



**Aus4ASEAN**  
FUTURES

## **REVISED TERMS OF REFERENCE**

### **Development of the ASEAN Plan of Action on Science, Technology and Innovation (APASTI) 2026-2035: Phase II**

#### **Tender Submission Deadline Extended**

to 9 September 2024, 12:00 PM Jakarta Time

This Terms of Reference (TOR) is issued for the purpose of retendering. This is due to an expansion of the scope of work from the original TOR.

The ASEAN Secretariat and the Australian Government, through the Australia for ASEAN Futures Initiative, invite applications from firms, organisations, or joint venture/consortium/association (JCVA) for the above-referenced project. All proposals will be assessed based on their technical quality and value for money.

#### **I. Background**

Science, technology, and innovation (STI) play a pivotal role in propelling economic growth and development - an integral aspect ingrained in the history of the Association of Southeast Asian Nations (ASEAN). Since its inception, ASEAN has consistently recognized the importance of STI, culminating in the adoption of the first regional Action Plan on Science and Technology (APAST) in 1985.

As the current ASEAN Plan of Action on Science, Technology, and Innovation (APASTI) 2016–2025 nears its conclusion, a timely initiative is underway to formulate the next plan, covering the period of 2026–2035 (APASTI 2026–2035). This effort will culminate in the launch of APASTI 2026–2035 in June 2025 during the ASEAN Ministerial Meeting on STI in Jakarta, Indonesia, underscoring the commitment to shaping a visionary future for STI in the ASEAN region.

Globally, women are under-representation in STI. UNESCO Science Report, 2021 shows that only 33% of researchers around the world are women. Gender inequality in STI stems from stereotypes, biases, and limited access to education which impact girls and women opportunity for advancement in this field. To enhance inclusivity on disabilities, promoting accessible technology and universal design in product development is essential to ensure benefits for everyone.

Recognising the importance of gender equality, disability, and social inclusion (GEDSI), this project is committed to ensuring that resulting policies and strategies are inclusive and address gender gaps in STI. By integrating GEDSI in this project, we will contribute to the implementation of ASEAN commitment to advance gender mainstreaming, disability inclusive development and partnership for a resilient ASEAN community.

Building on insights gained from the first phase, the project will leverage the implementation review of APASTI 2016–2025, assess results from the ASEAN Science Technology and Innovation Fund (ASTIF), and evaluate the role and mandate of the

Board of Adviser to COSTI (BAC). Foresight, utilizing a futures approach for strategic planning and risk assessment, is integral to anticipating future trends. Additionally, a final review of APASTI 2016-2025, covering the period of 2023 and 2024, will be conducted to supplement the implementation review of APASTI 2016-2025 that took place in 2023. Robust stakeholder engagement, including targeted workshops and interviews, will be conducted to formulate a forward-looking strategy for the region's STI landscape.

To support the formulation of APASTI 2026-2035, the project will engage the Commonwealth Scientific and Industrial Research Organisation (CSIRO) to develop the foresight products. This ensures the incorporation of the latest trends and developments in crafting APASTI 2026-2035, with a commitment to promoting gender equality, disability inclusion, and social equity, and innovation equality among ASEAN Member States.

Additionally, a team of consultants, preferably an entity with expertise, will be engaged. Their pivotal role will encompass stakeholder engagement, communication and outreach strategies, and the creation of essential tools such as the APASTI 2026-2035 roadmap with indicators, a comprehensive monitoring and evaluation (M&E) framework, infographics, and a video montage. This collaborative effort aims to ensure a comprehensive, robust, and impactful launch of the next phase in the ASEAN region's STI journey, with an unwavering commitment to promoting equity and inclusion.

### **Relationship to Other Activities**

The Development of APASTI 2026-2035 Phase II builds upon the groundwork laid by Phase I, which received support under the ASEAN Australia Development Cooperation Program Phase II (AADCP II) in 2023. The ongoing initiative aligns with the overarching APASTI 2026-2035, which represents the continuation of COSTI's 10-year plan of action, the APASTI 2016-2025.

In shaping the APASTI 2026-2035, due consideration will be given to the Core Elements of ASEAN Community's Post-2025 Vision, and the broader ASEAN Community Vision 2045: Resilient, Innovative, Dynamic, and People-Centred ASEAN. The project aims to establish clear connections between the Economic Components of ASEAN Community Vision 2045, identified in the ASEAN Community Vision 2045, outlined in the 'Vision' where, ASEAN aspires, by 2045 to realise a prosperous and integrated single market economy. This economic landscape will feature a highly skilled workforce, driven by growth-inducing productivity and innovation, fostering inclusivity and sustainability throughout the value chains.

Responding to the ASEAN Economic Community (AEC), as agreed at the 44th HLTF-EI Meeting, to adopt a five-year planning cycle towards its 2045 goals and objectives, the project will structure APASTI 2026-2035 to refresh STI Actions Plans every five years. Recognizing the pivotal role of planning arrangements in achieving ASEAN's economic integration vision in 2045, the project will adhere to include the five-tier framework across the AEC Strategic Plan(s) and Sectoral Action Plans. These tiers encompass strategic goals, objectives, strategic measures, activities, and supporting activities.

