



**ASEAN-Australia-New Zealand Free Trade Area (AANZFTA)
Economic Cooperation Support Programme (AECSP)**

Request for Proposal

**Consulting Opportunity for
ASEAN Regional Guideline for the Implementation of International Standards
related to Sanitary and Phytosanitary (SPS) Measures
[AANZ-0072-SPS-05]**

PROPOSAL MUST BE RECEIVED BY 7 JUNE 2019

EMAIL PROPOSAL TO:

AANZFTA Support Unit
External Economic Relations Division
ASEAN Economic Community Department
The ASEAN Secretariat
Jakarta 12110, Indonesia
Email: ecwp@asean.org

Prepared by: AANZFTA Support Unit / FAFD
Time: 04/2019

1 EXECUTIVE SUMMARY

1. As members of the WTO, the ASEAN Member States (AMSs) are encouraged to harmonize or base their national measures on international standards, guidelines and recommendations as developed by WTO, Codex, IPPC and OIE. At this stage, some AMSs may have insufficient knowledge on the international standards when formulating their national science-based SPS measures to protect domestic food safety and animal and plant health. The AMSs are at the various stages on the practical implementation of these international standards, guidelines and recommendations.

2. This Project aims to provide assistance to AMSs to develop their national SPS standards based on international standards, guidelines and recommendations, where they exist.

3. The immediate objectives of the project are:

- a. To enhance understanding and recommend solutions about the challenges encountered by AMS in developing national SPS standards based on international standards, guidelines (IPPC, OIE, Codex); and
- b. To develop a regional guideline to assist AMS in their practical implementation of international standards related to SPS measures

4. The project is divided into two phases. Phase 1 which had been concluded, supported a study on the implementation of SPS Agreement and International Standards in ASEAN Member States (AMS) which was completed in August 2018. The report from Phase 1, titled “Review Report of the Implementation of SPS Agreement and International Standards in ASEAN Member States” highlighted the challenges faced by AMS in implementing the SPS Agreement and international standards and identified the competencies needed to address these challenges.

5. Following the recommendation of the Study (Phase I), the AANZFTA Sub Committee of Sanitary and Phytosanitary Measures (AANZFTA SC-SPS) agreed that Phase 2 shall focus on the development of ASEAN Regional Guidelines for the implementation of International Standards related to SPS Measures, covering two competencies:

- a. basic principles of the SPS Agreement are to be applied to trade policies; and
- b. risk analysis and risk management are understood and applied, where necessary.

2 SCOPE OF WORK

2.1 THE ASSIGNMENT

I. BACKGROUND

6. As members of the WTO, the AMSs are encouraged to harmonize or base their national measures on international standards, guidelines and recommendations as developed by WTO, Codex, IPPC and OIE. At this stage, some AMSs may have insufficient knowledge on the international standards when formulating their national science-based SPS measures to protect domestic food safety and animal and plant health.

7. Currently, the AMSs are at the various stages on the practical implementation of these international standards and guidelines.

8. Development of practical guidelines based on international standards, guidelines and recommendations, where they exist, could be considered as one of the means for assisting AMSs in meeting their international obligations under the WTO SPS Agreement, the Strategic Plan of Food, Agriculture and Forestry (SP-FAF) 2016-2025 and the ASEAN Economic Community Blueprint 2025.

II. PURPOSE OF THE ASSIGNMENT

9. AANZFTA is seeking the services of a team of consultants to undertake activities under the Phase 2 to develop the ASEAN Regional Guidelines for the Implementation of International Standards related to Sanitary and Phytosanitary (SPS) Measures.

