

American Technical and Training Support to ASEAN Program Scope of Work

Article I Purpose and Objective

The Purpose of this task order is to provide technical assistance and training support to ASEAN to advance the goals of the U.S. ASEAN Cooperation Plan (ACP) and contribute to ASEAN's effort to become a stronger regional institution, subject to funding availability. The specific objectives of the ACP are:

- Strengthen the ASEAN Secretariat. Current US support activities are improving information systems in the Secretariat and providing some limited training to ASEAN members. New activities are being considered in providing short-term technical support and training to the Secretariat's efforts in areas such as trade facilitation, transnational issues, regional security and countering terrorism. This support is to further develop ASEAN as an organization, broaden its programs, and deepen the cooperation between ASEAN and the US.
- Enhance ASEAN integration and cooperation. ASEAN's future depends on its success in integrating less developed members, such as Cambodia, Laos, and Vietnam. ASEAN integration not only includes our economic development interests, it also includes coordination of other issues that face all ten ASEAN countries (and U.S. interests) such as integrating ASEAN as a more unified market to become more competitive and attract foreign investment, and the numerous governance and policy reforms that will be needed for effective integration in this larger sense.
- Improve regional responses to transnational issues. Transnational threats challenge Southeast Asia's stability, but they also offer potential for stability-enhancing cooperation. Most recently, ASEAN has asked for US assistance in addressing transnational issues -- specifically terrorism, customs reform, the environment, HIV/AIDS, and trafficking in persons.

Article II Background

Establishment of ASEAN and the ASEAN Secretariat

The birth of ASEAN came on August 8, 1967 with the signing of the Bangkok Declaration of the foreign ministers of Thailand, Indonesia, the Philippines, Singapore, and Malaysia. Brunei became a member after its independence from the UK in 1984. Since then, Vietnam, Laos, Cambodia and Burma have joined making a total membership of 10 states. The ASEAN Secretariat was established through the Agreement of the Establishment of the ASEAN Secretariat in 1976. The Agreement was signed by all ASEAN Member Countries. The agreement is available on the **ASEANweb at <http://www.aseansec.gor/1265.htm>**. There are several protocols

amending the Agreement of the Establishment of the ASEAN Secretariat, which can be viewed <http://www.aseansec.org/68.htm>.

Status of the ASEAN Cooperation Plan and US Dialogue with ASEAN

ASEAN and the United States have had a long history of mutual cooperation on issues of economic development and the environment. For many years USAID had a designated USAID representative to ASEAN. In addition to USAID's substantial bilateral assistance to Indonesia and the Philippines it also provided ASEAN over \$70 million in direct grant assistance from 1980 to 1995.

The first ASEAN-US Economic Dialogue in 1977 put development cooperation on the agenda and subsequent ones continued that practice which set the framework of assistance to ASEAN. As ASEAN changed and its member economies developed, assistance changed as well. US assistance first focused on agriculture and later shifted to education and research with assistance going to a number of well-known institutions, including the Asian Institute of Technology (Bangkok), the Institute of Southeast Asian Studies (Singapore), the Asian Institute of Management (Manila), the Institute of Tropical Medicine and Public Health (Bangkok).

Given Asia's strong economic performance in the early and mid 1990s, USAID scaled down assistance to concentrate on two areas: private sector investment and the environment. The Private Investment and Trade Opportunities Project was key to making the US-ASEAN Business Council self-sustainable by supporting U.S.ABC income generating programs while they expanded their corporate membership.

The Environmental Improvement Project concentrated on key environmental issues related to ASEAN's rapid industrialization and urbanization. Specific activities included policy workshops on trade and the environment, introducing cleaner technologies in the steel industry in Malaysia and the Philippines; a program of increasing the environmental quality of the food processing industry in Thailand; programs to reduce medical and hospital waste in the Philippines, and others. Many of these activities continued and were expanded when the USAID's ASEAN efforts were merged with the overall US-Asia Environmental Partnership (US-AEP) program. The most recent significant support to ASEAN came in a 1997 a package of approximately four million dollars that was provided to assist in controlling the forest fires in Indonesia and the regional pollution it created.