It is important to note that the current AEC Strategic Plan(s) will deviate from the previous Characteristics and Elements structure in the AEC Blueprint 2025. This shift in structure is intentional, fostering an integrated and cross-cutting approach to

achieve the agreed strategic goals and objectives. This approach aligns with the pursuit of the economic components of ASEAN Community Vision 2045.

## **II. Needs and Objectives**

The APASTI 2026-2035 aspires to position ASEAN at the forefront of global advancements, fostering prosperity, competitiveness, and inclusivity across the region. Serving as a catalyst for technological advancements, economic growth, and improved quality of life, the initiative places a strong emphasis on amplifying innovation, encouraging global collaboration, and promoting sustainable development.

The success of APASTI 2026-2035 hinges on the implementation of robust policies that strategically guide decision-making processes. It underscores advancements in education to cultivate a skilled workforce and emphasises the creation of a supportive environment for research and development, and innovation. By achieving these objectives, the project endeavours to shape a visionary future for science, technology, and innovation in the ASEAN region that is synonymous with sustainability, resilience, and inclusivity. This vision ensures the continued relevance and leadership of ASEAN in the global landscape.

## **III. Outputs and Deliverables**

The project will produce the following outputs:

1. **Final Review of APASTI 2016-2025** serves as a comprehensive assessment of the implementation and outcomes of APASTI during the period of 2023-2024. This review evaluates the effectiveness of strategies and initiatives outlined in APASTI, highlighting achievements, challenges, and areas for improvement. Through rigorous analysis and stakeholder consultations, the review identifies lessons learned and best practices to inform future STI policies and programs.

The review will provide also impact-based solutions and customized analysis for each AMS on their existing STI landscape, along with curated recommendations on technological approaches for AMS to consider for adoption and incorporation into the APASTI 2026-2035 policy document: Section V Action Items and Tasks. This review will contribute to the refinement and enhancement of APASTI 2026-2035, ensuring its relevance and impact in shaping the ASEAN region's STI landscape.

One of the key components of this review is conducting a social inclusion and gender analysis. This analysis is essential for identifying gaps and recommending actions to integrate social inclusion and gender equality into APASTI 2026-2035 and its implementation.

The analysis will: (a) **identify gaps**: highlight areas where gender disparities exist and where social inclusion needs to be improved.; (b) **recommend actions**: propose specific actions to integrate social inclusion and gender equality throughout the APASTI 2026-2035 framework. (c) **promote equal opportunities**: ensure that all genders and underrepresented groups, such as persons with disabilities, have equal opportunities and participation in STI initiatives.; (d) **support underrepresented groups**: develop policies and programs that support women and other underrepresented groups in the

scientific community.

Inclusive perspectives should be embedded in all stages of policy formulation, implementation, and evaluation, involving stakeholders from diverse backgrounds. Regular assessments, data collection, and the use of gender-disaggregated data and gender-sensitive indicators are crucial for monitoring progress and adjusting strategies accordingly.

The Final Review of APASTI 2016-2025 will feed directly into the development of the APASTI 2026-2035 Policy Document by providing a comprehensive assessment of the previous plan's implementation and outcomes. This ensures that the new policy is built on a strong foundation of evidence and lessons learned from past experiences, with a strong emphasis on GEDSI.

**2. APASTI 2026-2035 Policy Document**, the primary output of the project, is a visionary and inclusive roadmap that will shape the STI landscape across ASEAN from 2026 to 2035. This strategic plan is designed to position the region at the forefront of global advancements, fostering prosperity, competitiveness, and inclusivity. At its core, APASTI 2026-2035 is committed to recognizing and addressing the diverse needs and perspectives of all members of the ASEAN community. The APASTI 2026-2035 will incorporate the findings from the foresight products, developed by CSIRO. The consultants will coordinate closely with CSIRO to ensure that these foresight insights are effectively integrated into the policy document.

Embracing a forward-looking approach, the document acknowledges the importance of GEDSI, as well as climate considerations. This commitment ensures that resulting policies and strategies are not only innovative and technologically advanced but also inclusive and considerate of the varied backgrounds within the ASEAN community, and responsive to the challenges posed by climate change. The document outlines actionable initiatives that prioritize equity, creating an STI landscape where individuals of all genders, abilities, and social backgrounds actively contribute and benefit.

The harmonization of AEC Strategic Plans Post-2025 aligns APASTI 2026-2035 with the broader AEC plans post-2025 by fostering innovation, enhancing regional competitiveness, and promoting sustainable development. This harmonization can be achieved through coordinated policies that integrate technological advancements with economic goals, focusing on digital transformation, research collaboration, and capacity and skills development. Continuous dialogue and cooperation among member states will ensure that science and technology initiatives support and reinforce the overarching objectives of the AEC.

