or if it results in significant harm.

3.7.3 Audits and Monitoring

- Third-party audits will be conducted periodically to verify adherence to confidentiality and data security provisions.
- These audits are integral to maintaining transparency and accountability and will take place throughout the project lifecycle.
- Non-compliance noted during these audits will lead to corrective action, which could include financial penalties or re-evaluation of the service provider's contract.

4. Document Storage Facility

4.1 Facility Building Structure Information

The facility for the Digital Record Room should be designed and constructed to meet the following standards:

- **Structural Design and Earthquake Safety:**
 - The facility should be structurally designed and constructed as per IS codes 456-2000 for building construction and IS 1893-2002 for earthquake safety.
 - Stability and earthquake resistance should be certified by a chartered engineering firm.
- **Load-Bearing Capacity:**
 - The building's load-bearing capacity should be certified by a chartered engineering firm
- **Fire-Rated Construction:**
 - The building walls should be constructed using 4-hour fire-rated AAC (Autoclaved Aerated Concrete) blocks.
 - Certification and testing of blocks should be conducted by a certified lab, which is approved by BIS and holds ISO 9001 and 14001 certifications.
- **Power Supply and Backup:**
 - The facility should be powered by raw power, and backed up with a heavy-duty generator with a adequate fuel capacity to ensure uninterrupted power supply.

4.2 Firefighting and Safety Infrastructure for Document and Media Storage

The facility for document and media storage **should be** equipped with the following safety and security measures:

- **Fire-Rated Doors:**
 - All emergency and main exit doors should be fire-rated, certified
- **Fire Hydrant System:**
 - The facility should have a fire hydrant system consisting but not limited to following:
 - 1 pump for the hydrant system.
 - 1 pump for the sprinkler system.
 - 1 standby pump.
 - 1 jockey pump.
 - A dedicated safety water tank should have a capacity of 3,00,000 liters.
- **Fire Suppression Systems:**
 - **FM200 Gas-Based Suppression:** The Category A and Media vault should be equipped with an FM200 (HFC 227ea - Heptafluoropropane) gas-based fire suppression system.
 - **Water Sprinkler System:** The Category B vault should be protected by a water sprinkler system.
- **Antistatic Flooring:**
 - The media vault should have antistatic flooring to safely dissipate static current.
- **Environmental Monitoring:**
 - A 24-hour central station monitoring system should be installed to track humidity, temperature, and moisture levels in the Media Vault. This system should include moisture detection alarms and a water level detection system for added safety.
- **Smoke Detection and Fire Alarms:**
 - The facility should have smoke detectors and should be equipped with ABC+BC type fire extinguishers.
 - Fire Alarm System: The fire alarm system should be conventional and addressable
- **Electrical Safety:**
 - A dedicated transformer for electricity should be installed, along with stabilizer to manage power fluctuations.
 - Electrical wiring should be done with armoured cables for enhanced safety.
- **Fire Drills:**
 - The facility should conduct quarterly fire evacuation and training drills to ensure readiness in case of emergencies.

4.3 Surveillance System

The surveillance system for the facility should be equipped with the following features to ensure comprehensive security:

- **24-Hour Security Personnel:**
 - The site should have a 24-hour security guard presence on duty during the general shift and two guards on duty during the night shift.
- **Controlled Entry and Exit:**
 - The facility should have a single entry and exit point, ensuring controlled access and monitoring.
- **Access Control System:**

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- The access control system should be provided, featuring the Anti-Passback security feature to prevent unauthorized re-entry.
 - **Dual Authentication:** Category A and Media vaults should be secured with dual authentication access.
- **Intrusion Detection:**
 - Intrusion alarms and motion detectors should be installed on all emergency doors, with connectivity to a central monitoring system (CMS) for real-time alerts and monitoring.
- **Video Surveillance:**
 - The facility should be equipped with a Network Video Recorder (NVR) system for IP cameras, maintaining a 60-day backup of footage.
 - IP cameras should be installed to monitor for any suspicious activity in and around the facility.
- **Electrical Safety:**
 - The facility should have earth pits to protect against electrical short circuits, ensuring additional safety.

4.4 Document Pickup Process

- Bidder to have facility to pick up the physical item boxes/files from the DG Shipping location,
- The process should be completed within 3 or less business days from the DG Shipping's request.
- The logistics team should assign item barcodes to the DG Shipping's items and should send the data entry team to label the items with barcodes.
- The data entry team should input all item details into the system, capturing the data in an Excel sheet.
- Once the items are labelled, the data entry team should inform the logistics team when the items are ready for pickup.
- The logistics team should pick up the items from the DG Shipping and the data being recorded in the system.
- The facility or warehouse team should move the items to the appropriate rack location, and the data should be uploaded into the system by the warehouse team.

5. Deliverables/ outcomes

The key deliverables for the formalization of the Digital Record Room project at the Directorate General of Shipping (DGS) are as follows:

1. Comprehensive Assessment Report of Existing Physical Records:

A detailed report summarizing the findings from the assessment of all physical records, including the volume, condition, types of documents, and categorization based on importance, confidentiality, and retention requirements.

