



Aus4ASEAN
FUTURES

**TERMS OF REFERENCE
FOR
Regional Workshop on ASEAN Integration:
Enhancing the IAI Work Plan IV (2021-2025) Implementation**

The ASEAN Secretariat and the Australian Government, through Australia for ASEAN Futures Initiative, invite proposals for the above-referenced project.

I. Background

Project Context

The Initiative for ASEAN Integration (IAI), launched in 2000, helps ASEAN's newer Member States implement ASEAN commitments and agreements. Through special assistance to Cambodia, Lao PDR, Myanmar and Viet Nam (CLMV countries), it aims to further regional integration in order to narrow the development gap within ASEAN.

The IAI has four (4) work plans thus far. The IAI Work Plan I (2002-2008) comprised projects in four areas: infrastructure, human resource development, information and communications technology (ICT), and regional economic integration. The IAI Work Plan I was fully implemented through 232 projects with a total value of approximately USD 52.9 million. The IAI Work Plan II (2009-2015) had 383 projects with a value of USD 49.8 million, addressing 79 of the 182 actions (or 43.4%). The IAI Work Plan III (2016-2020) contained 26 actions and 45 outputs across five strategic areas, and six enabling actions. These strategic areas were (i) food and agriculture; (ii) trade facilitation; (iii) micro, small and medium enterprises (MSMEs); (iv) education; and (v) health and well-being. As of the end of the implementation period, a total of 133 projects with a value of USD 42.87 million were implemented.

The IAI Work Plan IV (2021-2025) is now in its third year of implementation. As of May 2023, 13 out of 24 (54.2%) actions in the five strategic areas and all four enabling actions have been addressed through 74 projects amounting to USD12.91million

The IAI has significantly advanced economic and development progress in CLMV countries in the past twenty years and plays an important role in strengthening cooperation to reduce the development gap between ASEAN Member States (AMS). Despite notable progress in implementing capacity building and technical assistance under the IAI Work Plans, it was observed that the gaps still exist, and further improvements are still needed. The Review of the IAI Work Plan III and the Monitoring, Reporting and Evaluation (MRE) System conducted in 2019 highlighted four areas of challenges hindering the implementation of the Work Plan, namely:

- **coordination** (lack of coordination between national coordinators, focal points, and line agencies across all CLMV countries, as well as inconsistent understanding of responsibilities among them);
- **ownership** (some of the IAI focal points have multiple responsibilities outside IAI, leading to the lack of time dedicated to IAI implementation);
- **project development** (considerable capacity gaps with focal points not being sufficiently equipped to develop high-quality proposals, e.g. inability to coordinate across line agencies to

identify core issues and collect data for the proposal, lack of capacity to conduct comprehensive needs assessments); and

- **project implementation** (personnel changes across different phases of project implementation, 'mismatch' between the participants' area of work and/or expectations and the training/workshop objectives, lack of private sector involvement in projects, and a lack of continued commitment after the initial project implementation).

In addition, with the emerging challenges and priorities brought about by global and regional developments and trends, such as 4IR, the adverse impact of the COVID-19 pandemic, and rising impact of climate change and environmental degradation, the focus of IAI and its future trajectories needs to be reinvigorated. Its projects and initiatives must be able to respond to these emerging challenges and prepare the CLMV officials and people to be able to withstand the future crises and challenges.

As such, it is critical for ASEAN to strengthen efforts in the identification of relevant projects, development of project proposal, implementation, monitoring and evaluation of projects, effective engagement with coordinators and relevant focal points in CLMV countries, as well as enhancing cooperation with ASEAN Partners, among many others.

To address these challenges, the Ministry of Foreign Affairs and International Cooperation of Cambodia (Cambodia MFA-IC) proposes to organize a regional workshop on ASEAN Integration: Enhancing the IAI Implementation in 4th quarter of 2023 in Siem Reap, Cambodia.

The objectives of the regional workshop are:

- To share information on the implementation progress of the IAI Work Plan IV (2021-2025) including gaps, challenges and lesson learnt;
- To provide a platform for discussion between CLMV on how to translate IAI priorities into national policies/programmes;
- To strengthen linkages between the CLMV National Coordinators and CLMV Focal Points, improve communication and coordination, and identify common challenges to be addressed collectively; and
- To discuss and develop concept notes to address the unimplemented actions under IAI Work Plan IV (2021-2025).