The policy document, limited to not more than 50 pages, will include the following sections:

- i. **Executive Summary:** Provide a succinct overview of the APASTI 2026-2035 plan, encapsulating its purpose, key objectives, and anticipated outcomes. This section serves as a high-level introduction for stakeholders and decision-makers, offering a quick understanding of the plan's essence.
- ii. **Introduction and Background:** Present contextual information on the ASEAN region, delving into current challenges and opportunities relevant to the plan's focal

areas. This section sets the stage for APASTI 2026-2035, offering a comprehensive understanding of the regional landscape and the plan's necessity.

iii. **Vision, Goals, and Objectives:** Clearly articulate the vision of APASTI 2026-2035, leveraging foresight to depict a vivid picture of the desired future state of STI within the ASEAN region. Crafting the vision, goals and objectives should also take into consideration global innovation trends to understand ASEAN's current and foreseeable position in STI. The overarching goals and specific objectives should be measurable, achievable, and closely aligned with the priorities of the ASEAN region. This section outlines the strategic direction that the plan aims to chart, providing a roadmap for comprehensive STI development. The vision serves as an inspirational guide, setting the tone for the transformative journey envisioned through APASTI 2026-2035.

iv. **Stakeholder Analysis and Engagement Strategy:** Identify and analyse key stakeholders involved in or impacted by the plan. Outline a robust strategy for engaging and collaborating with these stakeholders throughout the implementation process. This section emphasizes the importance of inclusivity and collaborative partnerships in achieving the plan's objectives.

v. **Social Inclusion and Gender Mainstreaming:** This section will provide guidance on how to incorporate social inclusion and gender mainstreaming in the implementation of APASTI 2026-2035. It will identify and address gender disparities, promoting equal opportunities and participation for all genders in science, technology, engineering, math (STEM) fields. The aim is to create policies and programs that support women and underrepresented groups, fostering a more balanced and innovative scientific community.

Key components include: (a) **policy integration:** gender perspectives must be integrated into all stages of policy formulation, implementation, and evaluation. This involves engaging stakeholders from diverse backgrounds to ensure comprehensive and inclusive approaches; (b) **equal opportunities:** Promote equal opportunities and participation for all genders in STI initiatives, addressing existing disparities and barriers; (c) **supportive programs:** develop and implement programs that support the advancement of women and underrepresented groups in science, technology, and innovation; and (d) **monitoring and evaluation:** conduct regular assessments and data collection using gender disaggregated data and gender-sensitive indicators to monitor progress and adjust strategies as necessary.

vi. **Action Items and Tasks:** Present a detailed list of action items and tasks essential for achieving the objectives outlined in the plan. Include specific activities, timelines, and responsible parties to provide a clear roadmap for implementation.

vii. **Resource Allocation and Budgeting:** Outline the required resources for the successful implementation of APASTI 2026-2035, encompassing financial, human, and technological aspects. Provide a budget breakdown and identify potential funding sources to ensure the plan's sustainability.

viii. **Monitoring and Evaluation Framework:** Define a robust framework for monitoring and evaluating the progress of the plan. Establish key performance indicators (KPIs) and mechanisms for ongoing assessment, including data collection, ensuring transparency and accountability throughout the implementation.

ix. **Risk Assessment and Mitigation Strategies:** Identify potential risks and challenges that may arise during the plan's implementation. Propose comprehensive strategies to mitigate these risks, ensuring resilience and adaptability in the face of uncertainties.

x. **Communication and Outreach Plan:** Develop a communication strategy to inform and engage various stakeholders and the general public. This section outlines plans for disseminating information, building awareness, and maintaining transparency throughout the implementation process.

xi. **Review and Revision Mechanism:** Establish a process for periodic reviews and revisions of the plan. This ensures the incorporation of lessons learned, responsiveness to changing circumstances, and the ongoing relevance and effectiveness of APASTI 2026-2035.

Other outputs include **an Electronic Publication of APASTI 2026-2035**, a set of **infographics** summarizing key elements of APASTI 2026-2035 for easy understanding and dissemination, and a **video montage** summarizing the essence and goals of APASTI 2026-2035 for a wider audience.

In addition to delivering the above outputs, the Implementing Agency will also render the following:

i. **Project Inception Report** outlining, at the project's onset, the overall approach, detailed conceptual framework, risk assessment and management strategy, and a comprehensive work plan.

ii. **Project Progress Reports** (monthly or as agreed with the ASEAN Secretariat (ASEC)) providing a summation of activities undertaken, issues that have arisen and corrective measures, and planned actions.

iii. **Project Completion Report** 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 follow on projects and activities.

#### **IV. Tasks/Activities**

The implementer of this project will have the opportunity to design the approach, method, and process/work plan that can best facilitate the achievement of project outputs in consultation with COSTI and other relevant stakeholders. It is envisaged that there will be stakeholder consultations undertaken with different stakeholders, including, but not limited to COSTI secretariats, Sub-Committees, Board of Advisors to COSTI (BAC).

Such consultations could be conducted in more than one phase and various forms, including interface, interviews, or review of relevant strategies and activities of AMS. The list of stakeholders to be consulted would need to be agreed upon and finalised in the inception phase.

The following activities will need to be undertaken by the indicative timeline to achieve the outputs and deliverables presented above. Tenderers should provide details on their detailed approach to each activity in their bid and are free to

recommend additional activities if they could contribute significantly or meaningfully to the project objective.

