



ASEAN-AUSTRALIA DEVELOPMENT COOPERATION PROGRAM (AADCP) PHASE II

TERMS OF REFERENCE FOR

Work Planning Assistance for the Initiative for ASEAN Integration (IAI) 2021-2025

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

I. Background

The Initiative for ASEAN Integration (IAI) provides a policy framework to support the participation of ASEAN's newer member states (Cambodia, Lao PDR, Myanmar and Viet Nam or CLMV) in the ASEAN integration process. The IAI Work Plan III (2016-2020) focused on five strategic areas, namely food and agriculture, trade facilitation, MSMEs (micro, small and medium enterprises), education, and health and well-being. Actions within the strategic areas are aligned with the commitments in the related sectoral work plans.

The IAI Work Plan III is in its last year of implementation. As such, there is a need to start formulating a new IAI Work Plan (hereafter known as "Work Plan") with the target of submitting the Work Plan to the ASEAN Leaders for adoption in November 2020. This project will provide support to the development of the Work Plan.

In 2019, an Implementation Review of the IAI Work Plan III was undertaken. The Review suggested three improvements for the development of the new Work Plan¹, which suggested a) keeping strategic areas consistent, but refresh actions to ensure relevance to current and emerging priorities; b) ensuring project concept development support across all strategic areas from the commencement of the Work Plan; and c) including a broader set of enabling actions to recognise relevant projects that may not directly support Work Plan actions. The new Work Plan will take into consideration these recommendations, and the strengths and weaknesses identified in the drafting and implementation of the current and past Work Plans. This project will also include activities to ensure that CLMV countries receive reasonable support in developing project proposals, particularly in the first year of implementation.

This project has two main components:

Component 1: Development of the New IAI Work Plan

The development of the new Work Plan will embody the following principles:

- Consistency and relevance: Actions should be consistent with the latest developments and progress in each of the current Strategic Area, with the needs and priorities of ASEAN Sectoral Work Plans as well as emerging priorities, such as the 4th Industrial Revolution, Technical and Vocational Education and Training (TVET), Sustainable Development Goals (SDGs), and

¹ Review of IAI Work Plan III and the Monitoring Reporting, and Evaluation (MRE) system, final version, October 2019.

gender and social inclusion mainstreaming.

- Focused on strategic regional needs: In line with the above principle, actions will be defined based on a clear definition of intended outcomes, rather than prescribed as specific set of activities. This will allow ASEAN Member States (AMS) and relevant ASEAN Sectoral Bodies/Working Groups to adjust activities to reflect latest developments and changes in context, and ensure that projects prioritise the activities that are most appropriate to achieve the Work Plan's objectives.
- Stakeholder engagement: The new Work Plan, as well as other outputs of this project, will be developed through active stakeholder engagement to strengthen ownership and promote support amongst the various ASEAN stakeholders, including CLMV national coordinators, focal points and line agencies. Senior Government Officials of CLMV will be engaged to give them a key role in drafting the new Work Plan so that it reflects their respective national strategic plans and priorities, and encouraged to lead and monitor the implementation.
- Empowering Focal Points: Focal points will play a vital role in engaging line agencies in CLMV countries in the implementation of Work Plan, and coordinating with the ASEAN Secretariat (ASEC) (through national coordinators). Bringing the focal points on board throughout the Work Plan process will help increase their sense of ownership, improve understanding of their roles and responsibilities and strengthening coordination within and across CLMV countries.
- Engagement with project proponents. The Implementation Review found that there has been genuine enthusiasm from ASEAN Partners in supporting the IAI Work Plan III. The challenge is to maintain this excitement into project commitments in the new Work Plan. ASEAN Partners and ASEAN-6 will want to understand the specific project needs to implement each action, and the monitoring and evaluation framework in ensuring appropriate focus on end outcomes. Early engagement with donors to secure project commitments will enable the IAI Task Force and ASEC to focus on implementation and output monitoring during the implementation phase.
- Involvement of Private Sector. Lack of private sector participation has been identified as one of the shortcomings in IAI Work Plan III implementation. To the furthest possible extent, the development of the new Work Plan, along with preparation for its implementation, will involve the private sector and consider ways to promote sustainable private sector involvement in the Work Plan implementation.

