



**ASEAN AUSTRALIA DEVELOPMENT COOPERATION PROGRAM (AADCP)
PHASE II**

**TERMS OF REFERENCE
FOR
DEVELOPMENT OF THE ASEAN PLAN OF ACTION IN SCIENCE, TECHNOLOGY
AND INNOVATION (APASTI) 2026-2035: PHASE I**

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

I. BACKGROUND

The ASEAN Plan of Action on Science, Technology and Innovation (APASTI) for the period 2016-2025 was adopted on 6 November 2015 at the 16th ASEAN Ministerial Meeting on Science and Technology. Now in its seven-year of implementation, it is considered timely for ASEAN Committee on Science, Technology and Innovation (COSTI) to take steps towards the preparation of the next APASTI 2026-2035, which will set the vision, goals, and strategic thrusts of the science, technology and innovation (STI) sector of ASEAN Member States (AMS) for the coming decade.

The ultimate aim of this project is to develop APASTI for the period 2026-2035. The project is divided in two phases. This project represents the 1st phase of the APASTI 2026-2035 development. It will review the implementation of APASTI 2016-2025 from 2016 through 2021 by: a) capturing progress, accomplishments and challenges in the implementation of the current APASTI; b) identifying drivers, success factors, barriers and lessons learned; c) analysing stakeholder roles, processes and structures involved in the implementation of the APASTI 2016-2025, including the ASEAN COSTI, Board of Adviser to COSTI (BAC), COSTI Sub-Committees (SCs) and other subsidiary bodies such as centres, networks, alliances, expert groups and Dialogue Partner engagements; d) providing implementation actions of APASTI 2016-2025 in 2023 through 2025 and recommendations for APASTI 2026-2035; and e) proposing an operational structure to ensure effective coordination and collaboration between all stakeholders involved, particularly for the public-private partnership.

In addition, the project will also:

a. Assess overall results of the ASEAN Science Technology and Innovation Fund (ASTIF) from 1989 until 2022. ASTIF was established for the purpose of providing seed financing for the various programmes, projects and activities under ASEAN science and technology cooperation, as identified and approved by COSTI. Management and utilization of the ASTIF is the responsibility of COSTI, through the assistance of BAC. As part of the effort to develop the next APASTI, this project will assess the utilisation and results of ASTIF, and identify lessons learned and potential future challenges that should be considered in future financing schemes for ASEAN STI.

b. Recommend ways to strengthen role and mandate of BAC. BAC advises COSTI in the development and implementation of the APASTI and the ASEAN Innovation Roadmap. It also advises on the management and utilization of the ASTIF, as well as the utilisation of other possible funding from dialogue partners, sectoral partners, developmental partners, industry/private sectors and international organisations. This project will capture BAC's contribution to the work of COSTI. It will analyse results and challenges, identify drivers, success factors, barriers, lessons learned and way forward to strengthen BAC's role,

mandate and future activities.

Activities within this project will include a) inception report preparation; b) data collection through desk review, interviews, Focus Group Discussion at the national and regional level; and c) a regional workshop to present a draft report and seek feedback. The project will produce a final report and infographics to highlight the result of the Implementation Review.

II. NEEDS AND OBJECTIVES

The project would contribute to strengthening of the integration and cooperation agenda of ASEAN's STI capabilities. This will include supporting all AMS to leverage the use of STI to share knowledge, research and development, technology transfers, as well as the application of STI to addressing ASEAN's economic and social needs. These may include:

- 1) Identification of technology and industry needs
- 2) Strategic technology research and development
- 3) Industry and ecosystems development
- 4) Technology transfer issues
- 5) Technology enterprise issues

It is expected that as a result of this project, COSTI is better able to determine the direction, strategy and framework for the development of ASEAN's STI sector in the future, specifically in the preparation of the APASTI 2026-2035.