<b>Deliverable</b>	<b>Activity/ Task</b>	<b>Indicative Person Working Day</b>	<b>Indicative Completion Date</b>	<b>Responsible Entity</b>
Inception Report	Setting expectations on the project with consultants	8	September 2024	Consultant, ASEC, COSTI
	Conceptualisation of overall approach, detailed framework, and preparation of work plan and management plan		October 2024	Consultant
	Coordination and liaison with CSIRO to ensure integration of foresight products			
	Preparation, and finalisation of inception report			Consultant
	Presentation at COSTI-86		October 2024	Consultant
<b>Approval of Inception Report by ASEAN</b>				
Final Review of APASTI 2016-2025	Context analysis through desk review and data collection and analysis, including review of the relevant ASEAN strategic plan documents, incl. implementation review of APASTI 2016-2025, ASTIF and BAC assessment reports.	155	September 2024	Consultant
	Stakeholder engagement for the implementation review of APASTI 2016-2025 through 1 physical workshop		December 2024	
	Social Inclusion and Gender Analysis		October 2024	
	Preparation and finalisation of implementation review of APASTI 2016-2025		October	
	Preparation of customised- impact based solution to AMS		November 2024	
<b>Approval of Final Review of APASTI 2016-2025 by ASEAN</b>				



<b>Deliverable</b>	<b>Activity/ Task</b>	<b>Indicative Person Working Day</b>	<b>Indicative Completion Date</b>	<b>Responsible Entity</b>
Initial Draft of APASTI 2026-2035 Policy Document	Series of e-consultations with ASEAN stakeholders (COSTI, BAC, APASTI Task Force and Chairs of sub-committees, and private sector (self-funded)). This process may be supplemented with survey questionnaires tailored for each stakeholder group.	220	Conclude by May 2025	Consultant
	Preparation and organisation of 3 Regional Workshops (COSTI engagement)		April 2025	
	Preparation and finalisation of the first draft of APASTI 2026-2035		April 2025	
	Presentation of Final Review of APASTI 2016-2025 and draft APASTI 2026-2035		May 2025	
<b>Approval of Drafting of APASTI 2026-2035 Policy Document by ASEAN</b>				
The final APASTI 2026-2035 Policy Document	Preparation and finalisation of second draft of APASTI 2026-2035	80	May 2025	Consultant
	Preparation and organisation of Regional Workshops (Sub-committees and BAC engagement)			
	Preparation and organisation of Regional Workshop (Final engagement with all)		April 2025	
	Harmonisation of AEC Strategic Plans Post 2025		May 2025	
	Special session to present final draft to COSTI, BAC and SCs		May 2025	

<b>Deliverable</b>	<b>Activity/ Task</b>	<b>Indicative Person Working Day</b>	<b>Indicative Completion Date</b>	<b>Responsible Entity</b>
The final APASTI 2026-2035 document (cont'd)	Finalisation of APASTI 2026-2035 policy report, incorporating feedback from COSTI and reviewers, ensuring its accuracy, clarity, and relevance, including both physical and electronic publications		June 2025	Consultant
	Formatting, design, of physical and electronic publication of APASTI 2026-2035		June 2025	
APASTI 2026-2035 Infographic and Video Montage	Presenting the final report at the ASEAN Ministerial Meeting on STI (AMMSTI-21) in June 2025, disseminating the project's findings and strategic directions to key stakeholders and policymakers.	10	May 2025	Consultant
	Attendance on-site at COSTI meetings and stakeholder engagement sessions for a production of video montage		May 2025	
	Video editing and finalisation of the video for sharing with stakeholders and publicity	5	May 2025	
<b>Approval of final APASTI 2026-2035 Policy Document and Infographic and Video Montage by ASEAN</b>				
Project Completion Report	Prepare the completion report to describe project achievements against the project's original intended purpose and outputs.	2	July 2025	Consultant
<b>Approval of Project Completion Report by ASEAN</b>				

## **V. Project Management**

COSTI, as the sponsoring body, will play a crucial role in the project by considering and approving project deliverables and outputs. They will provide strategic and technical guidance throughout the implementation and approve any significant modifications to the project scope, budget, and outputs.

The Science and Technology Division (S&TD) of the ASEAN Secretariat will take charge of coordinating, managing, and supervising the day-to-day implementation of the project, overseeing logistical and administrative arrangements.

The Aus4ASEAN Futures Program Planning and Monitoring Support Unit (PPMSU) will closely collaborate with S&TD and implementing agencies to administer the project. They will ensure effective and efficient use of project funds, providing additional quality assurance by offering input to project deliverables and outputs as appropriate.

## **VI. Scope of Services**

The consultancy will be undertaken over a **continuous effective period of 13 Calendar Month** with approximately **480 person working days** of various professional services. Work will need to commence immediately after contract signing.

## **VII. Qualifications**

The project requires a reputable firm/organisation or a joint venture/consortium/association (JCVA) with combined proven expertise in policy and strategy monitoring and evaluation as well as in stakeholder management and communications. Implementing sound consultative approaches in this project is critical to ensure the ownership of various stakeholders of the APASTI 2026-2035. Interested firms/JCVAs should demonstrate the following in the submitted technical component:

- In-depth and comprehensive understanding of ASEAN developments and issues, particularly on ASEAN STI development, as well as the related trends/megatrends, challenges/gaps, and developments, particularly in the field of sustainable development, emerging technologies, global innovation, human capital, and partnerships.
- Proven track record of successful projects in policy and strategic planning as well as monitoring and evaluation of strategies, result frameworks, and programmes at regional and national levels within the ASEAN region and/or similar international contexts.
- Strong capacity in data collection and analysis, as well as excellent report writing and presentation skills, with the ability to convey complex information clearly and effectively to diverse audiences.
- Demonstrated sound project management skills and ability to deliver satisfactory results in a short timeframe, with evidence of delivering complex projects on time with parallel components/activities.
- Proven experience in multilateral, cross-sectoral stakeholder engagement

and communications, including demonstrated facilitation skills for strategic planning discussions/workshops, as well as developing and employing various promotional materials (including video) to maximise the visibility and impact of projects and activities.