Once finalised, the new Work Plan will be introduced to the CLMV national coordinators, focal points and line agencies, as critical players in ensuring coordination driving project implementation and, as well as monitoring and evaluation process.

Component 2: Development of the IAI Implementation Plan and Project Proposals

Following completion of the new Work Plan, the project will support development of an Implementation Plan to map out projects against ASEAN's and donors/Dialogue Partners' interests. Recognising CLMV countries' need for support in project development, this project will also include support for drafting up to ten project proposals addressing all the strategic areas, with at least one project proposal per strategic area. This will give opportunity for engaging key stakeholders at both national and regional level in project development, thus promoting their understanding and ownership of the project. These stakeholders include national coordinators, focal points, relevant line ministries, relevant working group(s)/sectoral body(s), project proponents, ASEAN Partners, external parties, and private sector (if applicable). Some project proposals may derive from the in-depth context assessment and problem analysis, while others will be developed separately, including from recommendations of assessments conducted to address selected actions in the Work Plan III.

Note that in parallel to the activities undertaken under Component 2, separate in-depth context

assessment and problem analysis will be undertaken for up to five prioritised actions. These are undertaken to ensure that project proposals under those five prioritised actions are backed with evidence, up-to-date information on context, and a detailed understanding of the common issue(s)/problem(s) across CLMV countries (or minimum two countries).

While these context assessment and problem analysis may be undertaken in parallel to the development of the new Work Plan, they are separate activities and **are not included within the scope of this project/ assignment**. These assessments will be tendered separately in the future. The Work Plan should be delivered on schedule even if complementary analytical work is still ongoing. Timelines for both components under this project are as below:

Component 1: Development of the New IAI Work Plan

Process	Timeline
Commence drafting of the new IAI work plan	1Q-2Q 2020
Consult AMS and stakeholders	1 st Half of 2020
Organize regional workshop and stakeholders' forum	2Q 2020
Submit final text to the IAI Task Force	2Q 2020

The text will be negotiated by AMS in 3Q 2020. The agreed text will be submitted to the ASEAN Coordinating Council in October 2020 for endorsement and subsequently to the ASEAN Leaders in November 2020 for adoption.

Component 2: Development of the IAI Implementation Plan and Project Proposals

Process	Timeline
Prepare and finalise implementation plan	3Q 2020 – 2Q 2021
Under arrangements to be tendered separately, in-depth context assessments and problem analysis will be conducted during this period and may inform the development of project proposals.	3Q – 4Q 2020
Prepare project proposals including consultation with potential donors, project proponents and international/regional experts	1Q – 2Q 2021
Finalise project proposals for each strategic area	May/June 2021

II. Needs and Objectives

The project will contribute to regional growth and stability through stronger participation of CLMV countries in ASEAN integration. With the availability of the new Work Plan, it is envisioned that the IAI Task Force, in close coordination with Senior Government Officials of CLMV, will be able to guide the implementation and monitoring of the actions specified in the new IAI Work Plan.

III. Outputs

Component 1:

- i) **A draft IAI Work Plan (2021-2025) - an initial draft** after the presentation of the outcomes of the national consultations and the conduct of regional workshop 1; **and a revised draft** after consolidating results of the regional workshop 2 and stakeholders' forum. The draft Work Plan should at least contain these following sections:
- Executive Summary
 - Introduction
 - Strategic Framework
 - Context and Approach
 - Strategic Goals and Priority Areas
 - Implementation Mechanism
 - Monitoring and Evaluation Framework
- The new Work Plan will also consider relevant M&E and reporting requirements in the ASEC systems, if any. The structure, terminologies and M&E arrangements of the Work Plan will be designed to promote synergy and ease of reporting.

