



ASEAN AUSTRALIA DEVELOPMENT COOPERATION PROGRAM (AADCP)
PHASE II

TERMS OF REFERENCE
FOR

Global Recognition of Quality Assurance Systems for ASEAN Fruit and Vegetables (ASEAN GAP): Establishing Common Certification and Accreditation Mechanisms

(RETENDERED)

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

I. Background

Standards support global trade by contributing to technology upgrading, diffusion and absorption as well as protecting the consumers and the environment. The body of work involved for ASEAN GAP is an integral part of establishing quality infrastructure which refers to the totality of institutional framework needed to establish and implement standards including metrology (scientific, industrial and legal), conformity assessment services and accreditation.

With the conclusion of the Global Recognition of Quality Assurance Systems for ASEAN Fruit and Vegetables (ASEAN GAP) Project Year 1 and the recommendations emerging from the outputs, the remaining years (Year 2 and 3) of the project will be towards the achievement of the overall objective of ensuring the harmonized implementation of the ASEAN GAP standard and its supporting infrastructure (certification and accreditation). The outcomes and findings including the assessment of current status of national GAP programs of Cambodia, Lao PDR and Myanmar (CLM countries); progress of alignment and other related activities of the ASEAN-7 and the general recommendations in narrowing the national GAP programs in the 10 ASEAN Member States (AMS) will be used as starting material for the project's year 2 and 3 activities.

The needs assessment report showed that the CLM countries need further assistance to ensure full implementation of their national program through the development of a roadmap. It was also identified that the supporting infrastructure namely the certification system and accreditation mechanism, while already in existence in some AMS, need to be strengthened and harmonised.

The lack of coordination and inadequate incentives may lead to underinvestment in standards utilisation. With this premise, Years 2 and 3 of the project aim to develop guidance documents on the design, operation and assessment of ASEAN GAP certification and accreditation systems. These are intended to be used by departments/ministries and associated agencies designated to implement the ASEAN GAP in their respective countries. To support their implementation, generic training materials and curriculum for trainers, farmers and auditors/inspectors would be prepared on a later stage. For current purposes, only potential trainers and auditors/inspectors would be targeted for the pilot training course on certification. As part of the efforts to sustain and propagate the application of ASEAN GAP standard, previous training program and materials developed when the standards were developed several years ago would be revised, updated and institutionalised in selected AMS agriculture training centers.

II. Needs and Objectives

The overall project objective is to enhance the competitiveness of ASEAN agricultural products through the promotion of quality and safety of on-farm produce and associated production processes. The region-wide application of the ASEAN GAP is also expected to support efforts towards the ASEAN single market.

Following the development of the ASEAN GAP standard and its adoption in AMS, this project intends to establish and promote the adoption of the supporting mechanisms, specifically common certification and accreditation systems in the AMS.

A separate project component would support the preparation and enhancement of ASEAN GAP related information, education and communication materials.

Within the next 5 years changes envisaged are:

- Auditors and trainers have the knowledge and skills to undertake the task of certifying ASEAN GAP compliant farms; and
- Officials from the agriculture agencies have the knowledge and skills to implement ASEAN GAP at the national level;
- Common certification and accreditation mechanism established and improved across AMS;
- Effective ASEAN GAP brand requirements available such as labelling and certification; and
- There is common understanding among producers and consumers of what is ASEAN GAP

III. Outputs

The outputs of this particular component of the project include the following:

Output 1. Assessment Report covering:

- current systems of GAP certification of the ASEAN Member States including information pertaining to legislative framework, controls, procedures, facilities, equipment, laboratories, transportation, communications, personnel qualifications and training
- current system of accreditation of certification bodies (CBs) of the ASEAN Member States showing relevant information such as but not limited to: regulations, accreditation checklist, protocol for inspection and evaluation, rules and procedures for approval and registration, and procedure for monitoring and review

Output 2. Manual on the Design, Operation and Assessment of ASEAN GAP Certification

Output 3. Manual on the Design, Operation and Assessment of ASEAN GAP Accreditation

Outputs 2 and 3 will serve as reference documents either in the establishment of a system or in carrying-out revisions of current systems in place at the national level to be harmonised with the ASEAN guidelines. The manuals will specify principles for the establishment of a program with elements on inspection, sampling and analysis, checks and examination, audit of establishment by the national competent authority and national audit and verification. These are general manuals based on observed good and working practices from within and outside the region but with sufficient details and steps to accommodate convergence and harmonisation of the standards.