III. CONSULTANT'S SCOPE OF WORK AND ACTIVITIES

10. The consultants are requested to:

- i. Develop ASEAN Regional Guideline for the implementation of basic principles of the SPS Agreement to be applied to trade policies (Competency 1):
 - A practical guideline developed based on the existing resources to enhance the understanding on the principles behind the SPS agreement;
 - Practical methods to implement the basic principles in trade policies;
 - The guideline to include step-by-step process, case studies, practical examples of good practices to meet international agreements and standards.
- ii. Develop ASEAN Regional Guidelines for the risk analysis and risk management to be understood and applied, where necessary (Competency 2):

- Practical guidelines to conduct risk analysis and risk management, developed based on various existing resources, e.g. materials from the WTO and International standard setting bodies, and training courses by some countries, e.g. Australia, New Zealand;
- The existing resources to be reviewed and if necessary tailored to meet the needs of AMS and make them more accessible;
- The guidelines to be developed specifically for each sector risk analysis: plant, animal and food safety;
- The guidelines to include step-by-step process, case studies, practical examples of good practices to meet international agreement and standards.

Each competency of ASEAN Regional Guidelines will be separated for plant health, animal health and food safety. The ASEAN Regional Guidelines to be developed using resources, including decisions of the WTO, materials issued by international standard setting bodies, and practical training courses by some countries, e.g. Australia, New Zealand. The consultant will review and, if necessary, tailor the existing resources to form the basis of new resources to further AMS understanding of the WTO SPS Agreement and risk analysis and risk management principles.

- iii. Collaborate with relevant lead AMS (Malaysia for plant health, Indonesia for animal health and Thailand for food safety) to engage them in the development of the guidelines.
- iv. Undertake consultation with relevant international organisations and standard setting bodies specifically. STDF, OIE, Codex, IPPC, and experts from Australia, New Zealand.
- v. Co-organize and facilitate the regional consultation workshop for AANZFTA Parties, international bodies to discuss, review and provide input on the guidelines.
- vi. Engage with the international organizations and standard setting bodies throughout the development of the guidelines, including seeking assistance and guidance.
- vii. Explore possible opportunities for ASEAN and AMS continued engagement with international organizations and international standard bodies (e.g. STDF, OIE, IPPC, Codex) on the use of the regional guidelines, including on the content and application of the guidelines and possible use of materials relevant to the guidelines (e.g. link to their virtual library, if any) and provide plans and recommendations on how to engage with relevant international organizations and international standard bodies to support the guidelines (including use of regional guidelines, content and application of the guidelines and use of materials relevant to the guidelines). This could be done through representatives of Parties in those organizations or standard bodies or other possible mechanisms and contacts.
- viii. Provide recommendations to ensure the sustainability of the guidelines, in terms of maintaining relevance and ensuring they link to the most up to date resources.

Key stakeholders for the ASEAN Guidelines for each competency are as follow:

- Competency 1: ASEAN Guidelines for the implementation of basic principles of the SPS Agreement to be applied to trade policies: government officials responsible for developing trade policies and overseeing their implementation.
- Competency 2: ASEAN Guidelines for the risk analysis and risk management to be understood and applied, where necessary: government officials responsible conducting risk analysis and risk management.

The following are detailed activities and time frames of the Phase 2:

	Activity Milestone	Timeframe
1.	Preparation of the Inception Report to include the approaches and methodologies to develop guidelines for each competency by the Consultant for consideration of the AMSs, Australia and New Zealand.	July 2019
2.	Development of ASEAN Guidelines for the implementation of international standards related to SPS measures covering two competencies, i.e. (i) basic principles of the SPS Agreement are to be applied to trade policies; and (ii) risk analysis and risk management are understood and applied, where necessary.	July – December 2019
2.1	Preparation of the draft Guidelines based on the recommendation from Phase 1 (Review Report) and outcomes of intersessional consultation among ASEAN, Australia and New Zealand as well as ASEC: <ul style="list-style-type: none"> ○ Submission of 1st draft of the Inception Report by the Consultant ○ Review of the 1st draft of the Inception Report by SC-SPS, ASCP ○ Submission of 2nd draft of the Inception Report by the Consultant ○ Approval of the Inception Report by the SC-SPS and ASCP 	July – August 2019
2.2	<ul style="list-style-type: none"> • Collaboration with relevant lead AMS (Malaysia, Indonesia and Thailand), Australia and New Zealand to develop draft guidelines. • Consultation, with relevant international organisations and standard setting bodies e.g. STDF, OIE, Codex, IPPC, and experts from Australia and New Zealand. 	July - August 2019
2.3	Intersessional Review <ul style="list-style-type: none"> ○ Submission of 1st draft of Guidelines by the Consultant ○ Review of the 1st draft of Guidelines by SCSPS and ASCP ○ Submission of 2nd draft of Guidelines by the Consultant 	August - September 2019
2.4	Regional workshop: to review, discuss and solicit inputs on	October 2019