2. Detailed Digitization Plan and Timeline:

A comprehensive plan outlining the digitization process, including the prioritization of records, resource allocation, and a timeline for each phase of the project. This plan will also cover the quality control measures and standards to be adhered to during digitization.

3. Fully Operational Digital Repository:

A centralized digital repository that is fully operational, containing all targeted records digitized, indexed, and accessible to authorized personnel. The repository will be designed to ensure easy retrieval, secure storage, and compliance with legal requirements.

4. Training Materials and Sessions for DGS Personnel:

Comprehensive training materials, including manuals, guides, and online resources, along with scheduled training sessions for relevant DGS personnel. These materials will cover how to access, manage, and utilize the digitized records and the DMS effectively.

5. Documentation of the Digitization Process:

Detailed documentation covering every aspect of the digitization process, including methodologies, quality control reports, metadata creation, indexing procedures, and any challenges encountered, and solutions implemented during the project.

These deliverables will ensure the successful implementation and ongoing operation of the Digital Record Room, supporting the DGS in its mission to manage records efficiently and securely in a digital environment.

6. Timelines of Services

#	Activity	Timeline
1	Agreement Signing and Issuance of Work Order	T
2	Requirement Gathering, Project Plan Submission	T + 2 weeks
3	Transportation of documents to facility	T + 3 weeks
4	Categorisation of documents by DGS	T + 5 weeks
5	Setting up of Scanning and Digitization Infrastructure	T1 = T + 5 weeks
6	Scanning and Digitization of 50% of the documents	T1 + 3 Months
7	Scanning & Digitization of 100 % of the documents	T1 + 6 Months

PART III. REOI Submission Formats

Form 1: REOI Form (Covering Letter)

(On Service Provider's Letterhead)

Service Provider's Name _____

[Address and Contact Details]

Service Provider 's Reference No. _____ Date.....

To

**Directorate General of Shipping, 9th Floor,
BETA Building, I-Think Techno Campus,
Kanjur Village Road, Kanjurmarg (E),
Mumbai-400042**

Ref: Your REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Tender Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Sir/ Madam

Having examined the abovementioned REOI document, we, the undersigned, hereby submit/ upload our Expression of Interest (REOI) for being shortlisted for the performance of the Services.

1) About us:

We, M/s _____, hereby certify that We are a firm (or members of our JV/C are) of proven, established, and reputed Service Provider having the required Experience, Past performance, Personnel, and Financial capability, with offices at _____.

2) Our Eligibility and Qualifications to participate:

- a) We comply with all the eligibility criteria stipulated in this REOI document, and the relevant declarations are made along with documents in Form 1.2 of this REOI-Form.
- b) We fully meet the qualification criteria stipulated in this REOI document, and the relevant details are submitted along with documents in Form 2: 'Qualification Criteria – Compliance' and its sub-forms.
- c) We undertake to provide originals of all self-certified copies of uploaded documents during the RFP Process. We have understood the ramifications of failure to do so as detailed in clauses 10.2.4 and 10.2.5 of Section I: REOI.
- d) We have / don't have any conflict of interest with any other Service Provider as per clause 4.5 of Section I: REOI.
- e) No commissions and gratuities have been paid or are to be paid to agents or any other party by us relating to this REOI and RFP processes.

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Following commissions and gratuities have been paid/ are to be paid to agents or any other party by us relating to this procurement process: -----

3) Affirmation of terms and conditions of the REOI document:

We have understood the complete terms and conditions of the REOI document. We accept and comply with these terms and conditions without reservations, although we are not signing and submitting some of the sections of the REOI document.

4) Abiding by the REOI Validity

We agree to keep our REOI valid for acceptance for a period up to -----, as required in the REOI document, or for a subsequently extended period, if any, agreed to by us.

5) Non-tempering of Downloaded REOI documents and Uploaded Scanned Copies

We confirm that we have not changed/ edited the contents of the downloaded REOI Formats. We realise that any such change noticed at any stage, including after the contract award, shall be liable to punitive action in this regard stipulated in the REOI document. We also confirm that scanned copies of documents/ affidavits/ undertakings uploaded along with our REOI are valid, true, and correct to the best of our knowledge and belief. We shall be responsible if any dispute arises regarding the validity and truthfulness of such documents/ affidavits/ undertakings. Upon our successful shortlisting, we undertake to submit for scrutiny, on-demand by the Procuring Entity, originals and self-certified copies of all such certificates, documents, and affidavits/ undertakings.

6) Signatories:

We confirm that we are duly authorised to submit this REOI and make commitments on behalf of the Service Provider. Supporting documents are submitted in Form 1.1, annexed herewith. We acknowledge that our digital/digitised signature is valid and legally binding.

7) Rights of the Procuring Entity to Reject REOI(s):

We understand that you are not bound to accept the lowest or any REOI you may receive against your above-referred REOI document.

.....

(Signature with date)

.....