These guidance documents will also take into consideration related texts adopted by the Codex Alimentarius Commission specifically pertaining to certification and accreditation that will provide framework for the development of a national certification and accreditation system, and standards by International Organization for Standardization (ISO) pertaining to guidelines for accreditation procedures for certification bodies (CBs). These guidance documents will essentially assist AMS in the application of requirements and in the determination of

equivalency. When applied by governments, this will aid in building and maintaining the necessary confidence in their inspection, certification and accreditation systems and that of other AMS, thereby, facilitating the ratification of mutual recognition agreements (MRAs) among the AMS.

Apart from these outputs, activity/progress reports as described in Section V: Reporting would have to be produced.

IV. Tasks/Activities

For this component of the project, it is important to ensure participatory and consultative approach. Suggested activities are provided below to achieve the outputs presented. 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.

| | Outputs/Reports | Activity | Person working days (Consultant excluding AMS and ASEC time) | Completion Date | Person(s) responsible |
|---|--------------------------|---|--|--------------------------------|---|
| 1 | Inception Report | Development of the over-all approach to the delivery of the expected outputs | 1 day | 2 weeks after contract signing | Consultant with feedback from ASEC and AADCP II |
| 2 | Assessment Report | For the GAP certification: <ul style="list-style-type: none"> • collate information pertaining to legislative framework, controls, procedures, facilities, equipment, laboratories, transportation, communications, personnel and training needs • develop a draft comparative table showing the essential elements of a certification system circulate the draft table for verification by the AMS | 14 days | Month 1 | Consultant with inputs from AMS and ASEC |
| | | For the GAP accreditation: <ul style="list-style-type: none"> • collate information such as but not limited to: regulations, accreditation checklist, protocol for inspection and evaluation, rules and procedures for approval and registration, and procedure for monitoring and review • develop a draft comparative table showing the essential elements of an accreditation system circulate the draft table for verification by the AMS | | Month 2 | Consultant with inputs from AMS and ASEC |
| | | Review existing/current GAP related certification and accreditation systems outside the region | | Month 3 | Consultant |
| | | Prepare a draft assessment report based on the materials provided by the AMS including the comparative tables on certification and accreditation systems and the desk review | | Month 3 | Consultant |

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| | | of other GAP related certification systems globally | | | |
| | | Circulate draft assessment report for certification and accreditation systems to AMS for their review and comments | | Month 4 | Consultant with inputs from AMS and ASEC |
| | | Revise the assessment report based on feedback received | | Month 5 | Consultant with inputs from AMS and ASEC |
| | | Present the revised assessment report in Workshop 1 | | Month 5 | Consultant |
| | | Prepare Workshop Report 1 | | Month 5 | Consultant |
| 3 | Manual on the Design, Operation and Assessment of ASEAN GAP Certification | Identify the key elements of an ASEAN GAP Certification System | 18 days | Month 6 | Consultant with inputs from AMS and ASEC |
| | | Identify certification options (assuming there is more than 1 applicable to AMS) | | | Consultant |
| | | Develop an outline of what the manual on ASEAN GAP Certification should contain | | | Consultant |
| | | Prepare the draft manual/guidelines and circulate to AMS for comments | | Month 7 | Consultant |
| | | Present and discuss the draft manual in Workshop 1 | | Month 9 | Consultant |
| | | Revise and circulate manual for further comments | | Month 9 | Consultant with inputs from AMS and ASEC |
| | | Present and discuss the revised manual in Workshop 2 | | Month 10 | Consultant with inputs from AMS and ASEC |
| | | Prepare Workshop Report 2 | | Month 10 | Consultant |
| | | Finalise manual and submit for endorsement and adoption of AMS | | Month 10-11 | Consultant |
| 4 | Manual on the Design, Operation and Assessment of ASEAN GAP Accreditation | Identify the key elements of an ASEAN GAP Accreditation System | 15 days | Month 6 | Consultant with inputs from AMS and ASEC |
| | | Develop an outline of what the manual on ASEAN GAP Accreditation should contain | | Month 6 | Consultant with inputs from AMS and ASEC |

