



ASEAN - AUSTRALIA DEVELOPMENT COOPERATION PROGRAM (AADCP) PHASE II

TERMS OF REFERENCE FOR

THE DEVELOPMENT OF CONSOLIDATED STRATEGY ON THE FOURTH INDUSTRIAL REVOLUTION (4IR) FOR ASEAN

The ASEAN Secretariat and the Australian Government, through AADCP II, invite applications from individuals and entities/organisations for the above-referenced project.

I. Background

Driven by technological advances, the Fourth Industrial Revolution (4IR) has brought about unprecedented, rapid, transformative, and irreversible changes to the way we produce, work, and interact. A new chapter in human development, the phenomenon merges physical, digital, and biological worlds in ways that create both huge opportunities and challenges, and requires a paradigm shift in policy responses, governance, and regulations. The magnitude of such shift was not as visible in 2015 when the ASEAN Economic Community Blueprint 2025 was finalised.

Notwithstanding highest political recognition given by the ASEAN Leaders on the importance of the 4IR in 2017, as well as the increase in number of 4IR-related initiatives across the three pillars of the ASEAN Community in recent years, there has yet an overarching, or umbrella, document that guides ASEAN's work on the 4IR. Given the rapidly changing pace of technological development and the indispensability of these new technologies in our work, lives, and daily interactions, the need for a coherent narrative for ASEAN in addressing the 4IR is becoming more urgent, and is not something to be addressed only in the successor document of the ASEAN Community Vision 2025 or its corresponding blueprint. To this end, there is a shared understanding on the need for ASEAN to develop a coherent strategy that will clearly and holistically articulate ASEAN's 4IR agenda and directions to both internal and external stakeholders to garner their support for effective implementation.

The development of the Consolidated Strategy will be consultative by engaging ASEAN relevant Organs and Sectoral Bodies across the three Community pillars, as well as relevant stakeholders to ensure synergy and coherence, and generate support and partnerships. Furthermore, mechanisms for information sharing and coordination that are effective, sustainable, and receive community-wide buy-in will be explored and developed in this project.

The Consolidated Strategy will not only set out the context of 4IR globally and the region, provide strategic framework for ASEAN work on the 4IR, an overview of current ASEAN initiatives related to the 4IR, but also provide strategic directions for ASEAN's 4IR work going forward, focusing on areas where a regional approach would generate the greatest value added. Concrete ways will be identified to translate the strategy into actions to provide practical recommendations that would take into consideration ASEAN mechanisms and processes.

In order to prepare the Consolidated Strategy, ASEAN is seeking a team of consultants with the appropriate expertise. It is foreseen that the team will consist of at least 4 (four) members, namely 1 (one) **Team Leader** and 3 (three) **Technical Experts** with expertise in technology governance and cybersecurity, digital economy, and digital transformation in society, respectively. Consultants interested to bid for this project can either apply as: a) a single entity/ organisation such as a consulting firm, research institute or other formally established entity; b) a consortium with expertise covering all of the required expertise/ position mentioned above, with the team leader taking overall responsibility in the management of the consortium and the delivery of outputs; or c) individual consultants applying specifically for any of the four positions. A more detailed description of these positions is in Section VI below.

This project will be overseen by the ASEAN Integration Monitoring Directorate (AIMD) of the ASEAN Secretariat (ASEC).

II. Needs and Objectives

The goal of the Project is that ASEAN is able to fully harness the opportunities from the 4IR to enhance regional competitiveness and promote equitable economic growth. The project will enable ASEAN bodies across the three pillars and ASEAN Member States (AMS) to set their 4IR-related priorities and strategies, allowing it to put in place approaches and implementation mechanisms to advance their 4IR priorities. The Consolidated Strategy will also serve as a reference and communication tool to ASEAN stakeholders and external partners to coordinate efforts, garner feedback, and support.

III. Outputs

The project will produce the following outputs:

- **Output 1:** The Consolidated Strategy on the 4IR for ASEAN' containing agenda, strategic directions, and priority areas that would facilitate ASEAN's transitions towards the 4IR. The Strategy and its dissemination tools (e.g. leaflets, infographics, etc.) will be disseminated to relevant AMS' ministries and agencies, stakeholders, and ASEAN Dialogue Partners.
- **Output 2:** Dissemination Seminar of the ASEAN Consolidated Strategy on the 4IR. Upon completion of the strategy, a seminar to socialise the strategy to the broader stakeholders will be convened.