(Name and designation)

Duly authorised to sign REOI for and on behalf of name, address, and seal of the

Service Provider]

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

**Form 1.1: Service Provider Information
(On Service Provider's Letterhead)**

Service Provider's Name _____

[Address and Contact Details]

Service Provider's Reference No. _____ Date.....

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

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Note: Service Provider shall fill in this Form following the instructions indicated below.

Service Provider shall enclose certified copies of the documentary proof/ evidence to substantiate the corresponding statement wherever necessary and applicable. Service Provider's wrong or misleading information shall be treated as a breach of the Code of Integrity. Such REOIs shall be liable to be rejected as nonresponsive, in addition to other punitive actions provided for such a breach in the REOI document.

(Please tick appropriate boxes or strike out sentences/ phrases not applicable to you)

1) Service Provider/ Contractor particulars:

a) Name of the Service Provider's Organisation:	
b) Corporate Identity No. (CIN):	
c) Registration, if any, with The Procuring Entity:	
d) Date of incorporation/ start of business:	
e) Place of Registration/ Principal place of business":	
f) Number of Years in Business:	
g) Number of Years in Record room and digitization of documents	
h) Service Provider's Website URL:	
i) Complete Postal Address:	
j) Pin code/ ZIP code:	
k) Telephone nos. (with country/ area codes):	
l) Mobile Nos.: (with country/ area codes):	
m) Contact persons/ Designation:	
n) Email IDs:	
o) PAN Number:	

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

p) GSTIN No:	
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NB: In the case of JV/C, repeat these details for all members

Submit documents to demonstrate eligibility as per REOI Clause 4.1-1) - A self-certified copy of registration certificate – in case of a partnership firm – Deed of Partnership; in case of Company – Notarised and certified copy of its Registration; In case of JV, letter of intent to form JV or JV agreement and in case of Society – its Byelaws and registration certificate of the firm.

- 2) Service Provider/JV's Organisation Structure: Submit the overall organisation structure of the firm.
- 3) Service Provider/JV's Overall profile: Submit the overall profile of the firm, highlighting technical and managerial capabilities.

Authorisation of Person(s) signing the REOI on behalf of the Service Provider

Full name: _____

Designation: _____

Signing as:

- A sole proprietorship firm: The person signing the REOI is the sole proprietor/ constituted attorney of the sole proprietor,
- A partnership firm: The person signing the REOI is duly authorised being a partner to do so under the partnership agreement or the general power of attorney,
- A company. The person signing the REOI is the constituted attorney by a resolution passed by the Board of Directors or in pursuance of the authority conferred by the Memorandum of Association/ Articles of Association.
- A Society. The person signing the REOI is the constituted attorney.
- A Joint Venture/ Consortium. The person signing the bid is the designated lead member, as named in the JV/C agreement/ MOU or similar document in connection with the formation of the JV/C or are all future proposed members, in case (JV/C) has not been legally constituted at the time of bidding.

Documents to be submitted: Registration Certificate/ Memorandum of Association/ Partnership Agreement/ Power of Attorney/ Board Resolution Service Provider's Authorized Representative Information

Name:

Address:

Telephone/ Mobile numbers:

Email Address:

(Signature with date)

.....

(Name and designation)

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

Duly authorised to sign REOI for and on behalf of name, address, and seal of the Service Provider]

DA: As above

Form 1.2: Eligibility Declarations

(Ref REOI Clause 2.3)

(On Service Provider's Letterhead, supported with copy of Incorporation Certificates (for all member in case of consortium), and copy of PAN, GST registration certificate)

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Service Provider's Name _____

[Address and Contact Details]

Service Provider's Reference No. _____

Date.....

[Note: The list below is indicative only. You may attach more documents as required to confirm your eligibility criteria.]

Eligibility Declarations

(Please tick appropriate boxes or cross out any declaration not applicable to the Service Provider)

We hereby confirm that we comply with all the stipulations of REOI Clause 4.1 of the REOI document and declare as under and shall provide evidence of our continued eligibility to the DGS as and when it may be requested:

- 1) **Legal Entity of Service Provider:** We are:
 - a) : _____ relevant documents enclosed)
 - b) We are a Service Provider with valid registration regarding GSTIN, PAN, EPF, ESI, Labour, or equivalent registration certificate as applicable to the subject Services.
- 2) **Eligibility:** We solemnly declare that we (including our affiliates or subsidiaries, or constituents):
 - a) are not insolvent, in receivership, bankrupt or being wound up, not have our affairs administered by a court or a judicial officer, not have our business activities suspended and are not the subject of legal proceedings for any of these reasons;
 - b) (including our affiliates or subsidiaries, or constituents for any part of the assignment):
 - i) Do not stand declared ineligible/ blacklisted/ banned/ debarred by the Procuring Organisation or its Ministry/ Department from participation in its procurement processes; and/ or
 - ii) Are not convicted (within three years preceding the last date of REOI submission) or stand declared ineligible/ suspended/ blacklisted/ banned/ debarred by appropriate agencies of the Government of India from participation in procurement processes of all its entities for offences mentioned in REOI document in this regard.
 - iii) We have neither changed our name nor created a new "Allied Entity", consequent to the above disqualifications.
 - c) Do not have any association (as Service Provider/ partner/ Director/ employee in any capacity) with such retired public official or near relations of such officials of DGS, as counter-indicated, in the REOI document.