	Activity Milestone	Timeframe
	the draft guidelines developed by the consultant	
2.5	Finalisation of the Guideline by the ASCP and SC-SPS (intersessionally)	October – December 2019

The consultants would be expected to complete the scope of work and activities with maximum 90 input days.

IV. EXPECTED DELIVERABLES

Consultant's Deliverables

- a. Inception report detailing the approaches and methodologies as well as work plan to develop guidelines for each competency;
- b. Agenda, materials and report of the regional workshop report;
- c. ASEAN Guidelines for the implementation of international standards related to SPS measures covering two competencies, i.e. (i) basic principles of the SPS Agreement are to be applied to trade policies; and (ii) risk analysis and risk management are understood and applied, where necessary, as in para 10(i) and 10(ii).

As part of the process of the development of the Guidelines, the Consultant(s) is expected to liaise closely with the appropriate lead AMS (Malaysia, Indonesia and Thailand), and Australia and New Zealand, and international organisations e.g. STDF, OIE, IPPC, Codex. The consultant shall make use of existing resources, including relevant policy documents, materials issued by international organizations and international standard setting bodies, and practical training courses, related to the two competencies.

2.2 QUALIFICATIONS

CONSULTANT'S QUALIFICATIONS

#	Qualification	Weight
1	Proven professional experience and comprehensive knowledge in: <ol style="list-style-type: none"> a) International SPS regulatory policy and cooperation, especially on three sectors: food safety, plant health and animal health, including its implementation aspects of the regulatory policy; b) Track records of experiences and comprehensive knowledges in the two competencies of the assignment; c) Experiences in developing practical guidelines on SPS matters; d) Experiences in ASEAN SPS; e) Facilitation and writing; f) Government service or consulting work in ASEAN/ AANZFTA is preferred but not necessary. 	40%
2	Appropriateness of proposed concept and work plan, including detail content and clear deliverables	30%
3	Qualification of proposed team members	30%

3 RFP REQUIREMENTS

3.1 PROPOSAL SUBMISSION INSTRUCTIONS

- a) Consultant must ensure that both Technical & Financial Proposals are received via email at the following address before the tender closing date **7 June 2019**.

AANZFTA Support Unit
External Economic Relations Division
ASEAN Economic Community Department
The ASEAN Secretariat
Jakarta 12110, Indonesia
Email: ecwp@asean.org

- b) All proposals must be submitted in English.
c) Consultant should indicate the Title of the Tender at the subject of the email.
d) The Technical and Finance Proposals must be submitted in two separate documents.
e) Consultant must not include any financial/cost data in the Technical Proposal, but only in the Financial Proposal.
f) The proposal should be concisely presented and structured, and should explain in detail the Consultant's availability, experience and resources to provide the requested services.
g) Proposals that are incomplete or do not address the required criteria may not be considered in the review process.

3.2 RFP TERMS & CONDITIONS

3.2.1 3.3.1 Bid Expiration Date

Received proposals shall be valid until **31 August 2019**.