In July 2002, Secretary Powell announced the ASEAN Cooperation Plan, designed to enhance U.S. relations with ASEAN, with the three major goals described above. In this renewed effort with ASEAN, the United States recognizes the need to support fast yet stable and sustainable economic growth in most ASEAN countries, eliminating disparities that were magnified with the recent joining of Burma, Cambodia, Laos, and Vietnam. It also recognizes the importance of promoting cooperation between ASEAN countries in addressing transnational issues, such as the environment, counter-terrorism, and trafficking in persons.

Summary of Donor Activities under dialogue partnership agreements with ASEAN

While many international, donor/lender organizations are working in ASEAN, the Australians, the Japanese, and the European Commission are most prominent. In addition, ASEAN is working with a host of developing or middle income countries, including China and India, which provide development funding to ASEAN. The donor community has bought into the centerpieces of ASEAN's current development efforts, defined by the Hanoi Plan of Action and elaborated in numerous work plans. The Hanoi Plan of Action will be updated this year by the Vientiane Integration Agenda, expected to be announced at the ASEAN Summit in Vientiane in November.

Article III Statement of Work

This task order is implemented over an 18 month period and is composed of two major and complementary components. The resident specialist assignment is planned for 12 months. The remaining 6 months is to allow for supported activities to be completed with support from home office staff and or TDY support if required. The program will consist of technical assistance and advisory support; and training and professional enhancement support for ASEAN staff and members. As described below, the contractor shall provide technical and advisory assistance and training and professional enhancement support to develop and implement priority policy studies, technical assistance, and training support and programs for the ASEAN Secretariat and ASEAN member states, taking into account USG legal and policy restrictions. Outputs from this program will be policy studies and recommendations and enhanced professional capacity in program areas mentioned below. Activities funded under the ASAP program will complement activities being conducted by USAID and the US State Department throughout the region. The contractor is required to address the following program areas and tasks mentioned below:

- a. Identification and provision of technical expertise to buttress the present and planned work of the ASEAN Secretariat and ASEAN member countries furthering regional dialogue and cooperation. All activities should promote and facilitate greater sustained involvement of US Government agencies with ASEAN bodies.
- b. Identification and implementation of technical assistance and training activities to build the capacity of the ASEAN Secretariat and ASEAN as an organization and linking ASEAN with other policy centers of excellence around the world.
- c. Collaboration with private sector interests including the US-ASEAN Business Council, other business organizations in ASEAN and the U.S., and NGOs and PVOs in the U.S. and ASEAN member states.
- d. In collaboration with the US Government and the ASEAN Secretariat, develop and implement activities that will improve regional cooperation on transnational issues including but not limited to:

- Trade Facilitation, Competitiveness, and Economic Integration,
- Regional Security,
- Counter-terrorism,
- Energy Security,
- Cross-border environmental issues,
- Investment Promotion,
- Human rights,
- Non-traditional security issues, such as trafficking in persons, and
- Social policies.

Task One—Provide Technical Assistance and Advisory Support to ASEAN.

Technical assistance and advisory support will be provided to ASEAN to respond to priority regional and sub regional policy issues that are linked to the ASEAN Cooperation Plan objectives. As part of the technical assistance task, a Trade Policy/Program Specialist is to be placed in Jakarta, Indonesia who will work with the U.S. Embassy ACP project officer and ASEAN Secretariat senior management on an array of technical topics and issues as well as assist in the identification and coordination and of short-term technical assistance and training. The ASEAN Secretariat already has many ideas about the type of technical assistance it desires; support is required to ensure the elaboration and implementation of these proposals in an expeditious and effective manner. In doing so, the contractor shall:

- Within one month following the award of the task order, prepare a 6-month semi annual work plan in collaboration with ASEAN management, USAID/RDMA, and State EAP/RSP. The work plan will identify and prioritize policy studies, case studies, and or input to ongoing ASEAN studies or activities and training opportunities as they relate to ACP goals and objectives taking into account resource constraints and U.S. legal and policy restrictions. Also, the work plan will identify specific technical and training assignments for the resident specialist. Because one of the main purposes of the program is to be responsive to emerging ASEAN requirements, the work plan will be open to amendment as needed. Given the initial limitation of funding for technical assistance and support it is anticipated that a minimum of five to seven technical assignments per year will be supported. Also, the contractor will be expected to use small grants to facilitate training and technical assistance assignments. As more funds become available additional projects can be supported. The semi-annual work plan will be updated when needed to reflect new activities that will be pursued. The contractor might want to consider organizing a joint and collaborative team planning meeting at ASEAN with USAID and State participation to review and provide input into a draft work plan as well as discuss program objectives and working relationships.
- The Resident economist/program specialist will seek out opportunities to provide technical assistance and training support directly to the ASEAN secretariat. The resident specialist will work with different offices and working groups to identify appropriate studies and training required to strengthen the ASEAN organization

and advance ASEAN studies. Specific tasks and responsibilities for the resident specialist will be identified in the semi-annual work plan. We would expect the majority of the specialist's time will be spent on providing this technical assistance and training.

- Upon request, assist ASEAN management to draft terms of reference (TOR) or other agreed documentation for prioritized studies, assessments, or expert assistance including a financial budget. In addition, to the extent possible, coordinate with other key donors such as European Union, Australia, and Japan to ensure program complementarities and possibility of leveraging donor support for planned studies and or their participation.
- Coordinate with Embassy ACP officer and provide draft TOR(s) or other agreed documentation to USAID and State EAP/RSP with any recommendations concerning major issues or problems. Within seven working days, to the extent possible, State EAP/RSP and USAID will agree in principle on whether draft TOR(s) meets goals of ACP. If the TOR is approved, State EAP/RSP shall convey this message to USAID and to the ASEAN Secretariat along with any specific comments. USAID will forward the approved TOR request for policy studies to the contractor for implementation.
- Based on approved TOR the contractor shall work with ASEAN management and appropriate ASEAN staff to implement study(s) and or assessment(s) involving ASEAN participation. The contractor will facilitate the establishment of working groups or teams and identify and support potential "champions" to take the lead in performing/managing the analysis and policy dialogue pertaining to proposed recommendations within ASEAN. The contractor will provide technical assistance required to support the working group. Quick response and impact is required to keep the parties engaged in an analytical and review process.
- Provide a draft copy of results, finding, conclusions to ASEAN management and State EAP/RSP and USAID for review and comment. The contractor shall organize and coordinate a debriefing seminar to review results and recommendations at ASEAN headquarters and send briefing material to USAID and State EAP/RSP.
- Work with ASEAN management to develop appropriate dissemination procedures, policy briefs, and materials related to the completed study or assessment emphasizing result, findings and recommendations as it relates to ASEAN and ASEAN member countries. If appropriate and agreed to, results of a particular study may be used to support targeted training among ASEAN members.
- Advise U.S. Embassy ACP officer, State EAP/RSP, and USAID progress on supported activities through their informal weekly and quarterly reporting.

Task Two—Coordinate and Implement Training Assistance and Professional Enhancement Support. Professional enhancement and training will be critical to strengthening ASEAN members' knowledge and understanding of transnational or regional policy issues, approaches to resolving a technical or policy issue, broadening and deepening an understanding of a process or analytical procedure, or in transferring new technology or enhancing management/leadership skills. Training topics may include, but are not limited to: regional integration, trade facilitation and standardization, trade security, custom reform, finance issues, trafficking in persons, maritime security, energy security, counter terrorism, and other issues ASEAN classifies as transnational crime, and other regional issues identified and agreed by the ASEAN Secretariat and the U.S. Government. The ASEAN Secretariat already has many ideas about the type of training it desires; support is required to ensure the elaboration and implementation of these proposals in an expeditious and effective manner. Training resources are limited and training opportunities proposed will need to be reviewed and prioritized. USAID anticipates that the contractor would spend approximately \$550,000 for subcontracting for local professionals and training support through small grants mechanism provided by the contractor to ASEAN working groups to support technical analyses, training, and or information dissemination.