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

- d) We have no conflict of interest, which substantially affects fair competition. The quoted prices are competitive without adopting unfair/ unethical/ anti-competitive means. No attempt has been made or shall be made by us to induce any other Service Provider to submit or not to submit an REOI to restrict competition.
- e) We certify that we fulfil other additional eligibility conditions if prescribed in the REOI document.
- 3) We certify that we are not an entity from a country identified to restrict Service Providers from India from participation in their Government Procurements as per REOI clause 4.2.1
- 4) Restrictions on procurement from Service Providers from a country or countries or a class of countries under Rule 144 (xi) of the General Financial Rules 2017:**

"We have read the clause regarding restrictions on procurement from a Service Provider of a country which shares a land border with India and on sub-contracting to contractors from such countries, and solemnly certify that we fulfil all requirements in this regard and are eligible to be considered. We certify that:

- a) we are not from such a country or, if from such a country, we are registered with the Competent Authority (copy enclosed). and;
- b) we shall not subcontract any assignment to a contractor from such countries unless such a contractor is registered with the Competent Authority.

5) Start-up Status:

We confirm that we are (Certificate of Recognition issued by the Department for Promotion of Industry and Internal Trade (DPIIT) enclosed herewith)/ are not a Start-up entity as per the Department of Promotion of Industrial and Internal Trade – DPIIT.

6) Penalties for false or misleading declarations:

We hereby confirm that the particulars given above are factually correct and nothing is concealed and undertake to advise any future changes to the above details. We understand that any wrong or misleading self-declaration would violate the Code of Integrity and attract penalties.

.....
(Signature with date)

.....
(Name and designation)

Duly authorised to sign REOI for and on behalf of

.....

..... Name, address, and seal of the Service Provider

DA: As in Sr 1 to 5 above, as applicable

Form 2: Qualification Criteria – Compliance

(Ref Section III: Qualification Criteria)

(Along with supporting documents, if any)

(On Service Provider's Letterhead)

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Service Provider's Name_____

[Address and Contact Details]

Service Provider's Reference No._____

Date.....

Note to Service Provider: The Procuring Entity reserves its right to call for verification originals of all self-certified copies of stipulated documents supporting the fulfilment of qualifying criteria during the following RFP Process. If the shortlisted Service Provider fails at that stage to provide such originals or, in case of substantive discrepancies in such documents, it shall be construed as a breach of the Code of Integrity (see clause 12 below). Such RFP proposals shall be liable to be rejected as nonresponsive in addition to other punitive actions for such a breach.

Summary of Response to Qualification Criteria

#	Criteria	Qualification Criteria Met (Yes, or No)
a)	<p>I. The Service Provider should have minimum 3 years of experience during last 5 years in India in scanning and digitization of a cumulative volume of 5 Cr pages with a combination of pages of size Legal, A4, A3, A2, A1, A0. Also, the Service Provider should have executed digitization/scanning of at least 1 Cr Legal, A4, A3, A2, A1, A0 pages in a single work order in the last 3 financial years. These work orders should be from any of the State/Central Government Departments /Organisations / Public Sector Undertakings.</p> <p>II. Service Provider must have experience of executing a single work order of INR 1 Cr for storing of documents in facilities/record rooms at least once during last five years. These work orders should be from any of the State/Central Government Departments /Organisations / Public Sector Undertakings.</p>	
b)	The Service Provider should have implemented a Comprehensive Records Management Solutions. The Service Provider should have dedicated in house IT team and should have the ability to customize the process with access to the Source code of the software being used by the Service	

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

#	Criteria	Qualification Criteria Met (Yes, or No)
	Provider at any time as per client requirement .	
c)	Company should own minimum 50 highspeed scanners, flatbed scanners , as per the specifications mentioned scope of work and any other scanner as may be required, Computers, NAS Boxes, servers to provide scanning and digitization service at multiple centres in the Circle.	
d)	Service Provider to give compliance certificate adhering to all the provisions viz. fire safety; pest, rodents, termite control; fumigation norms in the facility in beginning and thereafter every 6 months' interval. No complaint against vendor / or its supervisor / staff of breach of data privacy, confidentiality, proliferation, misuse	
e)	Service provider must have transportation facility to transfer physical documents from one place to another place	
f)	<p>The Service Provider in case of consortium must have been assessed for</p> <ul style="list-style-type: none"> I. ISO 9001 for Quality Management II. ISO 27001 for Information Security Management III. CMMI Level 3 and above certification <p>The certifications should be valid on the date of bid submission. In case the certification is under renewal, the Bidder shall provide the details of the previous certifications and the current assessment consideration in the Bid Process. Bidder to submit a valid certificate at the time of signing the contract (if selected) otherwise bidder will be disqualified.</p> <p>Bidder shall ensure that the certifications continue to remain valid till the end of the Agreement.</p>	
g)	Turnover: Minimum average annual turnover of INR 5 Cr. at least, calculated as total certified payments received for contracts in progress or completed within the last 5 years.	
h)	The Service Provider should have a positive net for 3 consecutive years i.e. 2021-22, 2022-23 and 2023-24	

Note: Service Providers shall provide evidence of their continued qualification to perform the Services satisfactorily to the Procuring Entity, as the Procuring Entity may request at any stage during the RFP process that would follow this REOI.