- Demonstrated capabilities, experience, and available resources in mainstreaming cross-cutting issues, such as climate change and gender equality, STI policy development, and social inclusion, in policies and projects in the ASEAN region and/or similar international contexts.
- Familiarity with the ASEAN structure and implementation arrangements for various ASEAN blueprints/strategic plans/action plans under various ASEAN Community pillars is a distinct advantage.
- A thorough understanding of and experience working on ASEAN and/or Aus4ASEAN Futures procedures will be considered an added value.

### **VIII. Bidding**

Interested firms or Joint Ventures/ Consortium/ Association (JVCA) are invited to submit a proposal in response to these Terms of Reference. This proposal should be divided into two parts: **Technical** and **Financial components**; and submitted in two separate emails.

The **Technical component** should present the following information:

- › A brief discussion indicating the tenderer's understanding of the needs of the project.
- › A brief analysis of key issues.
- › A methodological discussion of how the tenderer 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 will be taken to ensure the future sustainability of the outcomes of the project.
- › Brief discussion of the firm/JVCA's past experience in undertaking similar work and brief summaries of all projects undertaken.
- › Cover Letter for Technical Proposal (see **Form A** annexed to this document).
- › Tenderer Information and Completed Tenderer Registration Form (see **Form B** of this document), including a set of the following documents if applicable: company profile; business name registration issued by an appropriate government agency; authority of signatory; valid business permit and other appropriate licenses; taxpayer identification number; latest audited financial statements.
- › Joint Venture/Consortium/Association Information (only if the proposal is submitted as such) – see **Form C** of this document.
- › Tenderer Declaration (see **Form D** of this document).
- › Tenderers should use the Technical Proposal Format (see **Form E** annexed to this document). Examples of previous work and a list of referees should be included in the Technical Proposal.

- › CVs of all proposed experts (see **Form F** 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 Proposal** should specifically include:

1. Cover Letter for Financial Proposal (see **Form G** annexed to this document).
2. Professional fees of expert(s).
3. 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 costs.
4. 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 taxes. Additional amounts not specified in the financial component will not be included in the contract. See Section XI point 5 for an additional note on tax liability.
5. Tenderers should use the Financial Proposal Format (see Form H of this document).

The quoted price in the Financial Proposal shall only be in US dollars.

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 on the closing date of this tender announcement.

All documents submitted shall be in English. Otherwise, it will not be considered.

## **IX. Submission of Bid**

Tenderers shall send their Technical Proposal and Financial Proposal via two separate emails, attaching the respective cover letters and materials specified in Section VIII above and other supporting documents to [tender@aus4aseanfutures.org](mailto:tender@aus4aseanfutures.org), no later than **9 September 2024 at 12:00 PM Jakarta time (GMT +7)**. Large documents (>5MB) can be submitted in parts through several emails. **Late submissions will be disqualified.**

Tenderers shall use the following email subjects when separately submitting their technical and financial proposals:

- › Technical Proposal\_"
- › Development of the ASEAN Plan of Action on Science,
- › Technology and Innovation (APASTI) 2026-2035: Phase II"\_Name of Vendor

- › Financial Proposal\_ "
- › Development of the ASEAN Plan of Action on Science,
- › Technology and Innovation (APASTI) 2026-2035: Phase II"\_Name of Vendor

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

Any queries on the TOR should be sent by email to [query@aus4aseanfutures.org](mailto:query@aus4aseanfutures.org) before **31 August 2024**. Please use the subject line: "**Query – APASTI 2026-2035.**"

Response to received queries will be published at Aus4ASEAN Futures' website (<https://www.aus4aseanfutures.org/>). No individual responses or replies will be provided for queries. Please check the page regularly for updates.

## **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. Successful tenderers 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 Australia for ASEAN Futures Guidelines for the Contractors attached to the SSA.
3. SSA can only be signed with the registered tenderers as stated in Form A (see Annex). It is not possible for other entities or subsidiaries of the registered tenderers to sign the SSA on behalf of the registered tenderer.
4. Tenderers 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 that may be imposed by any law in relation to any amount payable by the ASEAN Secretariat. This means that the 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.

## **PROPOSAL FORMS**

- Form A. Cover Letter for Technical Proposal
- Form B. Tenderer Information
- Form C. Joint Venture/ Consortium/ Association Information
- Form D. Tenderer's Declaration
- Form E. Technical Proposal (of up to 50 pages on an A4-sized page)
- Form F. Specified Personnel's Curriculum Vitae (of up to four pages for each CV)
- Form G. Cover Letter for Financial Proposal
- Form H. Financial Proposal

## **PROPOSAL CHECKLIST FOR THE COMPLETENESS OF DOCUMENTS SUBMITTED**

Checklists must be used to ensure that all tender documentation has been provided. Checklists must be included in both emails of proposals.

