



# **INCEPTION REPORT SMART CITY INNOVATION FRAMEWORK AND INVESTMENT PORTFOLIO FOR THAILAND'S EASTERN ECONOMIC CORRIDOR**

MARCH, 2022



ASEAN  
AUSTRALIA  
SMART CITIES  
TRUST FUND  
Asian Development Bank



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# ABBREVIATIONS

AASCTF	ASEAN Australia Smart Cities Trust Fund
ASUS	ASEAN Sustainable Urbanization Strategy
ADB	Asian Development Bank
ASCN	ASEAN Smart Cities Network
ASEAN	Association of Southeast Asian Nations
ASUS	ASEAN Sustainable Urbanization Strategy
DFAT	Department of Foreign Affairs and Trade
EEC	Eastern Economic Corridor
EECO	Eastern Economic Corridor Office

# 1. SETTING THE STAGE



In April 2019, the Asian Development Bank (ADB) approved the establishment of the ASEAN Australia Smart Cities Trust Fund (AASCTF) under the Urban Financing Partnership Facility, with financing provided by the Government of Australia, through its Department of Foreign Affairs and Trade (DFAT). Ramboll is engaged to implement activities under the AASCTF. The AASCTF program aims to build livable, resilient, and inclusive cities across Southeast Asia, by improving vital core functions such as city planning, service delivery, and financial management. The AASCTF Task Order therefore is designed to deliver scalable benefits which are complementary with on going national, local political, and economic development processes.

The focus of this Task Order is the Eastern Economic Corridor (EEC), which is governed by the EEC-Office (EECO) and plays a critical role in accelerating the readiness to support all aspects of the 20-year National Strategy - Thailand 4.0 transformation. The aims of the National Strategy are (a) to integrate infrastructure, (b) to invest in targeted industries, (c) to create Liveable Smart Cities, and (d) to improve the area and community. The scope of the EEC is an area-based development, that focus on 3 strategic Eastern provinces and is placed as a strategic gateway to Asia. These provinces include (1) Chonburi, (2) Rayong, and (3) Chachoengsao, which together contribute to 14.5% of Thailand's total GDP. The growth is enabled through an Aerotropolis development utilising Smart technologies from the U-Tapao airport and throughout the region. Core to the EEC strategy is the ability to attract foreign investment to deliver investment opportunities within:

#### 5 Business Clusters

- EEC Financial Center and Capital Markets
- International HQ and Government Complex
- Precision Medicine Center
- Education and R&D Center
- Specific Business e.g. Smart Tech, Digital, Sports, and Recreation

#### 6 PPP Infrastructures

- Intercity Motorway
- U-Tapao International Airport and Eastern Airport City
- High-Speed Rail Linking 3 Airports
- Maptaphut Industrial Port
- Laem Chabang Port
- Double Track Railway

#### And, lastly, 7 Smart Technologies

- Smart Economy
- Smart Living
- Smart People
- Smart Government
- Smart Energy
- Smart Environment
- Smart Mobility

Key to the delivery of the EEC strategy is the development and investment of novel technologies and digitising the economy. This project will provide EEC with a framework for prioritising for investments in innovation and development to realise the desired benefits

## 2. THE PROJECT



## 2.1 OBJECTIVES AND OUTCOMES

The overall objective of the programme is to support the piloting of smart solutions to accelerate positive and transformational change. The outcomes are two-fold, which are explained in workstream 2 and workstream 3 in the workstream section. On the one hand, the project focuses on creating an assessment methodology for prioritising investments in infrastructure assets that will assist in the delivery of EEC's development plan and to access broad/international financial markets and investment vehicles. On the other hand, the project will establish a framework for a Smart Innovation Ecosystem by identifying needed institutions and elements as well as establishing the needs and initial requirements for an Innovation- and Open Data Platform to accelerate innovation in the EEC area.