Relationship to Other Activities

This project will review and synthesise findings and recommendations of the **Implementation Review of IAI Work Plan III**, which identified issues and challenges affecting effective and efficient delivery of outputs and their contribution to desired outcomes; recommended actions to (1) strengthen implementation arrangements for monitoring, evaluation, and reporting system, (2) strengthen national and stakeholders' ownership; and (3) improve the efficiency, effectiveness, relevance and impact of implementation of the current IAI Work Plan. Also, it will utilise specific outcomes from the project "**Final Assessment Metrics of IAI Work Plan III**" related to stakeholder coordination including IAI National Coordinators and Focal Points.

The project supports the **ASEAN Community Blueprint 2025**, No. 74 which states that IAI has been a key initiative to address narrowing the development gap (NDG) by providing support to CLMV countries to augment their capacity to implement regional agreements and accelerate the regional integration process as a whole.

It also supports the **IAI Work Plan IV (2021-2025)**, 2.8 Enabling Actions II. Capacity building for government officials to share best practices in administration, public policy, governance, and regulatory development.

II. Needs and Objectives

This project aims to facilitate effective and efficient implementation of IAI Work Plan IV (2021-2025) in order to assist the CLMV countries to meet ASEAN-wide targets and commitments towards realising the goals of the ASEAN Community to ensure that benefits of ASEAN integration are equitably shared.

The project will enable CLMV government officials, including the IAI focal points and national coordinators to have better understanding of the implementation of the IAI Work Plan IV (2021-2025) and improve the performance of the current IAI Work Plan.

The project also intends to address issues and challenges affecting implementation of the current IAI Work Plan, including to strengthen national and stakeholders' ownership, improve coordination and communication among CLMV countries, related sectoral bodies and stakeholders, promote development of project concepts and proposals to address unimplemented actions in the IAI Work Plan IV (2021-2025).

III. Outputs and Deliverables

The project will produce two outputs:

Output 1: The Regional Workshop Report highlights progress and challenges in the implementation of the IAI Work Plan IV (2021-2025), identifies practical recommendations (including how gender equality, disabilities, environmental and social inclusion (GEDESI) issues are considered and incorporated in the implementation of the IAI Work Plan) and action plan to address challenges, and improve efficiency and effectiveness of the work plan implementation.

Output 2: At least ten (10) project proposals developed in sufficient details (ensuring considerations of GEDESI are mainstreamed) which were builds upon the two draft concept notes developed for each strategic area, and input obtained during the Regional Workshop.

In addition to delivering the above outputs, the contractor will be required to render the following:

- i. **Inception Report** outlining, at the project's onset, the approach and framework for the organisation of the Regional Workshop, development of concept notes and project proposals covering five strategic areas of the IAI Work Plan IV (2021-2025), consultation mechanisms and detailed work plan.
- ii. **Guiding Questions for Panel Discussions, Pre-read for Participants, and Discussion Guide for Concept Note Development by Thematic Areas.**
- iii. **Project Completion Report** highlighting completed activities, captures learning from the project, and provides suggestions for follow-on projects.

All reports will be submitted based on Australia for ASEAN Futures (Aus4ASEAN Futures) Guidelines for Contractors in draft format to the ASEAN Secretariat (i.e., IAI and NDG Division) with a copy to Aus4ASEAN Futures and then in a final form following ASEAN Secretariat approval. All deliverables, including reports, must be suitable for publication, although the decision on publication lies with the ASEAN.

IV. Deliverables and Activities

The following activities shall be undertaken to achieve the above outputs and deliverables. The bidder should provide details on its approach to each activity in its bid and is free to recommend additional activities.