### **Technical Proposal**

<b>No</b>	<b>Description</b>	<b>Checklist</b>
<b>1</b>	Proposals are submitted in two separate emails (softcopy)	
<b>2</b>	Title of the tender shall be put in each email as follows: > Technical Proposal_Title of Tender_Name of Vendor > Financial Proposal_Title of Tender_Name of Vendor	
<b>3</b>	<b>Technical Proposal:</b>	
	> <b>Form A.</b> Cover Letter for Technical Proposal	
	> <b>Form B.</b> Tenderer Information and other supporting documents, such as:	
	o Scanned Copy of Company Legal Documents (if applicable), i.e. <ul style="list-style-type: none"> <li>▪ Business Name Registration (Trade Register)</li> <li>▪ Valid Business Permit</li> <li>▪ Tax Identification Number</li> <li>▪ Latest audited financial statements (for the company)</li> </ul>	
	> Company Profile	
	> Authority of signatory	
	> <b>Form C.</b> Joint Venture/ Consortium/ Association Information (if applicable) <i>*In the case of Joint Venture (JV), the letter of intent to form a legally enforceable JV, including a draft agreement or JV agreement (see Form C)</i>	
	> <b>Form D.</b> Tenderer's Declaration	
	> <b>Form E.</b> Technical Proposal (of up to 50 pages on an A4-sized page, including a list of references)	
	> <b>Form F.</b> Specified Personnel's CV (with each CV up to four pages)	
<b>4</b>	<b>Financial Proposal:</b>	
	> <b>Form G.</b> Cover Letter for Financial Proposal	
	> <b>Form H.</b> Financial Proposal:	
	o Bid Amount	
	o Payment Schedules	

## **Form A: Cover Letter for Technical Proposal**

**[On company letterhead]**

[Location, Date]

To:  
Procurement Team  
Australia for ASEAN Futures Initiative  
ASEAN Secretariat  
Jl. Sisingamangaraja 70a, Jakarta Selatan  
Indonesia 12110

Dear Sir/ Madam,

We, the undersigned, offer to provide the Services for *(Insert RFP Title)* dated *(Insert Date)*. We are hereby submitting our proposal, which includes this Technical Proposal, and a Financial Proposal sent in a separate password-protected file through electronic submission.

Our proposal shall be valid and remain binding upon us for the period of time specified in the RFP Documents and subject to the modifications resulting from Contract negotiations. We acknowledge and accept your right to inspect and audit all records relating to our proposal irrespective of whether we enter into a contract with ASEAN as a result of this proposal or not.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorised Signature  
Name and Title of Signatory:  
Date:  
Name of Firm:  
Address:  
*(Stamp with the official stamp of the Tenderer)*



**Form B: Tenderer Information**

<b>Tenderer's legal name</b>	
<b>In the case of a Joint Venture, Consortium, or Association - The legal name of each party</b>	
<b>Tenderer's type of organisation</b>	<i>(For example, sole trader / public limited company/ private company)</i>
<b>Tenderer's Country of Registration, Constitution, or Incorporation</b>	
<b>Tenderer's Year of Registration, Constitution, or Incorporation</b>	
<b>Tenderer's legal address in the Country of Registration, Constitution, or Incorporation</b>	
<b>Registration no./Deed of organisation: (if applicable)</b>	
<b>Tenderer's authorised representative information:</b>	<b>Name:</b> <b>Address:</b> <b>Telephone:</b> <b>Email Address:</b>
<b>Organisation chart</b>	Attach the organisation chart to this form as an option.
<b>List of management names and position</b>	

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 C).
- › Organisation chart of the company and list of current staff
- › Latest audited financial statements (if applicable)

**Form C: Joint Venture/ Consortium/ Association Information** (if applicable)

<b>Name of Tenderer:</b>	Click or tap here to enter text.	<b>Date:</b>	Click or tap to enter a date.
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This is to be completed and returned with your proposal if the proposal is submitted as a Joint Venture/ Consortium/ Association (JVCA).

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.

<b>Name of leading partner</b> (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.
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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 JVCAOR     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: _____  Signature _____  Date: _____	Name of partner: _____  Signature _____  Date: _____
Name of partner: _____  Signature _____  Date: _____	Name of partner: _____  Signature _____  Date: _____

## Form D: Tenderer's Declaration

<b>Name of Tenderer</b>	Click or tap here to enter text.	<b>Date</b>	Click or tap to enter a date.
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On behalf of our firm, its affiliates, subsidiaries and employees, including any JV / Consortium / Association (JVCA) members or subcontractors or suppliers for any part of the contract.