## 2.2 DELIVERABLES

Below is an overview of the deliverables, which will be expanded in greater detail under each of the workstreams:

1. **Inception Report (D1)** – refers to this initial report that establishes the foundation for the following project work and describes the scope for the task order.
2. **Research Report (D2)** – refers to a report that establishes stakeholder needs, which will be a key baseline for both evaluating investment proposals in workstream 2 and for establishing a Smart Innovation Framework and the supporting platforms in workstream
3. **Review Note (D3)** – refers to note that includes the description of the assessment methodology used for prioritisation, the scoring of the proposals against co-developed criteria. In addition to the identification of the 6 shortlisted proposals and an individual review note of them. This will include their expected benefits, contribution to EECO's vision and highlighting any data and clarifications missing to inform it's delivery plan.
4. **Implementation Plan (D4)** – refers to a report that explains the implementation plan to be developed per proposal (six proposals), which will be broken down into specific actions, specifying finance options, timeframe for implementation, priority, supporting activities, etc.
5. **Infrastructure Screening Results (D5)** – a high-level summary for key decision makers at EECO based on a report (max 10 page) summarising the infrastructure screening results and recommendations.
6. **EEC Smart City Innovation Framework (D6)** – refers to a report that summarises the innovation framework as well as the stakeholder needs for innovation platforms.

## 2.3 WORKSHOPS

The above will be delivered through, or built upon, a number of workshops, including:

1. **Proposal Workshop (W1)** – refers to a workshop that review selected proposals including the finance sourcing and optioneering. Participants will be ADB/EECO and proposal owners.
2. **Desktop Study Findings Workshop (W2)** – refers to a workshop that consolidates the findings from the desktop study regarding a Smart Innovation Ecosystem. This includes local, regional, and international best practices for said innovation framework.
3. **Innovation Framework Stakeholder Consultation Workshop (W3)** – refers to a workshop that presents initial findings and builds on the Desktop Study Findings Workshop (W2) to provide a more precise innovation framework in the context of the EEC area.

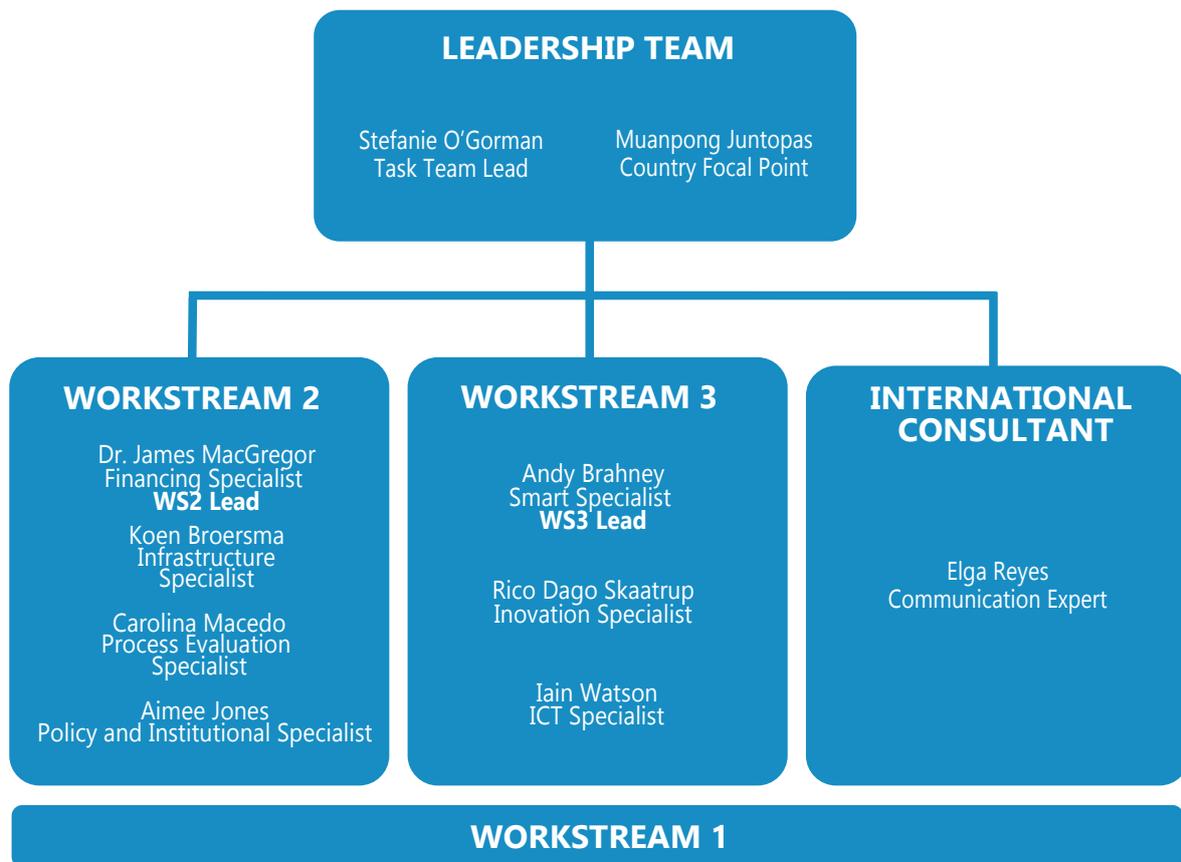
*Other than the above, stakeholder engagement workshops will be facilitated throughout Workstream 2 to get proposal-specific insights on the proposals provided from EECO.*