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| | Accreditation | Prepare the draft manual/guidelines and circulate to AMS for comments | | Month 8 | Consultant |
| | | Present and discuss the draft manual in Workshop 1 | | Month 9 | Consultant |
| | | Revise and circulate manual for further comments | | Month 9 | Consultant with inputs from AMS and ASEC |
| | | Present and discuss the revised manual in Workshop 2 | | Month10 | Consultant with inputs from AMS and ASEC |
| | | Finalise manual and submit for endorsement and adoption of AMS | | Month10-11 | Consultant with inputs from AMS and ASEC |
| 5 | Project Completion Report | Draft Project Completion Report (PCR): <ul style="list-style-type: none"> o Review and assess project performance against plan – what happened, what was learned, what went well and did not go well o Describe project successes o Describe the lessons learned o List further actions that can be taken | 2 days | Month 12 | Consultant |
| | | Circulate for comments and revise as needed | | | Consultant |

V. Reporting

The consultant is expected to produce outputs in accordance with Section III and IV above. In addition to these, the progress and activity reports would have to be submitted. These are summarised below. The timing of delivery is indicative and can be adjusted when the consultant's work plan is developed, subject to mutual agreement.

| No. | Reports | Target Delivery Date |
|-----|--|---|
| 1 | Inception Report This would detail the consultant's approach to the project and provide a detailed work plan. | 2 weeks after contract signing |
| 2 | Workshop Reports In line with the various outputs which would be presented in consultative workshops, corresponding workshop reports would be prepared. | 2 weeks after the conduct of the workshops |
| 3 | Project Completion Report 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 that may be valuable in designing new related initiatives. | Within two weeks of completion of each Expert's outputs |

All reports will be submitted based on AADCP II Guidelines for Contractors in draft format to the ASEAN Secretariat, Food, Agriculture and Forestry Division (FAFD) (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 FAFD 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. Project Management

The project will be funded by the ASEAN-Australia Development Cooperation Program II and managed by the FAFD of the ASEAN Secretariat.

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

- manage 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 consultant should be responsible for organising and conducting the scheduled activities in collaboration with the host countries and the ASEAN Secretariat. The preparation of the project outputs will be the main

responsibility of a contractor selected via open tender with inputs from AMS.

AADCP II will monitor progress from the perspective of the use of AADCP II resources, and provide advice to the FAFD accordingly.

VII. Scope of Services

The consultancy will be undertaken over a **continuous effective period of 12 calendar months** with approximately **10 person weeks** of professional services covering all deliverables. Work will commence immediately after contract signing.

A maximum of two teams/individual contractors will be hired to implement the project. Interested contractors can bid on one work area only (either ASEAN GAP Certification or ASEAN GAP Accreditation) or both. We require, at the minimum, the following expertise:

1. **Expert on GAP Certification** (for maximum of 27 person days). This person will be responsible for **Output 3 (Manual on the Design, Operation and Assessment of ASEAN GAP Certification)** and collaborate with the Expert on GAP Accreditation for the preparation of **Output 2 (Assessment Report)**. The person will likewise prepare the reports listed in Section V.
2. **Expert on GAP Accreditation** (for maximum of 24 person days). This person will be responsible for **Output 3 (Manual on the Design, Operation and Assessment of ASEAN GAP Certification)** and collaborate with the Expert on GAP Accreditation for the preparation of **Output 2 (Assessment Report)**. The person will likewise prepare the reports listed in Section V.

The contractors will collaborate and provide inputs on the various reports, as needed.

VIII. Bidding

Interested consulting firms are invited to submit a proposal in response to these Terms of Reference. This proposal should be in two parts: **Technical** and **Financial components**.

The Technical component should present the following information:

- A brief discussion indicating the bidder's understanding of the needs of the project;
- A brief analysis of key issues;
- A methodological discussion of how the bidder proposes to address those needs including assessment of key issues, analytical strategies that will underlie the project, specific techniques to be utilised, and practical discussion of possible limitations in carrying out the project;
- A detailed work plan that specifies activities to be undertaken, expected outputs and deliverables, resources to be utilised and timing;
- Staffing and management plan;
- A discussion on how measures to ensure the future sustainability of the outcomes of the project will be addressed;
- CVs of all proposed experts;
- Brief discussion of firm's or individual's past experience in undertaking similar work and brief summaries of all projects undertaken.