In addition to the outputs mentioned above, the following reports are required:

- **Inception Report** providing a brief description of the rationale of the project, the objectives and intended users, the approach and methods to be used, resources involved (including a brief detailed background of the experts that will work on the project), a detailed work plan including division of work and outputs amongst each Team Member, risk management plan, and the means to monitor and evaluate the implementation of the project. The report will also include an indicative annotated outline of the Consolidated Strategy on the 4IR for ASEAN.
- **Project Completion Report** (no more than 30 pages), explaining the results from the various aspects of the project which includes recommendation on the next steps. The Project Completion Report will establish a record of the project achievements against the project's original intended purpose and outputs. It is intended to assist in assessing impact, draw out conclusions and lessons learned.

IV. Tasks/Activities

The following activities will need to be undertaken to achieve the project's outcomes. The bidder should provide details on its approach to each activity in its bid and is free to recommend additional activities. These will be expanded as part of the contracting and project inception processes.

Deliverable		Activity	Person Working Days (Team Leader)	Person Working Days (Each Technical Expert)	Completion Date (Indicative)	Person(s) Responsible
1	Project Inception Report	Coordination meeting with consultant(s) to discuss overall approach, detailed conceptual framework, and work plan	10	3	4 weeks after signing of the Special Services Agreement (SSA) with Team Leaders and all Technical Experts	Expert Team Leader to draft report, with inputs from the ASEAN Integration Monitoring Directorate (AIMD) and the Technical Experts
		Initial literature review (existing 4IR frameworks/strategies/ initiative at global and regional level, identification of gaps and prioritisation of next actions/ steps, stakeholder mappings)				
		Development of the indicative annotated outline				
		Preparation of Project Inception Report				
		Finalisation and submission of the annotated outline and project inception report				
	Approval of Project Inception Report by the ASEAN Secretariat (ASEC) (2 weeks)					
2	Consultation Workshop Report and Revised Annotated Outline	Preparation of Consultative Workshop 1	12	2	Week 10	AIMD, with support from the Team Leader and the three Technical Experts
		Consultative Workshop 1 to seek inputs to the annotated outline				
		Post-workshop report, review and revise the annotated outline to incorporate inputs from the workshop				
	Approval of the Consultation Workshop Report and Revised Annotated Outline by ASEC (2 weeks)					

Deliverable		Activities	Person Working Days (Team Leader)	Person Working Weeks (Each Technical Expert)	Completion Date (Indicative)	Person(s) Responsible
3	First Draft of the Consolidated Strategy	Literature review and data collection	43	30	Week 15	AIMD, with support from the Team Leader and the three Expert Team Members
		Development of the First Draft				
		Finalisation and submission of the First Draft				
	Approval of First Draft of the Consolidated Strategy by ASEC (2 weeks)					
4	Revision of Draft Consolidated Strategy and Post-Workshop Report Leader	Preparation of Consultative Workshop 2	10	10	Week 20	AIMD, with support from the Team Leader and the three Expert Team Members
		Consultative workshop to seek inputs to the First Draft				
		Post-workshop report, review and revision the First Draft incorporating inputs from the workshop				
5	Final Draft of the Consolidated Strategy	Develop the Final Draft	35	20	Week 34	AIMD, with support from the Team Leader and the three Expert Team Members
		Finalisation and submission of the Final Draft				
		Preparation for the presentation of the finalised Consolidated Strategy at the 39th HLTF-EI and Joint Consultative Meeting				
	Approval of Final Draft of the Consolidated Strategy by ASEC (2 weeks)					
6	Report of Socialisation Seminar, and Project Completion Report	Preparation of Socialisation Seminar	10	N/A	Week 40	AIMD, with support from the Team Leader
		Post-event report				
		Preparation of Project Completion Report				
	Approval Report of Socialisation Seminar, and Project Completion Report by ASEC (2 weeks)					
The timing of the tasks/activities is indicative and can be adjusted when the contractor's work plan is developed, subject to mutual agreement.						

V. Reporting

All reports as described in Section III will be submitted based on ASEAN-Australia Development Cooperation Program Phase II (AADCP II) Guidelines for Contractors in draft format to ASEC AIMD (with a copy to AADCP II) and, following ASEC approval, in final form. All outputs and reports must be suitable for publication, although the decision on publication lies with the ASEAN.

The contractor will also provide regular (weekly, bi-monthly or as agreed with ASEC) summation of activities undertaken and issues that have arisen. These will be submitted to AIMD and AADCP II via email.

Financial reports will be submitted at invoicing in line with a payment schedule to be specified in the Special Services Agreement (SSA).

VI. Work Management

This project is to be implemented by a team of consultants, consisting of at least 4 (four) personnel: 1 (one) Team Leader and 3 (three) Technical Experts.