## 2.4 OVERALL PROJECT TIMELINE

The EECO are still waiting on cabinet approval, and this will impact the overall programme for this TO. Currently we are unable to progress on stakeholder related activities nor do we have detail of the proposals to be considered in works stream 2. The current timelines are described under each of the workstreams below and these will be revised once cabinet approval is received.

## 2.5 PROJECT TEAM

The project team consists of the project members stated in Figure 1.



**Figure 1: Project team**

Source: Ramboll



## 3. WORKSTREAM 1



### 3.1 PURPOSE

The purpose of the workstream is to identify the stakeholder demands/needs to inform other workstreams and ongoing work for accelerating growth in the EEC area. This is done through stakeholder engagement activities to support the deliverables in the other two workstreams. To facilitate this end-user research, the workstream will conduct interviews with 15 key stakeholders (TBC with EEC) who represent interested parties in the Aerotropolis development.

### 3.2 WORKSTREAM TIMELINE

Note that the workstream timeline is subject to change depending on timing of cabinet approval, which may delay the timeline. The tentative timeline is presented in Table 1.

The research planning phase includes creating survey and discussion guides for participants. As the first step in this process, the stakeholders must be identified and approved by EECO. The survey- and discussion guides will be consolidated for both workstreams to ensure that stakeholders aren't contacted twice as well as align on the questions asked. The knowledge transfer event refers to ongoing interviews and talks with global partners from e.g. Australia, Europe and the US in order to gather best practice knowledge from other areas.

Further, the key informant engagement refers to a number of interviews and engagement activities that aims to inform the research report on the actual needs from stakeholders in the area. This way, the research report will collect and combine both global best practices as well as local needs to provide a stakeholder overview, which will be mapped in the research report. This research report then informs the other workstreams as discussed in the next sections.

**Table 1: Timeline for Workstream 1. Circles refer to workshops. Triangles refer to reports.**

Workstream 1	Month Week	Feb				Mar				Apr				May				Jun					
		05	06	07	08	09	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26
Kick-Off and Scoping		●																					
Inception Report			▲		▲																		
Research Planning (Survey and Discussion Guides)																							
Knowledge Transfer Events																							
Key Informant Engagement																							
Compilation and Analysis																							
Research Report																							

### 3.3 DELIVERABLES

The deliverables include this brief inception report (D1), which sets the foundation for future work as well as a final research report (D2), which summarises the findings from the stakeholder engagement processes.

## 4. WORKSTREAM 2



## 4.1 PURPOSE

The purpose is to create an assessment methodology for prioritising investments in infrastructure assets that will assist in the delivery of EECO's development plan, consisting of an investment screening, economic and financial review, and conceptualisation of the most efficient commercial business models to support EECO's vision. Further, this workstream will guide the prioritisation of six investment proposals (assumed to be both infrastructure and non-infrastructure related) and deliver a high-level implementation plan which will aim to provide clarity on downstream work and drive the next stage of the investment delivery.