.....
(Signature with date)

**Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital
Record Room**

.....

(Name and designation)

Duly authorised to sign REOI for and on behalf of

..... Name, address, and seal of the Service Provider

DA: As above, if any

Form 2.1: Performance Capability Statement

Statement of Performance of Services

(Ref REOI Clause 2.3, Section III: Qualification Criteria)

(On Service Provider's Letterhead)

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Service Provider's Name _____

[Address and Contact Details]

Service Provider Reference No. _____

Date.....

Note to Service Provider:

1. *Service Provider or member of a Joint Venture/Consortium (JV/C) must fill in this Form to prove conformance to Section III Qualification Criteria. Mention contracts in which a Service Provider or a member of a JV/C is or has been a party, whether as a Service Provider, affiliate, associate, subsidiary, or any other role. The list below is indicative only. You may attach more documents as required to highlight your past performance. Add additional details not covered elsewhere in your REOI in this regard. Statements and Documents may be mentioned/ attached here.*
2. *List only those assignments for which the Service Provider was legally contracted as a company or was one of the joint venture members. Assignments completed by the Service Provider's individual experts working privately or through other firms cannot be claimed as the relevant experience of the Service Provider or that of the Service Provider's partners or sub-Service Provider s but can be claimed by the Experts themselves in their CVs. Assignments of Sub-Service Provider (s) can be used to meet the Experience requirements specified in Section III, Qualification Criteria. The Service Provider should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if the Client requests.*
 - 1) **The number of years of experience in similar work:** Provide evidence for the required length of experience in similar Services and cross-reference the list of assignments below.
 - 2) **In the specified period, list similar Services assignments completed or substantially completed in a tabular form** (Period specified in Section III – Qualification Criteria Note: List only the most important and relevant ones. List the largest value and most relevant projects to this assignment first)
 - a) country, client, (source of funding),
 - b) project title, project reference number, project value, project period
 - c) brief description of the Service Provider's role in the project
 - d) # of international staff months, # of national staff months deployed by you on the project
 - e) Is it a Similar Experience as per Section III: Qualification Criteria (Yes or No)
 - f) Is it in General Sector as per Section III: Qualification Criteria (Yes or No)
 - g) Is it in Specific Sector as per Section III: Qualification Criteria (Yes or No)

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

.....
(Signature with date)

.....
(Name and designation)

Duly authorised to sign REOI for and on behalf of

.....

..... Name, address, and seal of the Service Provider]

DA: Performance records/ contracts

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

Form 2.2 Financial Capability Statements

(Ref REOI Clause 2.3, Section III: Qualification Criteria)

(On Service Provider 's Letterhead)

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Tender Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Service Provider 's Name_____

[Address and Contact Details]

Service Provider 's Reference No._____

Date.....

Note to Service Provider: Fill out this Form for the Service Provider and each member of a joint venture or other association that is a party to the Service Provider to highlight conformance to Criteria 2: Financial Capability. The list below is indicative only. You may attach more documents as required. Add additional details not covered elsewhere in your REOI in this regard.

Form 2.2.1: Financial Statements

Note: Each Service Provider or member of a Joint Venture/Consortium making up a must fill in this Form.

Financial Data for Previous Three (3) Years			
	Year 1:	Year 2:	Year 3:
Information from the Balance Sheet			
Total Assets			
Total Liabilities			
Net Worth			
Current Assets			
Current Liabilities			
Working Capital			
Information from Income Statement			
Total Revenues			
Profits Before Taxes			
Profits After Taxes			

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

Attached are copies of financial statements (either audited financial statements supported by audit report or certified financial statements supported by Income tax returns), complying with the following conditions.

- 1) All such documents reflect the financial situation of the Service Provider or a member of a Joint Venture or other association and not a sister or parent company.
- 2) A Chartered accountant must audit historical financial statements.
- 3) Historical financial statements must be complete, including all notes to the financial statements.
- 4) Historical financial statements must correspond to accounting periods already completed and audited (no statements for partial periods shall be requested or accepted).

.....
(Signature with date)

.....
(Name and designation)

Duly authorised to sign REOI for and on behalf of

.....

..... Name, address, and seal of the Service Provider]

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

Form 2.2.2: Average Annual Turnover

(Ref REOI Clause 2.3, Section III: Qualification Criteria)

(On Service Provider's Letterhead)

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Tender Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Service Provider's Name _____

[Address and Contact Details]

Service Provider's Reference No. _____

Date.....

Note: Each Service Provider or member of a Joint Venture/Consortium must fill in these forms.