The Financial component should specify professional fees of experts.

Other 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 will be discussed with the preferred contractor during the finalisation of the scope of services. Costs will be based on prevailing ASEC rates.

IX. Qualifications

The scope of work within this TOR covers two specific types of work: certification and accreditation. The bidder must be able to demonstrate the required qualifications for at least one of the work areas or both types of work.

In the area of GAP Certification, the bidder must demonstrate the following qualifications:

- Degree in Agriculture, Horticulture, Biology, Natural Sciences or any related field;
- Proven track record on the application of the requirements of ISO/IEC 17065:2012, which provides conformity assessment (i.e., requirements for bodies certifying products, processes and service);
- Experience in developing guidelines and protocols for certification;
- Involvement in harmonization activities or development of mutual recognition agreements (MRAs) for goods;
- Previous experience or involvement on the development and implementation of ASEAN GAP standard or similar endeavours;
- Thorough understanding and good knowledge of IEC approaches, training methods/tools applicable for various agriculture groups;
- Solid background on the diverse implementation of GAP programs in the ASEAN Member States;
- Knowledgeable on the different GAP programs being implemented worldwide, including and but not limited to commercial GAP standards where most government GAP standards are being benchmarked against (i.e. GLOBALGAP);
- Proven track record of experience in research, activity design and delivering technical assistance, including effective capacity-building, related to agriculture;
- Detailed understanding and wide experience across sectoral and importantly the cross-cutting, including economy-wide, issues affecting ASEAN agriculture development and performance;
- Proven experience in dealing with senior government officials and other identified stakeholders;
- Proven ability for accuracy under pressure and adherence to deadlines;
- Proven skills in data analysis, assessment and in related policy advise; and,
- Proven skills in report writing and conversing in English.

In the area of GAP Accreditation, the bidder must demonstrate the following qualifications:

- Degree in Agriculture, Horticulture, Biology, Natural Sciences or any related field;
- Knowledge on the requirements specified in ISO/IEC 17011:2004 which provides the general requirements for accreditation bodies in assessing and accrediting conformity assessment bodies (CABs);
- Experience in developing guidelines and protocols for certification and accreditation;
- Involvement in harmonization activities or development of mutual recognition agreements (MRAs) for goods;
- Previous experience or involvement on the development and implementation of ASEAN GAP standard or similar endeavours;
- Demonstrated skills and experience in the development of practical and user-friendly training materials and tools for different target groups;
- Solid background on the diverse implementation of GAP programs in the ASEAN Member States;
- Knowledgeable on the different GAP programs being implemented worldwide, including and but not limited to commercial GAP standards where most government GAP standards are being benchmarked against (i.e. GLOBALGAP);
- Proven track record of experience in research, activity design and delivering technical assistance, including effective capacity-building, related to agriculture;
- Detailed understanding and wide experience across sectoral and importantly the cross-cutting, including economy-wide, issues affecting ASEAN agriculture development and performance;

- Proven experience in dealing with senior government officials and other identified stakeholders;
- Proven ability for accuracy under pressure and adherence to deadlines;
- Proven skills in data analysis, assessment and in related policy advise; and,
- Proven skills in report writing and conversing in English.

A thorough understanding of ASEAN, ASEC and AADCP II procedures will be considered added value.

X. Submission of Application

Applicants should send via email tender@aadcp2.org and mail/courier 4 (four) printed copies of their application with a cover letter, materials specified in **Section IX** above and other supporting documents to ASEAN Australia Development Cooperation Program II, ASEAN Secretariat 2nd Floor, Jl. Sisingamangaraja 70A, Jakarta 12110, Indonesia, indicating "*Global Recognition of Quality Assurance Systems for ASEAN Fruit and Vegetables (ASEAN GAP- Phase 2)*" as the subject no later than **2 May 2016, 5:00pm**, (Jakarta time). Please note that only short-listed candidates will be notified.

Any queries on the TOR should be sent to contact@aadcp2.org with the subject line: "*Global Recognition of Quality Assurance Systems for ASEAN Fruit and Vegetables (ASEAN GAP): Establishing Common Certification and Accreditation Mechanisms*".

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 Consultant 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.