No	Deliverable	Activity	Person working days*	Completion Date	Person(s) responsible
1	Inception Report	- Setting expectations on the project with consultant - Conceptualisation of overall approach, detailed framework, and work plan - Preparation of draft agenda and programme of activities of the Regional Workshop - Preparation and submission of an inception report	5	Week 2 (Two (2) weeks after the SSA is signed)	Contractor – with inputs from Cambodia MFA-IC, and ASEAN Secretariat
Approval of the Inception Report by IAI Task Force / ASEAN Secretariat (two (2) working weeks)					
2	Guiding Questions for Panel Discussions, Pre-read for Participants, Discussion Guide for Concept Note Development by Thematic Areas	Desk Review of IAI Work Plan IV (2021-2025), IAI Work Plan III and the Monitoring Reporting, and Evaluation (MRE) system Report and other related document <i>Discussions with CLMV Coordinators, Focal Points, ASEAN Secretariat Desk Officers on (1) progress, challenges, successes, opportunities in the implementation of the IAI Work Plans (III and IV); (2) priority and feasibility of unimplemented actions under each thematic area in the IAI Work Plan IV (2021-2025)</i> <i>Finalisation of Regional Workshop Agenda and Programme of Activities.</i> <i>Preparation and finalisation of guiding questions for panel discussions and pre-read for participants</i>	27	Week 5 Week 8 Week 9 Week 10	Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat

TERMS OF REFERENCES

Regional Workshop on ASEAN Integration: Enhancing the IAI Work Plan IV (2021-2025) Implementation

No	Deliverable	Activity	Person working weeks*	Completion Date	Person(s) responsible
		Preparation and finalisation of two draft concept notes for each strategic area and the discussion guide for the concept notes		Week 11	Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat
Approval of Guiding Questions for Panel Discussions, Pre-read for Participants, Two Draft Concept Notes for Each Strategic Area and Discussion Guide for the Concept Notes by IAI Task Force / ASEAN Secretariat (three (3) working weeks)					
3	[At Least Ten (10)] Project Proposals, and Final Report of the Regional Workshop, including Recommendations	Organisation and facilitation of the Regional Workshop	13	Week 15	Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat
		Finalisation of ten (10) project proposals transferred from the concept notes developed during the Regional Workshop		Week 20	Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat
		Preparation and finalisation of Regional Workshop Report, including recommendations		Week 22	Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat
Approval of the project proposals, and Final Report of the Regional Workshop, including Recommendations by IAI Task Force / ASEAN Secretariat (three (3) working weeks)					
4	Project Completion Report	Development, and submission of the Project Completion Report, which records the project achievements against the project's original intended purpose, work plans, outputs, and activities. It should assist in assessing impact, drawing conclusions and lessons learned that may be valuable in designing follow-on projects.	5	Week 24	Contractor – with inputs from and facilitation by Cambodia MFA-IC, and ASEAN Secretariat
Approval of the Project Completion Report by IAI Task Force / ASEAN Secretariat (two (2) working weeks)					

* The number of person-working days is intended to indicate the amount of relative effort required to deliver the corresponding deliverables. The actual time will be agreed upon in negotiation with the successful bidder.

V. Project Management

The project will be funded through the Aus4ASEAN Futures – Economic and Connectivity (ECON) program and managed by Cambodia MFA-IC, and IAI&NDG Division of the ASEAN Secretariat. The contractor should be responsible for achieving the outputs and deliverables, including preparing and organising the scheduled activities, in close consultation and collaboration with the host countries and the ASEAN Secretariat.

All reporting will be prepared and submitted based on Australia for ASEAN Futures (Aus4ASEAN Futures) Guidelines for Contractors as mentioned in **Section III (Output)** above.

VI. Scope of Services

The consultancy will be undertaken over a **continuous effective period of six (6) calendar months** or approximately **85 person working weeks** of professional services. Work will commence immediately after contract signing.

VII. Qualifications

This project seeks a firm/organisation or a joint venture/consortium/ association (JCVA) with combined proven expertise in high-level strategic planning, project development and monitoring and evaluation. Interested firms/JCVAs should demonstrate the following in the submitted technical component:

- i. Extensive experience and expertise in strategic planning, development of multi-year development programmes, preferably for a regional (inter-governmental) organisations;
- ii. Extensive knowledge and experience in project development and implementation, development of monitoring and evaluation (M&E) frameworks and systems, particularly identifying indicators and means of verification (MOV);
- iii. In-depth understanding of ASEAN and CLMV issues, particularly in food and agriculture, trade facilitation, MSMEs, education as well as health and well-being;
- iv. Good understanding of GEDESI mainstreaming into economic and socio-cultural projects;
- v. Proven experience in multilateral, cross-sectoral stakeholder engagement and communications, including demonstrated facilitation skills for high-level strategic planning discussions/workshops amongst various stakeholders with varying levels of involvement representing different political interests; and
- vi. A thorough understanding of and experience working on ASEAN and/or Aus4ASEAN Futures procedures will be considered an added value.