Component 2:

- i) **Implementation plan for each of the five strategic areas** that provides a mapping of projects for each action (not including enabling actions) to potential donors and project proponents, which will serve as reference for engagement with key individuals in moving forward the project concepts.
- ii) **Project proposals** developed in the ASEAN project proposal template, excluding budget information, for up to ten project proposals addressing all the strategic areas, with at least a project proposal per strategic area. Some project proposals may derive from or be informed by the in-depth context assessment and problem analysis, undertaken separately by relevant sectoral experts.

IV. Tasks/Activities

The following activities will need to be undertaken 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. The following activities will be undertaken to achieve the outputs presented above.

Deliverable		Activity	Person working days	Completion Date (Indicative)	Person(s) responsible
COMPONENT 1					
1	Project Inception Report	Conceptualisation of overall approach, detailed framework, and preparation of work plan, management plan and budget.	10	2 weeks after signing of the Special Services Agreement (SSA)	Consultant IAI & NDG Division
		Preparation and submission of project inception report.			
	Approval of Project Inception Report by ASEC (3 weeks)				
2	Initial draft Work Plan	Context analysis: review of the relevant ASEAN strategic plan documents and assessment reports, report of implementation review of IAI Work Plan III, and national development plans (desk review and data collection and analysis).	80	Week 8	Consultant
		Consultation with ASEAN stakeholders: in-country visits to CLMV countries to conduct individual interviews with government officials, international organisations, business associations, and project consultants. This process may be supplemented with survey questionnaires tailored for each stakeholder group.	60	Week 16	Consultant
		National consultations in CLMV countries to identify and agree on key actions, including remaining priorities from the implementation of IAI Work Plan III, for further discussion at the regional level.	90	Week 20	Consultant IAI & NDG Division

Deliverable		Activity	Person working days	Completion Date (Indicative)	Person(s) responsible
		Regional workshop 1 to present outcomes of national consultations, to agree on regional objectives, strategic areas and key actions, as well as to discuss implementation mechanism and timeline.	25	Week 24	Consultant IAI & NDG Division
		Submission of draft work plan, covering at the minimum proposed strategic framework – context and approach, strategic goals, proposed priority areas, proposed key actions, and implementation mechanism.	30	Week 28	Consultant
	Approval of Initial draft Work Plan by ASEC (3 weeks)				
3	Revised draft Work Plan	Regional workshop 2 to obtain feedback from AMS on the initial draft work plan and to agree on the key actions for each priority areas, implementation mechanism and M&E framework.	50	Week 32	Consultant IAI & NDG Division
		Regional Stakeholders’ Forum to seek inputs from ASEAN Partners and other stakeholders on the draft work plan.	15	Week 32	Consultant IAI & NDG Division
		Revised draft work plan consolidating results of the regional workshop and stakeholders’ forum. The draft should be in the agreed format and contain the complete sections i.e. full draft.	20	Week 36	Consultant
		Finalised work plan consolidating revisions during negotiation of text among AMS.	10	Week 40	Consultant
	Approval of Revised draft work plan by ASEC (3 weeks)				
COMPONENT 2					
4	Implementation Plan for Each Strategic Area	Developing a format for the implementation plans	5	Week 32	Consultant IAI & NDG Division

Deliverable		Activity	Person working days	Completion Date (Indicative)	Person(s) responsible
		Consultation with ASEAN sector desk officers	15	Week 40	Consultant IAI & NDG Division
		Identification of and consultation with potential donors and project proponents	10	Week 48	Consultant IAI & NDG Division
		Draft Implementation Plan for each of the five strategic areas	25	Week 48	Consultant
		Finalisation of Implementation Plans	5	Week 68	Consultant
		<i>Approval of Implementation Plan for Each Strategic Area by ASEC (3 weeks)</i>			
5	Ten (10) Project Proposals	National consultations with relevant ministries, national coordinators, focal points, private sector and experts in CLMV countries to validate, further refine and agree on core problems	60	Week 56	Consultant IAI & NDG Division
		Review of the in-depth context assessment (when available) and problem analysis report. This may include close coordination with relevant sectoral experts/participation in the finalisation of the in-depth context assessment and problem analysis reports.	10	Week 56	Consultant IAI & NDG Division
		Regional workshop 3 with CLMV national coordinators and focal points to reconfirm common issue/problem across the four CLMV countries (or minimum two countries) and agree on the project concepts	30	Week 60	Consultant IAI & NDG Division
		Regional stakeholders' forum to introduce the new work plan and its implementation	10	Week 60	Consultant IAI & NDG Division
		Formulation and finalisation of comprehensive project proposals in the ASEAN project proposal template and based on discussions and agreements made at the regional workshop.	30	Week 72	Consultant
		<i>Approval of Project Proposals, Regional Workshop 3 and Stakeholders' Forum Report by ASEC (3 weeks)</i>			