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Requirements and Terms and Conditions:</b> I/We have read and fully understand the RFP. I/We confirm that the Tenderer 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.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Ethics:</b> In submitting this proposal, I/we warrant that the Tenderer 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.
<input type="checkbox"/>	<input type="checkbox"/>	I/We confirm to not engage in proscribed practices, or any other unethical practice, with the ASEAN Secretariat or any other party and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the ASEAN Secretariat and the Australian Government.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Child Protection and the Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH):</b> I/We confirm that we have read DFAT policies on child protection <a href="http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx">http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx</a> and Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH) <a href="https://www.dfat.gov.au/international-relations/themes/preventing-sexual-exploitation-abuse-and-harassment/Pages/default">https://www.dfat.gov.au/international-relations/themes/preventing-sexual-exploitation-abuse-and-harassment/Pages/default</a> and will adhere to them.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Conflict of interest:</b> I/We warrant that the Tenderer 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 Tenderer will report it immediately to the Procuring Organisation's Point of Contact.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Collusive Tendering:</b> I/We declare that our firm, its affiliates or subsidiaries or employees, including any JVCA 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.

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Prohibitions, Sanctions:</b> I/We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JVCA members or subcontractors or suppliers for any part of the contract 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.
<input type="checkbox"/>	<input type="checkbox"/>	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.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Bankruptcy:</b> 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.
<input type="checkbox"/>	<input type="checkbox"/>	<b>Proposal Validity Period:</b> I/We confirm that this proposal, including the price, remains open for acceptance for the proposal validity period.
<input type="checkbox"/>	<input type="checkbox"/>	I/We understand and recognise that you are not bound to accept any proposal you receive.
<input type="checkbox"/>	<input type="checkbox"/>	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.

Authorised Signature

Name and Title of Signatory:

Date:

Name of Firm:

Address:

*(Stamp with the official stamp of the Tenderer)*

## Form E: Technical Proposal

Consultant's general information - to be submitted together in the Technical Proposal

<b>Name of Assignment</b>
<b>Tenderer's Organisation or Person</b>
<b>Address</b>
<b>Contact Person and Title/Position</b>
<b>Email</b>
<b>Telephone</b>
<b>Mobile Phone</b>
<b>Business Name Registration</b>
<b>Tax Registration Number</b>
<b>Indicate the number of years involved in similar business/work</b>
<b>Date</b>

### I. Consultant's Organisation and Experience

#### 1.1. Organisational capability

Outline general organisational capability that is likely to affect the performance of the TOR, such as size of the organisation, in-house expertise, strength of project management support, networks, etc.

#### 1.2. Relevant experience

Include a description of past and present experiences and relationships that have a direct relationship to the performance of the TOR. Include relevant collaborative efforts in which the organisation may have participated. Detail any specialised knowledge that may be applied to the performance of the TOR. Include experience working with the ASEAN Member States and/or the ASEAN Secretariat.

1.3. Quality assurance procedures

Describe the potential risks for the performance of the TOR that may impact the achievement and timely completion of expected results as well as their quality. Describe measures that will be put in place to mitigate these risks. Provide certificate (s) for accreditation of processes and policies, e.g., ISO.

1.4. Extent to which the work will be subcontracted.

Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors. Special attention should be given to providing a clear picture of the roles, responsibilities, reporting lines, and accountability.

1.5. Customer/Previous Work Reference

*Please list references of three (3) clients/ customers for whom the Tenderer has provided similar service.*

Customer/Previous Work Details	
Company name	
Company address	
Telephone number	
Contact person and Position/Title	
Email address	
Project title and brief description	

Customer/Previous Work Details	
Company name	
Company address	
Telephone number	
Contact person and Position/Title	
Email address	
Project title and brief description	

Customer/Previous Work Details	
Company name	
Company address	
Telephone number	
Contact person and Position/Title	
Email address	
Project title and brief description	

**II. Comments and/or Suggestions on the Terms of Reference**

Please feel free to present and justify any modifications to the Terms of Reference your firm/organisation would like to propose in order to perform the assignment more effectively. If there are such suggestions, they should be incorporated into your proposal.

**III. Description of Approach and Methodology**

Provide a description of the organisation's approach, methodology, and timeline for how the organisation will achieve the TOR, including:

- › The assessment criteria the Assessment will use, the questions the Assessment should answer, and how the criteria and questions relate. These will include any additional issues identified by the assessor with regard to those mentioned in the ToR.
- › For each criterion, methods of collecting data/information and specific sources of data.
- › If appropriate to the Assessment, the proposed criteria for sampling and rational, and the proposed sample.
- › Describe in detail the ways data will be collected, including instruments.

#### **IV. Work Plan**

A work plan for data collection, analysis, reporting, and their milestones. **The timelines mentioned in the ToR may be confirmed.** Please detail the proposed quality assurance method, including who will do the quality assurance for the products of the Assessment and which instrument will be linked (e.g., Assessment proposal, inception report, data collected and analysed, draft report). It should also include a description of how comments and corrections received from main stakeholders will be handled. Please provide a brief description of each team member and a statement of how team members complement each other to meet the knowledge and skills needs of the assignment.

#### **V. Quality Assurance**

Please detail the proposed quality assurance method, including who will do the quality assurance for the products of the Assessment and which instrument will be linked (e.g., Assessment proposal, inception report, data collected and analysed, draft report). It should also include a description of how comments and corrections received from main stakeholders will be handled.

#### **VI. Team Composition and Task Assignments**

Please provide a brief description of each team member and a statement of how team members complement each other to meet the knowledge and skills needs of the assignment. Additionally, please provide the information requested in the table below.