Annual Turnover Data (Rs Crores) for the Last Three (3) Financial Years		
Year	Total Turnover Amount	Turnover from digitization of documents (supported by a certificate from the Chartered Accountants)
Average Annual Turnover		

.....
(Signature with date)

.....
(Name and designation)

Duly authorised to sign REOI for and on behalf of

.....

..... Name, address, and seal of the Service Provider

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

Form 3: Checklist for Service Provider

Ref REOI Clause 2.3)

(On Service Provider's Letterhead)

Service Provider's Name _____

[Address and Contact Details]

Service Provider 's Reference No. _____

Date.....

REOI document No. 18-23011/7/2020-ADMIN/REOI/001

Tender Title: Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room, The Directorate General of Shipping, India

Note to Service Provider's: This checklist is merely to help the Service Providers to prepare their REOIs. It does not override or modify the requirement of the REOI. Service Providers must do their due diligence also.

Sr No.	Documents submitted, duly filled, signed	Yes/ No/ NA
1.	Form 1.- REOI Form (to serve as covering letter and declarations)	
2.	Form 1.1: Service Provider's Information and Power of attorney and Registration Certificates etc.	
3.	Form 1.2: Eligibility Declarations, along with supporting documents	
4.	Form 2: Qualification Criteria - Compliance	
4.a	Form 2.1, 2.2 (and its sub-forms) to support Form 2 along with supporting documents	
5.	Form 3: Checklist for Service Provider	
6.	Form 4: Declaration for No Conflict of Interest	
7.	Form 5: Details of ineligibility for corrupt or fraudulent practices / blacklisted with any of the Government or Public Sector Units	
8.	Form 6: Other information required	
9.	Any other requirements, if stipulated in Section II: Appendix; or if considered relevant by the Service Provider	

.....
(Signature with date)

.....
(Name and designation)

Duly authorised to sign REOI for and on behalf of.....

[Name, address, and seal of the Service Provider]

Form 4: Declaration for No Conflict of Interest
<<To be submitted on the Company Letter head of the Lead Bidder>>

Date:

To

Directorate General of Shipping,
9th Floor, Beta Building,
i-Think Techno campus
Kanjurmarg (East), Mumbai – 400042

Sir,

Sub: Undertaking on No Conflict of Interest

I / We as Service Provider (SI) do hereby undertake that there is absence of, actual or potential conflict of interest on our part, on part of our Consortium partner (in case of a Consortium) due to prior, current, or proposed contracts engagements, or affiliations with Directorate General of Shipping, Government of India.

I / We also confirm that there are no potential elements (time frame for service delivery, resource, financial or other) that would adversely impact our ability to complete the requirements of this REOI.

We undertake and agree to indemnify and hold Directorate General of Shipping, Government of India harmless against all claims, losses, damages, costs, expenses, proceeding fees of legal advisors (on a reimbursement basis) and fees of other professionals incurred (in the case of legal fees & fees of professionals, reasonably) Directorate General of Shipping, Government of India and / or its representatives, if any such conflict arises later.

Yours faithfully,

Authorized Signatory
Designation
Date
Time
Seal
Business Address

Form 5: Details of ineligibility for corrupt or fraudulent practices / blacklisted with any of the Government or Public Sector Units

<<On the letterhead of the Bidding Organization>>

<<In case of consortium, separate certificates to be submitted from respective authorized representatives>>

Date:

To:

Directorate General of Shipping
9th Floor, Beta Building,
i-Think Techno campus
Kanjurmarg (East), Mumbai - 400042

Subject: Declaration for not being under an ineligibility for corrupt or fraudulent practices or blacklisted with any of the Government or Public Sector Units in India

Dear Sir,

We, the undersigned, hereby declare that

We are not under a declaration of ineligibility / banned / blacklisted by any State or Central Government / any other Government institutions in India for any reason as on last date of submission of the Bid or convicted of economic offence in India for any reason as on last date of submission of the Bid.

Thanking you,

Yours faithfully

(Signature of the Authorized signatory of the Bidding Organization)

Name :

Designation :

Date :

Company Seal :

Business Address :

Form 6: Other information required

(All Questions except S.No.6 are mandatory for bidders who are submitting the response for this REOI)

1. Approach and Methodology (Mandatory)

Sr. No.	Question
1.1	Please describe the proposed process of digitization of documents, pick up of physical documents, transportation of documents, retrieval of physical as well as digitized document.
1.2	Please list the physical infrastructure/equipment's envisaged for the above proposed process
1.3	How is your organization planning to conduct the above-mentioned processes differently (Innovative solutions)?
1.4	What are the methodologies proposed by your organization to ensure data security and confidentiality efficiently?
1.5	Please specify the assumptions and exclusions if any

2. Tentative Timeline & Rough Cost estimation (Mandatory)

#	Size of the document	Quantity	Cost per page (in INR)	Total Cost (in INR)
1	A0	1,50,000		
2	A1	30,000		
3	A2	20,000		
4	A3	0		
5	A4 & Legal	1,48,00,000		
	Total	1,50,00,000		

3. Transportation Cost

#	Size of the document	Unit Cost (in INR)	Total Cost (in INR)
1	Normal Retrieval		
2	Express Retrieval		

4. Storage Cost per month

5. Specify any other cost if any

#	Activity	Timeline
1	Agreement Signing and Issuance of Work Order	

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

#	Activity	Timeline
2	Requirement Gathering, Project Plan Submission	
3	Transportation of documents to facility	
4	Categorisation of documents by DGS	
5	Setting up of Scanning and Digitization Infrastructure	
6	Scanning and Digitization of 50% of the documents	
7	Scanning & Digitization of 100 % of the documents	
8	Add any other relevant activity.....	