VIII. Bidding

Interested firms/JVCA 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 short analysis of critical issues.
- A methodological discussion of how the bidder proposes to address those needs, including assessment of critical 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.
- Curricula vitae of all proposed experts.
- A brief discussion on the expertise and experience of the firm/JVCA members in undertaking similar work and concise summaries of all projects undertaken.
- Examples of previous work as Annexes to the proposal.
- Completed Bidder Registration Form – see **Annex A** of this document.
- Joint Venture/Consortium/Association Information (only if the proposal is submitted as such) – see **Annex B** of this document.
- Bidder Declaration – see **Annex C** of this document.

The technical proposal shall not include any price or financial information. A technical proposal containing material with financial information may be declared non-responsive.

The Financial component should specifically include the following:

- Professional fees of experts.
- Management and/or operational fees (if any), which include all costs incurred by the person/entity/company for internal coordination, communication, travel, and any other associated project management cost.
- Applicable taxes such as value-added tax (VAT), good and services tax (GST), Pajak Pertambahan Nilai (PPN), and income tax. The total amount quoted in the financial component must include all applicable tax. Additional amounts not specified in the financial component will not be included in the contract. See Section X point 5 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.

The proposal should be valid for at least one hundred eighty (180) days starting from the closing date of this tender.

IX. Submission of Bid

Bidders should send their proposal with a cover letter, materials specified in Section VIII above and other supporting documents with **"Regional Workshop on ASEAN Integration: Enhancing the IAI Work Plan IV (2021-2025) Implementation"** as the subject via email to tender@aus4aseanfutures.org, **no later than 4 August 2023 at 23:59 Jakarta time (GMT+7)**. Large documents (>5MB) can be submitted in parts through several emails. Late submissions will be disqualified.

For Frequently Asked Questions (FAQ), please visit <https://www.aus4aseanfutures.org/tender-frequently-asked-question/>.

Any queries on the TOR should be sent to query@aus4aseanfutures.org **before 24 July 2023 at 23:59 Jakarta time (GMT+7)**. Please use the subject line: **"Query: Regional Workshop on ASEAN Integration: Enhancing the IAI Work Plan IV (2021-2025) Implementation"**. All response to received queries will be published at <https://www.aus4aseanfutures.org/tender-iaiworkshop2023/> on 26 July 2023. There will be no individual responses/replies provided for queries.

X. 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) The successful bidder shall agree to be bound and sign the SSA with all requirements under the terms and conditions provided therein, including but not limited to Australia for ASEAN Futures Guidelines for the Contractors attached to the SSA.
- 3) SSA can only be signed by the registered bidder. It is not possible for other entities or subsidiaries of the registered bidder to sign the SSA on behalf of the registered bidder.
- 4) The bidder shall not initiate or engage in any work under this project before the SSA is duly signed.
- 5) 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. This means that ASEAN Secretariat has no tax identification, is tax-exempt (including withholding tax) and is a non-tax withholding entity. ASEAN Secretariat will provide proof of tax-exemption status to the contractor, as needed.

Annex A: Proposer Information

Proposer's legal name	
In the case of a Joint Venture, Consortium, or Association - Legal name of each party	
Proposer's type of organisation	<i>(For example, sole trader / public limited company/ private company)</i>
Proposer's Country of Registration, Constitution, or Incorporation	
Proposer's Year of Registration, Constitution, or Incorporation	
Proposer's legal address in the Country of Registration, Constitution, or Incorporation	
Registration no./Deed of organisation: (if applicable)	
Proposer's authorised representative information:	Name: Address: Telephone: Email Address:

Please attach:

- Articles of Incorporation or Registration of the designated firm and information on its capital structure (Trade Register).
- In the case of a Joint Venture (JV), the letter of intent to form a legally enforceable JV, including a draft agreement or JV agreement (see Form B).
- Organisation chart of the company and list of current staff.

Annex B: Joint Venture/ Consortium/ Association (JVCA) Information (if applicable)

Name of Proposer:	Click or tap here to enter text.	Date:	Click or tap to enter a date.
-------------------	----------------------------------	-------	-------------------------------

To be completed and returned with your proposal if the proposal is submitted as a Joint Venture/ Consortium/ Association.