1. The **Expert Team Leader** is responsible in managing and coordinating the three Technical Experts inputs to ensure delivery of high quality outputs/tasks. The specific outputs/tasks of the Team Leader are specified under Section VII of this Tender Terms of Reference.
2. Reporting to the Expert Team Leader, the **Technical Experts** will contribute to the development of the Consolidated Strategy on the 4IR for ASEAN in specific areas relevant to his/her expertise (e.g. Technology governance and Cybersecurity, Digital Economy, or Digital Transformation in Society). The specific outputs/tasks of each Technical Expert are specified under Section VII of this Tender Terms of Reference.

When the team of consultants are not part of a consortium, or represented by an entity/ firm/ organisation, AIMD will select the candidate for each position and facilitate the formation of the team. In any case, Team Leader will be expected to lead and manage the outputs of the Technical Experts. The project will be funded by AADCP II and managed by the ASEAN Integration Monitoring Directorate of the ASEAN Secretariat.

AIMD will act as the ASEC key focal point for the project. It will:

- oversee project implementation and together with AADCP II monitor progress of the consultancy work;
- provide technical supervision to the project;
- assist/facilitate introductory consultation meetings with key Member States focal points; and
- provide over-all guidance on the organization and conduct of the workshops and meetings.

The Program Planning and Monitoring Support Unit (PPMSU) of AADCP II will provide technical support to AIMD for the implementation of this project, as required.

VII. Scope of Services

The consultancy will be undertaken over a **continuous effective period of twelve (12) calendar months** with up to twenty-four (24) person weeks or one hundred and twenty (120) person days for Team Leader, and twelve (13) person weeks or sixty-five (65) person days for each Expert Team Member of professional services. Work will commence immediately after contract signing with an entity or a consortium, or when all four positions are filled.

A maximum of 4 (four) experts will be hired to implement the project, either as part of an entity/consortium, or as individual contractors for specific roles. We require, at the minimum, the following expertise:

1. **Team Leader** (for a maximum of 120 person days). This person will be responsible for delivering the project outputs/ deliverables. In order to this, s/he will manage and coordinate the work of the Technical Experts to ensure delivery of high quality outputs/deliverables as outlined in section III. The person will be responsible for the following tasks:
 - a. Act as the main point of contact for the Project, in coordinating with ASEC and AADCP II;
 - b. Plan, organise, and lead/facilitate the activities identified in Section IV of this Tender Terms of Reference;
 - c. Conduct preparatory work, including the development of guiding questions for consultative workshops; design and finalise programme of events, preparation of presentations and event materials;
 - d. Plan, coordinate, review and synthesise work and outputs of the Technical Experts, prepare and quality assure all project outputs and reports to ensure coherence, consistency, and overall quality of outputs;
 - e. Draft and finalise the Consolidated Strategy on the 4IR for ASEAN, taking into account inputs from ASEAN stakeholders and beyond;
 - f. Present the Consolidated Strategy on the 4IR for ASEAN to stakeholders in ASEAN meetings and Dissemination Seminars for a broader range of stakeholders; and draft and finalise post-event reports.
2. **Technical Experts** (for a maximum of 65 person days for each Technical Expert). Reporting to the Team Leader, each Technical Expert will have specific specialisation in either Technology governance and Cybersecurity, Digital Economy, or Digital Transformation in Society. Each Technical Expert is expected to:
 - a. Conduct literature review on issues relevant to the component/area of the Consolidated Strategy on the 4IR for ASEAN (e.g. Technology Governance and Cybersecurity, Digital Economy, or Digital Transformation in Society) assigned to each Technical Expert;
 - b. Contribute to the planning and organisation of relevant activities identified in Section IV of this Tender Terms of Reference, particularly activities 3, 4, and 5, including, but not limited to, the development of guiding questions for consultative workshops; design and finalise programme of events and presentations materials; present and facilitate relevant sessions of the Consultative Workshops, and support drafting of post-event reports;
 - c. Prepare a technical brief on specific component/area of the Consolidated Strategy on the 4IR for ASEAN as input for the Team Leader in drafting the Strategy.
 - d. Support the Team Leader in finalising relevant component/area of the Consolidated Strategy on the 4IR for ASEAN under his/her responsibility;

VIII. Qualifications

Individuals applying for specific positions should demonstrate the following qualifications:

For **Team Leader**:

- In-depth knowledge and expertise on 4IR-related issues, preferably with experience in developing 4IR policy strategy at national and/or international levels;
- Experience in developing both high-level framework and strategy as well as detailed operational documents;
- Ability to lead and collaborate with a team of international experts with diverse backgrounds and specialisation;
- Proven experience in managing and coordinating complex international development projects that involve strong supervisory role of a team of international experts;
- Ability to design innovative and effective approaches to disseminate policy strategy and engage with ASEAN's stakeholders;