**VII. Work Schedule and Planning**

No	Deliverables <sup>1</sup>	Months												
		1	2	3	4	5	6	7	8	9	.....	n	TOTAL	
<b>D-1</b>	{e.g., Deliverable #1: Report A													
	1) data collection													
	2) drafting													
	3) inception report													
	4) incorporating comments													
	5) delivery of the final report to ASEAN through ASEC}													
<b>D-2</b>	{e.g., Deliverable #2:.....}													

1. List the deliverables with the breakdown for activities required to produce them and other benchmarks such as ASEAN’s approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
2. The duration of activities shall be indicated in the form of a bar chart.
3. Include a legend, if necessary, to help read the chart.



### VIII. Team Composition, Assignment, and Inputs

No.	Name	Expert's input in person weeks for each deliverable							Total time-input (in person week)		
		Position		D1	D2	D3	D4	D5	Home	Field	Total
<b>Key Experts</b>											
1.	Mr/Ms. Example	Team Leader	Home	2.0 w	0.5 w	1.0 w	1.0 w	0.5 w	5 weeks	7 weeks	12 weeks
			Field	3.0 w	1.0 w	1.0 w	1.0 w				
2.											
3.											
<b>Sub Total</b>											
<b>Non-Key Experts</b>											
1.			Home								
			Field								
2.											
3.											
<b>Sub Total (days)</b>											
<b>Total (days)</b>											

1. For Key Experts, the input should be indicated individually for the same positions as required.
2. Weeks are counted from the start of the assignment/mobilisation. One (1) week equals five (5) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
3. "Home" means work in an office in the expert's country of residence.  
"Field" work means work carried out in any other country outside the expert's country of residence.

**Form F. Specified Personnel’s Curriculum Vitae**

**CURRICULUM VITAE (CV)**

<b>Position Title</b>	{e.g., TEAM LEADER}
<b>Name of Expert:</b>	{Insert full name}
<b>Date of Birth:</b>	{day/month/year}
<b>Country of Citizenship/Residence</b>	

**Education:**

*List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained*

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**Employment record relevant to the assignment:**

*Starting with the present position, list in reverse order. Please provide dates, the name of the employing organization, the titles of positions held, the types of activities performed, the location of the assignment, and the contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.*

<b>Period</b>	<b>Employing organization and your title/position. Contact information for references</b>	<b>Country</b>	<b>Summary of activities performed relevant to the Assignment</b>
[e.g., May 2005-present]	[e.g., Ministry of ....., advisor/consultant to...  For references: Tel...../e-mail.....; Mr. Hbbbb, deputy minister]		

**Membership in Professional Associations and Publications:**

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**Language Skills (indicate only languages in which you can work):**

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**Adequacy for the Assignment:**

<b>Detailed Tasks Assigned on Consultant’s Team of Experts:</b> <i>List all deliverables/tasks in which the Expert will be involved</i>	<b>Reference to Prior Work/Assignments that Best Illustrate Capability to Handle the Assigned Tasks</b>

**Expert's contact information:** (e-mail ....., phone.....)

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by ASEAN.

---

Name of Expert  
Date

Signature

---

Name of authorized  
Date  
Representative of the Consultant  
(the same who signs the Proposal)

Signature

## **Form G: Cover Letter for Financial Proposal [On company letterhead]**

[Location, Date]

To:  
Procurement Team  
Australia for ASEAN Futures Initiative  
ASEAN Secretariat  
Jl. Sisingamangaraja 70a, Jakarta Selatan  
Indonesia 12110

Dear Sir/ Madam,

We, the undersigned, offer to provide the Services for *(Insert RFP Title)* dated *(Insert Date)*. We are hereby submitting our proposal, which includes a Technical Proposal sent in a separate file, and this Financial Proposal through electronic submission. The password for this financial proposal *(\*\*\*\*)*

Our attached Financial Proposal is for the sum of *[Insert amount in words and figures]*.

Our proposal shall be valid and remain binding upon us for the period of time specified in the RFP Documents and subject to the modifications resulting from Contract negotiations. We confirm that the amount stated above is inclusive of GST/ VAT and other applicable taxes. We acknowledge and accept your right to inspect and audit all records relating to our proposal irrespective of whether we enter into a contract with ASEAN as a result of this proposal or not.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorised Signature  
Name and Title of Signatory:  
Date:  
Name of Firm:  
Address:  
*(Stamp with an official stamp of the Tenderer)*

**Form H: Financial Proposal**

**I. Cost Breakdown by Professional Fee**

#	Team Member	Role in project	Daily Rate	# of days	Total professional fees
1	Name 1				
2	Name 2				
3	Name 3				
4	...				
<b>A</b>	<b>Total Professional Fees</b>				
#	Other Expenses (if applicable)	Description	Item Cost	# of items	Total Other Expenses
1	Name 1				
2	Name 2				
3	Name 3				
4	...				
<b>B</b>	<b>Total Other Expenses</b>				
<b>GRAND TOTAL (A+B)</b>					

**II. Cost Breakdown by Deliverables**

#	Deliverable	Description	# of days	Total professional Fees	Total Other Expenses	Total Cost
1	Deliverable 1					
2	Deliverable 2					
3	Deliverable 3					
4	...					
<b>GRAND TOTAL</b>						

Tenderers may include the Payment Schedule in the Financial Proposal.

### **III. Additional Notes (if any)**