6. Please provide the relevant services offered by your organization (Mandatory)

7. Details of the Software solution (Mandatory)

Sr No.	Particulars	Response
7.1	Is it open source-based software solution	Yes/No
7.2	Whether Source code can be transferred after the development?	Yes/No
7.3	Whether the software is certified by Cert-In empanelled agency	Yes/No
7.4	Whether customization of the software is possible?	Yes/No
7.5	What would be the mode of Software hosting?	Cloud/ On-premises
7.6	Whether your software is capable of maintaining records?	Yes/No

8. Feedback/Suggestion on the Terms of References/Scope of the REOI (Optional)

Annexure - Circulars

A. DGS Office Order 29 of 2024



भारत सरकार / GOVERNMENT OF INDIA
पत्तन, पोत परिवहन और जलमार्ग मंत्रालय
MINISTRY OF PORTS, SHIPPING AND WATERWAYS



नौवहन महानिदेशालय, मुंबई
DIRECTORATE GENERAL OF SHIPPING, MUMBAI

No.18-23011/10/2024-Admn-DGS

22.02.2024

OFFICE ORDER NO.29 OF 2024

RECORD RETENTION SCHEDULE

Kindly find enclosed herewith the Record Retention Policy of this Directorate.

All officers and staff are requested to follow the policy in relation to retention of the office records.

(Mening Raj)
Asstt. Director General of Shipping (i/c)

To
All Officers & Staff of this Directorate General of Shipping.
All Allied offices and Staff of Directorate General of Shipping.

FILE NO. 18-23011/10/2024-ADMIN - DGS

DIRECTORATE GENERAL OF SHIPPING, MUMBAI
RECORD RETENTION POLICY

DGS is following "RECORD RETENTION SCHEDULE IN RESPECT OF RECORDS COMMON TO ALL MINISTRIES/ DEPARTMENTS, 2012 of Govt. of India.

Preliminary

Government of India has enacted the Public Record Act, 1993 to regulate the management, administration and preservation of records of various departments of Central Government/ Public Sector Undertaking and commissions or committees constituted by the Central Government. As such, the Public Record Act, 1993 is also applicable to DGS. Under the aforesaid Act, Government of India has issued Public Record Rules, 1997 which provide that each organization shall compile a schedule of retention of records in consultation with the DoPT. Accordingly, DGS has also finalized a schedule prescribing retention period for different documents. This policy shall be governed by the provisions of the Public Record Act 1993 and other applicable laws for the time being in force including rules and regulations made there under.

2. **OBJECTIVE:** This policy inter alia provides for preservation of documents so that records should be kept no longer than the period necessary for the proper conduct of DGS. This policy shall cover all the records of the DGS, including written, printed and recorded matter and electronic forms of records.

3. **DEFINITIONS:**

3.1. **Applicable Law:** "Applicable Law" means any law, rules, regulations, circulars, guidelines or standards applicable on the Central Government under which any guideline / provision with regard to the preservation of the Documents has been prescribed.

3.2. **DGS:** "DGS" means Directorate General of Shipping.

3.3. **Document(s):** "Document(s)" refers to papers, notes, agreements, notices, advertisements, requisitions, orders, declarations, forms, correspondence, minutes, indices, registers and or any other record (including required under or in order to comply with the requirements of any Applicable Law) maintained on paper or in Electronic Form and does not include multiple or identical copies.

3.4. **Electronic Form:** "Electronic Form" means maintenance of documents in any contemporaneous electronic device such as computer, laptop, compact disc, floppy disc, space on electronic cloud, or any other form of storage and retrieval device, considered feasible, whether the same is in possession or control of the Company or otherwise the

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

File NO.18-23011/10/2024-ADMIN - DGS

Company has control over access to it.

3.5. Preservation: "Preservation" means to keep in good order and to prevent from being altered, damaged or destroyed.

4. CLASSIFICATION OF DOCUMENTS: After listing the subject-heads and their sub-heads/ records-groups, their retention periods are prescribed in accordance with their reference value and the importance of the subject. The retention period is the period a particular agency is required to keep the records before their final disposition. For the purpose of prescribing the retention periods, the records are classified into three categories viz. 'A', 'B' and 'C'. An illustrative list of records fit to be categorised as 'A', 'B' and 'C' categories.

4.1. 'A' Category: Records under this category are meant for permanent preservation and are to be microfilmed because they contain: i. a document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum; or ii. material likely to be required for frequent reference by different parties.

4.2. 'B' Category: Records under this category are also meant for permanent preservation but they are not to be microfilmed.