	Deliverable	Activity	Person working days	Completion Date (Indicative)	Person(s) responsible	
6	Project Completion Report	Preparation and finalisation of project completion report.	5	Week 72	Consultant	
	<i>Approval of Project Completion Report by ASEC (3 weeks)</i>					
	<i>** The number of person working weeks is intended to indicate the amount of relative effort required to deliver the corresponding outputs. The calculation is based on assumption of 5 person days per week. Actual time will be agreed in negotiation with the successful bidder.</i>					

V. Reporting

In addition to the Outputs mentioned above, the consultant is expected to produce reports in accordance with Section III and IV above. 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 (Indicative)
1	Project Inception Report describes the overall approach, detailed conceptual framework and preparation of work plan drawn from initial literature review and research activities	2 weeks following signing of the Special Services Agreement (SSA)
2	Regional Workshops and Stakeholders' Forum Reports should summarize the proceedings and provide some analysis of the result of the workshops/ forums. These would include the summary of the presentations, results of discussions and agreements reached, lessons learned and recommendations for moving forward if any, and the participants' evaluation of the workshops/forums.	2 weeks following completion of workshop/forum
3	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.	2 weeks after ASEAN approval of the last/final project output(s)

All reports will be submitted based on ASEAN-Australia Development Cooperation Program Phase II (AADCP II) Guidelines for Contractors in draft format to the ASEAN Secretariat, IAI & NDG Division (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 IAI & NDG Division and AADCP II via email.

Financial reports will be submitted at invoicing in line with a payment schedule to be specified in the SSA.

VI. Project Management

The project will be funded by AADCP II and managed by the IAI & NDG Division of the ASEAN Secretariat. The consultant should be responsible for organising and conducting the scheduled activities in collaboration with the host countries and the ASEAN Secretariat.

VII. Scope of Services

The consultancy will be undertaken over a **continuous effective period of 18 calendar months** with approximately **119 person weeks** of professional services. Work will commence immediately after contract signing.

VIII. Qualifications

In its proposal, the bidder should demonstrate:

- Extensive experience and expertise in strategic planning and drafting strategic plans for large-scale multi-year development programs preferably for a regional (inter-governmental) organisations;
- Facilitating high-level strategic planning discussions/workshops amongst various stakeholders with varying levels of involvement representing different political interests;
- Understanding of gender and social inclusion mainstreaming into economic and socio-cultural projects;
- Expertise in developing monitoring and evaluation (M&E) frameworks and systems, particularly identifying indicators and means of verification (MOV);
- Extensive knowledge and experience in project development and implementation;
- Expertise in the analysis, design, and implementation of strengthening/capacity building programmes in CLMV countries;
- In-depth understanding of ASEAN and CLMV issues, particularly in food and agriculture, trade facilitation, MSMEs, education as well as health and well-being;
- Having existing local networks or industry connections in relevant sectors in CLMV countries is beneficial; and
- Experience working with ASEC and AADCP II on projects with similar scope and characteristics will be considered 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**. These two components must be submitted in two separate files/documents.

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; and
- 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; and
- 3) Applicable taxes such as VAT, GST, 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 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 "**Work Planning Assistance for the Initiative for ASEAN Integration (IAI) 2021-2025**" as the subject via email to tender@aadcp2.org, no later than **17 February 2020 at 05:00pm Jakarta time**.

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 Work Planning Assistance for the Initiative for ASEAN Integration (IAI) 2021-2025**".

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.