3.2.2 Implementation/Delivery Schedule

- a. Contract award will be decided by the Selection Committee comprised of Co-Chairs of the AANZFTA SC-SPS.
b. Terms and reference of the contract will be negotiated by the ASEAN Secretariat.
c. In carrying out his/her assignment, the consultant or consultant team will work closely with the ASEAN Secretariat and reporting to the AANZFTA SC-SPS through the ASEAN Secretariat.
d. The timeline for hiring and initial activities of the consultant will be as follows:

Action	Deliverables	Indicative Timeline
Contracting		June/July 2019
Submission of the Inception Report	Inception Report	July 2019
Submission of 1 st draft of ASEAN Regional Guidelines	Draft ASEAN Regional Guidelines	August 2019
Regional workshop	<ul style="list-style-type: none"> • Agenda for the workshop; • Workshop materials; • Workshop facilitation; and • workshop report 	October 2019
Submission of preliminary and final ASEAN Regional Guidelines	Final ASEAN Regional Guidelines	October/November 2019

4 RESPONSE FORMAT (PROPOSAL FORMAT)

In conformance to the ASEAN Secretariat's Financial Rules and Administrative Procedures (AFARP), the Consultant shall submit the applications in **two** separate documents: Technical Proposal and Financial Proposal.

4.1 TECHNICAL PROPOSAL

The technical component should contain the following information:

- a. A brief discussion indicating the prospective Consultant's understanding of the project's purpose;
- b. A discussion of how the prospective Consultant proposes to approach the project including but not limited to methodology to undertake the assignment, list of possible reference materials and a work plan specifying the activities to be undertaken (including draft agenda or focused topics for workshop, travels per expert for each activity), an outline of the reports to be delivered, and schedule of activities, taking into account the targets to complete the undertaking;
- c. A brief summary of the prospective Consultant's expertise and knowledge in (i) three sectors: food safety, plant health and animal health; (ii) the two competencies of the assignment; (iii) developing practical guidelines on SPS matters; (iv) ASEAN SPS.

(Please provide links to the publications if available, or enclose selected publications in soft-copy in the application);

- d. Brief discussion on the consultant's or firm's past experience in undertaking similar work and brief summary of projects undertaken;
- e. Names and curriculum vitae of associates, subcontractors, personnel or employees who will be engaged in the performance of services.
- f. Complete the attached Appendix 1 and 1a - Company General Information and List of Clients; and
- g. Other information to substantiate the capacity of applicants to undertake the project.

4.2 FINANCIAL PROPOSAL

Please complete submit the financial proposal which shall include detailed cost estimates including a summary sheet indicating the unit prices; payments schedule, following Appendix 2 to this RfP.

The financial component should specify all direct and indirect costs for undertaking the project, including but not limited to:

- Professional services fee for completing all deliverables in unit cost and the number of hours/days;
- Miscellaneous charges, if applicable.

The cost of travels to support the proposed work program, as may be required and arranged by the ASEAN Secretariat, shall be borne by the Project Fund and based on actual costs.

Appendix 1

Company General Information

*(Only required for consulting firms, to be submitted as part of the **Technical Proposal**)*

Company's Legal Name:			
Division or Subsidiary (if applicable):			
Company Address:			
City:			
Province / State:			
Country:			
Postal Code:			
Telephone:			
Business Name Registration:			
Tax Registration Number:			
Valid Business Permit:			
Company Contact:		Telephone no.:	
Title / Position:		Fax no.:	
E-Mail:			
Indicate number of years involved in similar business			
Are you a subsidiary of a financial institution? *If Yes, Please indicate your Holding Company			

**Appendix 1a.
Customer Reference**

To be submitted as part of the Technical Proposal

Customer Details	
Company Name	
Company Address	
Telephone Number	
Fax Number	
Contact Name	
Project Title	
Website Link	

Customer Details	
Company Name	
Company Address	
Telephone Number	
Fax Number	
Contact Name	
Project Title	
Website Link	

Customer Details	
Company Name	
Company Address	
Telephone Number	
Fax Number	
Contact Name	
Project Title	
Website Link	

APPENDIX 2
Price and Payment Schedule
To be submitted as part of the Financial Proposal

A. PRICE

Unit: USD or AUD

No .	Description	Unit	Price (Total estimated cost)
1	Professional Services		
	- Input days for each expected output	(# of days)	
2	Other expenses		
	- Item 1		
	- Item 2		
TOTAL			

B. PROPOSED PAYMENT SCHEDULE