4.3. 'C' Category: records under this category are meant to be maintained for a limited period, not exceeding 10 years.

N.B. While prescribing the retention period for 'C' Category files, slabs of C-1, C-3, C-5 and C-10 may be followed, where the numerals represent the number of years that a file is to be retained after being closed or recorded.

5. PRESERVATION OF DOCUMENTS / RECORDS

5.1. All statutory records required to be maintained under any law shall be preserved for the period, if any, prescribed there under.

5.2. Documents mentioned under the schedule finalized with the National Archives under the provisions of the Public Record Act, 1993 and rules made there under, shall be preserved for period given in the schedule.

5.3. If any direction has been received from any authority for maintenance of certain records for specified period, those records shall be maintained for specified period.

5.4. Documents, in respect of which no minimum maintenance timeline is stipulated under any of the laws or under the schedule finalized by National Archives India, shall be preserved for such period as may be decided by the concerned head of Department in consultation with Head of Vigilance Department.

6. CUSTODY OF DOCUMENTS: All documents shall be under the custody of concerned functional head(s).

7. DESTRUCTION OF DOCUMENTS: After retention period, concerned functional head shall decide the records which are to be destroyed. A list of the Documents disposed/destroyed shall also be maintained. It shall state the brief particulars of the

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

FILE NO.18-23011/10/2024-ADMIN - DGS

Documents destroyed, date of disposal/destruction and the mode of destruction. Before destruction of documents, the concerned head of department may opt for preserving copies of the same in Electronic Form.

8. The records other than the records as mentioned in the "RECORD RETENTION SCHEDULE IN RESPECT OF RECORDS COMMON TO ALL MINISTRIES/ DEPARTMENTS, 2012 of Govt. of India is retained in the DGS as per the Annexure-I.

9. ARCHIVAL POLICY: The policy applies to documents / information hosted on the website of the department including events/information required to be disclosed on website. The disclosure of material events shall be hosted and retained on the Department's website.

10. AMENDMENTS TO THE POLICY: The Head of Department of DGS is authorized to make such alterations to this Policy as considered appropriate, subject, however, to the condition that such alterations shall be in consonance with the provisions of Regulation and other applicable laws.

Annexure-I

Record Retention Schedule of documents pertaining to Directorate General of Shipping, Mumbai other than the records as mentioned in the "RECORD RETENTION SCHEDULE IN RESPECT OF RECORDS COMMON TO ALL MINISTRIES/ DEPARTMENTS, 2012 of Govt. of India				
Sl. No	Type of Record (Examples)	Retention Period	Location of Record	Category of Record
1	Register of Ships	Permanent	Registrar of Ships at respective offices	A
2	RO Agreement & Audit of Recognized Organizations	Ten years	DGS	C
3	Casualty Investigation Reports	Permanent	On DGS website	B
4	List of Approved Maritime Training Institute	Permanent	On DGS website	B
5	Report of Port State Control	Ten years	IOMOU IOCIS Database	C-10
6	Flag State Inspection analysis	Ten years	FSIDGS Database	C-10
7	Report of PSC Abroad of India Ships	Ten years	FSIDGS Database	C-10
8	List of Exemptions to Ships	Five years	On E-office	C-5
9	Port Reception Facilities Assessment Reports	Five years	DGS PRF Module	C-5
10	Register of Bunker Suppliers	Five years	On DGS website & E-office	C-5
11	List of Authorised Flag / Port State Inspectors	Permanent	Individual MMD offices	B

Request for Expression of Interest (REOI) for Selection of Service Provider for Formalization of Digital Record Room

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12	List of Casualty Investigators	Permanent	Individual MMD offices & DGS casualty cell	B
13	List of approved LSA/ FFA/ GMDSS Service Stations, VGM approved agencies, IMSBC Testing Labs, Approved IMDG packaging manufacture.	Permanent	On DGS website	B
14	List of Shipping Companies under ISM	Permanent	On DGS website	B
15	List of RPSL Companies	Two years beyond expiry	On DGS website	C-3
16	Executive Orders towards implementation of IMO instruments	Permanent	On DGS website	B
17	STCW Certification of seafarers	Two years beyond expiry	On DGS website	C-3
18	Investigations of seafarers	Ten years	On E-office	C-10
19	Statutory certificates issued to Vessels	Five years or till validity	DGS/MMD/RO Database	C-5
20	DGS Approved Medical Practitioner	Two years beyond expiry	On DGS website	C-3
21	Evaluation and Review of Flag State/Port State functions	Five years	DGS website	C-5
22	Cargo related inspection (Grain, concentrate, IMDG)	Five years	Issuing MMD	C-5
23	List of MTO	Permanent	DGS website	B
24	Seafarers identity documents	Permanent	DGS website	B

B. Record Retention Schedule In Respect Of Records Common To All Ministries/ Departments (2012)

https://nationalarchives.nic.in/sites/default/files/2023-06/RRS_WC_0.pdf

C. Public Record Act, 1993

https://www.indiacode.nic.in/bitstream/123456789/1921/1/a1993_69.pdf