III. OUTPUTS

The project will produce:

- (1) Output 1: Assessment of ASTIF Utilisation and Impact from 1989 until 2022, which will:
 - capture the utilisation, accomplishments, challenges, as well as influence of gender (biological, physical and behavioural), environment and socioeconomic status in the implementation of ASTIF since it was established in 1989; and
 - identify drivers, success factors, barriers, lessons learned and way forward for COSTI to better manage and utilise ASTIF.
- (2) Output 2: Assessment and Recommendation to Strengthen BAC Role and Mandate, which will:
 - captures the contribution, results and challenges faced by BAC in advising COSTI; and
 - identify drivers, success factors, barriers, lessons learned and way forward to strengthen BAC role and mandate.
- (3) Output 3: Implementation Review of APASTI 2016-2025 will be developed to highlight the result of the Implementation Review, which will:
 - capture progress (outcomes, outputs, activities, inputs), accomplishments and challenges, as well as analysis on gender equality and social inclusion in the implementation of the current APASTI;
 - identify drivers, success factors, barriers and lessons learned;
 - analyse stakeholder roles, processes and structures involved in the implementation of the APASTI 2016-2025, including COSTI, BAC, COSTI SCs, and other subsidiary bodies including centres, networks, alliances, expert groups and Dialogue Partner engagements;
 - include suggestions for improving the implementation of the APASTI 2016-2025 in

2023 through 2025. The recommendations should be sufficiently detailed (findings specified and quantified when possible) and include recommendations to guide a foresight exercise (which will be undertaken as part of Phase II);

- provide recommendations, including key strategic technology areas (e.g. SMART, digital, agriculture, enterprise), ASEAN technology interest in relation to global economy, role of enterprise and institutions, an analysis of risks, for the preparation of the next APASTI 2026-2035; and
- propose operational structure to ensure effective coordination and collaboration between all stakeholders involved, particularly for the public-private partnership. This may entail revision/ preparation of Terms of References for the various stakeholders and proposed engagement/ coordination structures and processes.

IV. Tasks/Activities

The following activities will need to be undertaken and completed to the satisfaction of the ASEAN Secretariat (ASEC) and AADCP II to achieve the outputs presented above. The bidder should provide details on its approach to each activity in its bid and is free to recommend additional activities.

	Deliverable	Activity	Person working days	Completion Date	Person(s) responsible
1	Inception Report	<ul style="list-style-type: none"> Setting expectations on the project with consultant; Conceptualisation of overall approach, detailed framework, and preparation of work plan, management plan and budget; and Preparation and submission of project inception report. 	15	1 weeks after signing of SSA (Week 1)	Consultant BAC ASEC
		<i>Approval of Inception Report by COSTI/ASEC (3 working weeks)</i>			
2	a. Draft and Final Reports on the Assessment of Results of ASTIF b. Draft and Final Reports on Assessment and Recommendation to Strengthen BAC Role and Mandate c. Draft Report on Implementation Review of APASTI 2016-2025	Data collection: desk review, interviews, FGD at national and/or regional level (as needed).	240	Week 13	Consultant APASTI Task Force BAC ASEC
		Preparation and submission of (1) Draft and final reports on the Assessment of Results of ASTIF from 1989 until 2022; and (2) A report on the Assessment and Recommendation to Strengthen BAC Role and Mandate	40	Week 6	Consultant BAC ASEC
		Preparation of draft report on the Implementation Review of APASTI 2016-2025.	20	Week 17	Consultant BAC ASEC
		<i>Approval of Final Reports on (a) the Assessment of Results of ASTIF and (b) Assessment and Recommendation to Strengthen BAC Role and Mandate by COSTI/ASEC (3 working weeks)</i>			