- The contractor will rely on the ASEAN Secretariat for administrative support for coordinating travel and other support to the extent possible. The Secretariat has agreed to provide such support, and has done so in some of the projects already underway. If the ASEAN Secretariat is not able to provide administrative support, the contractor will be expected to coordinate and provide assistance and support in the design, development and or delivery of prioritized training for ASEAN members in advancing ACP objectives. This could include assisting in placing selected participants into commercial courses and arranging and coordinating travel to and from training site. It is anticipated that the contractor would issue to ASEAN small grants to support proposed training events approved through the work plan. ASEAN would provide the lead coordination and support for identification, selection, and placement of participants into approved training events, payment of course fee, travel, and subsistence for participant or the small grants could be used for hosting training events in the ASEAN region supporting US- ASEAN ACP goal and objectives.
- The contractor should explore a wide variety of training modalities to provide ASEAN-wide training, taking into account U.S. funding restrictions and policies, and explore cost effective delivery mechanism such as seminars, workshops, conferences, teleconferencing, distance learning, and or study tours. Also, on-the-job training may be addressed in conjunction with a technical assistance assignment in completing a policy study or assessment to strengthen professional skills and capabilities. It is anticipated that the majority of the training will be regionally based which will allow for a wide array of member participations on a selected number of topics and or program areas.

- Coordinate and organize planned workshops and or conferences supporting ASEAN and US ACP goals and objectives which could include a training workshop on regional security, trafficking-person policy and issues, human rights policy and issues, trade integration and competitiveness, strengthening women leadership and economic opportunities, and or other workshops or conferences identified in the work plan.

Task Three—Provide a Performance Monitoring Plan and Implement.

Technical assistance and training support is being provided to strengthen the ASEAN secretariat and ASEAN as an organization. The contractor should identify specific indicators to measure institutional strengthening as it relates to technical assistance and training support provided. For the program areas identified, technical assistance and training, the contractor should identify in the work plan baseline information and indicators that will be used to track progress to strengthen ASEAN as an organization.

Article IV Deliverables and Reports

The cover page of all deliverables and reports prepared by the contractor shall include a descriptive title, the author’s name(s), the activity name, the contract and task order number, the contractor’s name, the name of the USAID Office, and the publication or issuance date of the report and be provided to the CTO. In addition the report may be published through ASEAN and should also conform to their publication requirements and clearly indicate USAID support for the report or study. All reports should contain an executive summary highlighting main findings and recommendations. The residence specialist will be responsible for the delivery of reports, studies, schedules, plans, and other documents that are described below. All written reports will be done in English. All reports and studies and other deliverables are to be presented in five hard copies and in electronic format—Microsoft word 2000.

The contractor shall provide the following deliverables

- Semi-annual work plan, based on a fiscal year, updated or modified as needed. A draft semi-annual work plan will be required within 30 days of the signing of this task order and in final within 60 days. The USAID, State EAP and ASEAN senior management will review the draft and the CTO may provide suggested changes for inclusion into the final. The contractor must include any suggested CTO changes into the final deliverable. The semi-annual work plan will include planned technical assistance for the performance period, identified policy studies and or assessments, planned training events and seminars. The work plan will identify specific task and assignments for the resident specialist, who is expected to spend the majority of his/her time providing direct technical assistance or training.
- Monthly Status Reports. On a monthly basis the Contractor shall submit a brief written status report to the USAID CTO and up to three other interested parties such as State EAP/RSP, Embassy ACP officer, and to ASEAN Secretariat management. The CTO will provide the contractor will the specific points of contact. The Monthly status reports must:

- Indicate the status of ongoing activities and progress,
 - Implement issue or problems encountered, and
 - Recommend how implementing problems might be handled or resolved.
- Quarterly reports due no later than 15 days after the close of the annual quarter. The contractor will report in greater detail on approved technical assistance and training activities, progress, accomplishments, results, and planned activities including finance status.
 - Completed policy studies and or assessments or input into ongoing ASEAN studies.
 - Trip Reports by Expatriate Short term Assistance—unless otherwise agreed upon in writing by the CTO, the contractor shall submit within 10 days after departure a report by the short term expert/consultant(s). These reports will describe progress and observations made by the expert, identify suggested issues, and describe follow-on activities and plans as it relates to the overall objective of this Task order.
 - Coordinated training events (seminars, workshops, conference, study tours, etc.) in the ASEAN region or in the U.S. and placing selected senior ASEAN participants into commercial training courses.
 - Final Report or Completion Report—no less than 15 days prior to the expiration of the Task Order, the contractor shall submit a detailed final report or completion report which highlights accomplishments as it relates to the strengthening of ASEAN, provides a final status of the activities and funding, address lessons learned during implementation and suggest ways to improve future support for ASEAN. The report must also highlight accomplishments against the work plan and provide the final status of results and activities, and identify lessons learned. Also the completion report should provide a summary of the financial expenditures and remaining balance, if any under the task order.

Article V - Personnel

The above activities will require a team of experts to provide technical assistance, enhancement and advisory support and coordinate and implement training assistance to ASEAN. USAID approval of proposed staff and staffing pattern is required. Staff will include:

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| Trade Policy/Program Spec |
| Training specialist |
| Business and Finance Spec |
| Investment Promotion Spec |
| Trade Specialist |
| Macro-economist |

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| Micro/Sector economist |
| Communication Specialist |
| Institutional Development |
| Social Scientist/Sociologist |
| Labor Specialist |
| Attorney |
| Privatization specialist |
| Financial Analyst |
| Environmental Spec. |

Article VI - Level of Effort and Qualification Requirements

The estimated level of effort by Functional Labor Categories is as follows:

| Labor Category | Qualification Level | Person Days |
|-------------------------------|----------------------------|--------------------|
| Trade Policy/Program Spec | Level 1 | 357 |
| Training specialist | Level 2 | 40 |
| Business and Finance Spec | Level 2 | 20 |
| Investment Promotion Spec | Level 2 | 20 |
| Trade Specialist* | Level 2 | 20 |
| Macro-economist | Level 2 | 20 |
| Micro/Sector economist | Level 2 | 20 |
| Communication Specialist | Level 2 | 20 |
| Institutional Development* | Level 2 | 20 |
| Social Scientist/Sociologist* | Level 2 | 20 |
| Labor Specialist* | Level 2 | 20 |
| Attorney* | Level 2 | 20 |
| Privatization specialist | Level 2 | 20 |
| Financial Analyst | Level 2 | 20 |
| Environmental Spec. | Level 2 | 20 |

* Note: Under these labor categories, support should be given to the following areas: Custom/port operations; shipping operation; counter terrorism (money laundering, counterfeiting, security, etc), human rights.

Article VII Special Instructions

- Duty Post. The duty post for this task order is Jakarta, Indonesia.
- Language Requirements Fluency in English
- Work Week. A five day work week is authorized for resident specialist and a six day work week with no premium pay is authorized for TDY specialists.

- **Logistical Support.** The contractor shall be responsible for all logistical support needed to successfully complete the contract.
- **Technical Direction.** CTO Jim Carlson, USAID/ANE/SPO, Washington, DC shall be the technical officer and provide technical direction during the performance of this task order.
- **Special Provisions.** In addition to the Cognizant Technical Officer (CTO), the contractor shall coordinate and report to USAID/RDMA, Embassy ACP Officer, and State EAP/RSP. The CTO will provide the contractor with specific delivery addresses. However, technical direction shall be provided through the CTO.
- **Access to Classified Information.** The contractor will not have access to U.S. Government classified information.