No	Name of Partner and contact information (address, telephone numbers, fax numbers, email address)	Proposed proportion of responsibilities (in %) and type of services to be performed
1	Click or tap here to enter text.	Click or tap here to enter text.
2	Click or tap here to enter text.	Click or tap here to enter text.
3	Click or tap here to enter text.	Click or tap here to enter text.

Name of leading partner (With authority to bind the JVCA during the RFP process and, in the event a Contract is awarded, during contract execution)	Click or tap here to enter text.
---	----------------------------------

We have attached a copy of the below-referenced document signed by every partner, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture:

☐ Letter of intent to form a JVCA **OR** ☐ JVCA agreement

We hereby confirm that if the contract is awarded, all parties of the JVCA shall be jointly and severally liable to _____ for the fulfilment of the provisions of the contract.

Name of partner: _____ Name of partner: _____

Signature _____ Signature _____

Date: _____ Date: _____

Name of partner: _____ Name of partner: _____

Signature _____ Signature _____

Date: _____ Date: _____

Annex C: Proposer Declaration

On behalf of our firm, its affiliates, subsidiaries, and employees, including any JV / Consortium / Association members, subcontractors, or suppliers for any part of the contract.

Yes	No	
☐	☐	Requirements and Terms and Conditions: I/We have read and fully understand the RFP, including the RFP Information and Terms of Reference. I/We confirm that the proposer has the necessary capacity, capability and necessary licenses to fully meet or exceed the requirements and will be available to deliver throughout the relevant contract period.
☐	☐	Ethics: In submitting this proposal, I/we warrant that the proposer: has not entered into any improper, illegal, collusive or anti-competitive arrangements with any competitor; has not directly or indirectly approached any representative of ASEAN Entities, ASEAN Secretariat, Aus4ASEAN Futures (other than the point of contact) to lobby or solicit information in relation to the RFP; has not attempted to influence, or provide any form of personal inducement, reward or benefit to any representative of the buyer.
☐	☐	I/We confirm to not engage in proscribed practices, or any other unethical practice, with ASEAN Secretariat or any other party and to conduct business in a manner that averts any financial, operational, reputational, or other undue risks to the ASEAN Secretariat and the Australian Government.
☐	☐	Child Protection and Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH): I/We confirm that we have read DFAT policies on child protection http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx and Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH) https://www.dfat.gov.au/international-relations/themes/preventing-sexual-exploitation-abuse-and-harassment/Pages/default and will comply with them.
☐	☐	Conflict of Interest: I/We warrant that the proposer has no actual, potential or perceived conflict of Interest in submitting this proposal or entering into a contract to deliver the requirements. Where a conflict of Interest arises during the RFP process, the proposer will report it immediately to the Procuring Organisation's Point of Contact.
☐	☐	Collusive Tendering: I/We declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium/Association members or subcontractors or suppliers for any part of the contract, have no knowledge of the technical or financial tender of any other tenderer when they submit their tender. We also declare that we have not and will not disclose any of the details of our tender submission to any other person or organisation prior to the closing date for the RFP.
☐	☐	Prohibitions, Sanctions: I/We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium/Association members or subcontractors or suppliers for any part of the contract, is not on any list of sanctioned parties issued by any Australian Government institution, World Bank, ASEAN Development Bank, UN agencies, European Union and others, and not blacklisted by any local/ international organisation, Government/ semi-government department, NGO or any other company/ organisation.
☐	☐	I/We do not employ, or anticipate employing, any person(s) who is, or has been convicted for an offence concerning professional conduct or guilty of grave professional misconduct (proven by any means which the contracting authorities can justify), or have been convicted of an offence of, or relating to bribery of a public official, nor are they subject to any proceedings which could lead to such a conviction.

Yes	No	
☐	☐	Bankruptcy: I/We have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against us that could impair our operations in the foreseeable future.
☐	☐	Proposal Validity Period: I/We confirm that this proposal, including the price, remains open for acceptance for the proposal validity period.
☐	☐	I/We understand and recognise that you are not bound to accept any proposal you receive.
☐	☐	By signing this declaration, the signatory below represents, warrants and agrees that he/she has been authorised by the Organisation/s to make this declaration on its/their behalf.

Name: _____

Title: _____

Date: _____

Signature: _____

[Signature with the official stamp of the proposer]