	Deliverable	Activity	Person working weeks	Completion Date	Person(s) responsible
3	a. Regional Workshop Report b. Final Report on Implementation Review of APASTI 2016-2025	Organisation of Regional Workshop to present draft Implementation Review of APASTI 2016-2025 and seek feedback.	15	Week 20	Consultant BAC ASEC
		Preparation and finalisation of Regional Workshop Report. The report should include summary of the presentations and discussions, as well as the participants' evaluation of the workshop.	5	Week 20	Consultant BAC ASEC
		Finalisation of Report on Implementation Review of APASTI 2016-2025, based on feedback from COSTI and ASEC.	10	Week 22	Consultant APASTI Task Force BAC ASEC
	<i>Approval of Regional Workshop Report and Final Report on Implementation Review of APASTI 2016-2025 by COSTI/ASEC (3 working weeks)</i>				
4	Project Completion Report	Preparation and finalisation of project completion report.	10	Week 24	Consultant ASEC
	<i>Approval of Project Completion Report by COSTI/ASEC (2 working weeks)</i>				

V. REPORTING

In accordance with Section III and IV above, the consultant is expected to submit the following report:

- Inception Report, which outlines overall approach to the project, activities to be undertaken and their sequencing, outputs and deliverables, staffing and management plan, and project budget;
- Regional Workshop Report; and
- Project Completion Report, which describes 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 projects under the Work Plan, as well as propose future activities.

The timing of delivery of these reports is indicative and can be adjusted when the consultant's work plan is developed, subject to mutual agreement.

All reports will be submitted based on AADCP II Guidelines for Contractors in draft format to the Science and Technology Division (S&TD) of ASEC (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 (bi-weekly, monthly or as agreed with the ASEAN Secretariat) summation of activities undertaken and issues that have arisen. These will be submitted to S&TD 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

This project will be managed by the S&TD Division of ASEC. The consultant should be responsible for organising and conducting the scheduled activities in collaboration with the host countries and the ASEAN Secretariat.

The project will be funded through AADCP II until the end of 2022. Beyond 2022, support for this project will be provided through AADCP II's successor program, the Australia for ASEAN Futures (Economic & Connectivity) program, upon approval.

VII. SCOPE OF SERVICES

The consultancy will be undertaken over a **continuous effective period of six calendar months** with at least **355 person days** of professional services. Work will commence immediately after contract signing.

The selected consultant may be further engaged to undertake the second phase of the project, which is the development of APASTI 2026-2035, which will be conducted in 2023.

VIII. QUALIFICATIONS

Entities, including firms and consortiums, are invited to bid for this project. In its proposal, the bidder should demonstrate:

- (i) Thorough understanding and extensive experience working in science, technology, and innovation globally and in Southeast Asian region;
- (ii) Evidence of undertaking high-level analytical work or evaluation research particularly on complex, multi-year, multi-country (regional) work plan/ program, preferably in science, technology and innovation related sector;
- (iii) Strong capacity in data collection and analysis, as well as report writing;
- (iv) Demonstrated ability to facilitate dialogue and establish relationship with a variety of stakeholders, particularly ASEAN mid to senior government officials;
- (v) Extensive experience in strategic planning and management of science, technology and innovation;
- (vi) Understanding of how gender and social dimensions influence the achievement of development outcomes, and mainstreaming gender and social inclusion into strategies and work plan;
- (vii) Ability to work under tight deadlines, managing multiple task requirements, high attention to detail and a high degree of proactivity and initiative; and
- (viii) A thorough understanding of ASEAN, ASEC and AADCP II procedures will be considered of added value

IX. 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 past experience in undertaking similar work and brief summaries of all projects undertaken.

The **Financial component** should specify:

- 1) Professional fees of expert(s);
- 2) Management and/or operational fees (if any), which include all costs incurred by the person/entity/company for internal coordination, communication, travels and any other associated project management cost;
- 3) Applicable taxes such as VAT, GST, PPN. See Section IX 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 Financial Component. These items will be discussed with the preferred contractor during the finalisation of the scope of services. Costs will be based on prevailing ASEC rates.

X. SUBMISSION OF APPLICATION

Applicants should send their application with a cover letter, materials specified in Section IX above and other supporting documents with **“Development of APASTI 2026-2035: Phase I”** as the subject via email to **tender@aadcp2.org**, no later than 2 September 2022 at 05:00pm Jakarta time (GMT +7).

For Frequently Asked Questions (FAQ), please visit <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 APASTI 2026-2035: Phase I’**.

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.