For each individual **Expert Team Member**:

- In-depth knowledge and expertise in either one of these 4IR-related fields:
 - Technology governance and cybersecurity (for the position of Technical Expert – Technology Governance and Cybersecurity)
 - digital economy (for the position of Technical Expert – Digital Economy)
 - digital transformation in society (for the position of Technical Expert – Digital Transformation);
- Proven ability in developing high-level policy documents and recommendations;
- Ability to work as a team with other international experts with diverse backgrounds and specialisation;

For both **Team Leader** and **Expert Team Members**:

- Proven track record in data collection and analysis on regional and global survey/research;
- Experience in facilitating high-level dialogues/seminars with government officials, industries, and other stakeholders, and ability to turn the outputs of these dialogues/seminars into concise policy recommendations;
- Sound knowledge of ASEAN, its structure, and processes;
- Extensive 4IR-related network within and beyond ASEAN;
- Proven skills in writing and conversing in English.
- Proven ability for accuracy under pressure and adherence to deadlines;
- Understanding of the ASEC procedures is needed and willingness to adapt is required; and
- English proficiency, good report writing and presentation skills are prerequisites.

Entities should highlight how it can provide added-value to the project by demonstrating the following qualifications in their proposal:

- Experience in developing high-level framework and strategy at the national or international level;
- Sound technical knowledge on and experience in dealing with 4IR-related issues, including in areas such as the technology governance and cybersecurity, digital economy, and digital

transformation in society;

- Facilitating and consolidating inputs from high-level strategic planning discussions/workshops amongst various stakeholders;
- Extensive experience in carrying out complex international development projects, involving diverse stakeholders;
- In-depth understanding of ASEAN, its structure, and approaches;
- Having extensive 4IR-related networks within the ASEAN region and beyond.

IX. Bidding

Interested individual experts and entities/consortiums are invited to submit a letter of interest in response to these Terms of Reference.

Interested entities/consortiums must submit the following documents/information (in English, PDF Format) to demonstrate their qualifications:

- A cover letter expressing interest, providing highlights of qualifications, relevant past work experience and what value-add the entity/consortium can bring to the assignment;
- CV (individuals) or CVs of all proposed experts;
- Copy or links to 1-3 publications/writing samples on relevant subject(s) by each proposed expert (if any);
- A total lump sum amount in US (American) dollars, inclusive of professional fees, applicable income tax, communication and transport costs, and any other costs incurred by each individual in performing this assignment, with a cost breakdown by category.
- Any additional management and/or operational fees (if any), excluding costs already included in the Professional Fees of experts. This may include applicable taxes such as VAT, GST, or PPN. See Section XI point 3 for an additional note on tax liability;

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

Individual contractors interested in applying for any of the four positions should submit an application containing his/her CV, a cover letter highlighting his/her past experience in undertaking similar work, copy of 1-3 publications/ writing samples on relevant subject(s), and a total lump sum remuneration amount in US (American) dollars, inclusive of professional fees, applicable income tax and other costs (communications, transport, etc) required to perform the work, with a cost breakdown by category.

Individuals that have been listed as part of an entity or consortium bidding for the project are not eligible to apply as individual contractors.

X. Submission of Bids

Applicants should send their bids with a cover letter, materials specified in Section IX above and other supporting documents with "**Development of Consolidated Strategy on the Fourth Industrial Revolution (4IR) for ASEAN**" as the subject via email to tender@aadcp2.org, no later than **3 July 2020 at 05:00pm Jakarta time**.

To see a list of bidders' questions and answers on this project, please visit: <http://aadcp2.org/?p=6515&preview=true>. The page will be updated regularly. In addition, please visit our Frequently Asked Questions (FAQ) page <http://aadcp2.org/aadcp-ii-tender-frequently-asked-questions/>.

Any queries on the TOR should be sent to contact@aadcp2.org with the subject line:” **Query : Development of Consolidated Strategy on the Fourth Industrial Revolution (4IR) for ASEAN.**”

XI. Additional Notes on Terms and Conditions of the Project

1. Any future studies/reports/analysis in any form of intellectual property rights (including but not limited to patents, copyright and any related rights) submitted by the Contractor to ASEAN arising out of or in connection to the services performed by the Contractor to ASEAN shall belong to ASEC under the name of **ASEAN** only;
2. Successful bidder shall agree to be bound and sign the Special Services Agreement (SSA) with all requirements under the terms and conditions provided therein, including but not limited to the AADCP II Guidelines for the Contractors attached to the SSA.
3. As an intergovernmental organisation, ASEAN shall not be responsible for any tax(es), levy, tax claim or any tax liability which may be imposed by any law in relation to any amount payable by the ASEAN Secretariat.