Objectives:

- Deliver investment appraisal to understand if and to what extent the investment is intended to lead to realisation of the intended benefits
- Provide a record of the decision-making process and record of the decisions made
- Ensure alignment of selected proposals with EECO's vision
- Ensure smart allocation of resources, funding, procurement and delivery of infrastructure assets

## 4.2 AMENDMENTS TO PROGRAMME TO INCLUDE INFRASTRUCTURE SCREENING

Infrastructure projects are as complex as they are critical. Under EECO's request, the scope of workstream two has been amended to include our infrastructure specialists. Building from their experience, they will be able to assess and challenge the costs and timings of the investment proposals and identify any constraints or issues that have been overlooked. Complementing the economic and financial reviews, the specialists will contribute to the prioritisation of investment proposals from a technical perspective. In addition to identify opportunities for integrated and innovative infrastructure delivery, procurement, financing routes and hence enabling the delivery of a realistic and strategic implementation plan.

## 4.3 WORKSTREAM TIMELINE

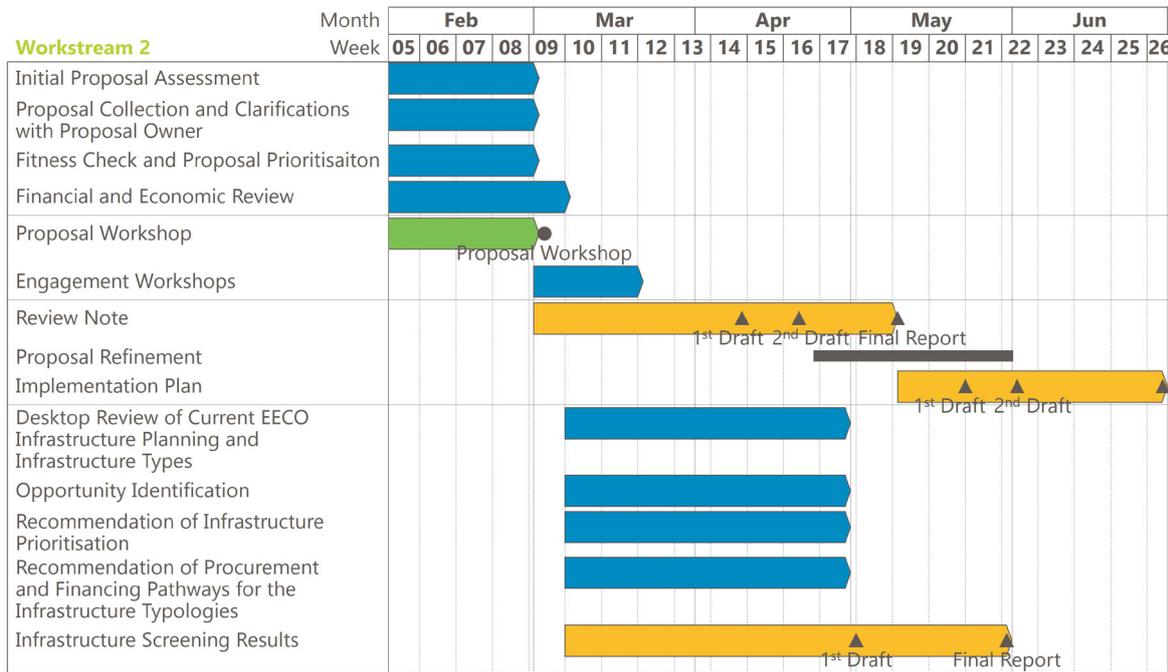
Note that the workstream timeline is subject to change depending on timing of cabinet approval, which may delay the timeline. The tentative timeline is presented in Table 2.

The research report (see Workstream 1) will help with data collection need for the proposal assessment, prioritisation and implementation plan.

The most important element to this workstream are the investment proposals. These must be in English, contain sufficient economic and financial data and it is important that there are enough proposals for which we can then develop a screening and prioritisation approach. Once these have been received, the delivery team will codevelop criteria with EECO to score the proposals and effectively rank them. The next step will be to conduct an infrastructure, financial and economic review of the shortlisted proposals. This will entail the assessment and validation of the proposals cost, the assessment of the benefits of proposals and its alignment to the EECO's vision. Generating this new information will inform better allocation of resources.

Engagement with stakeholders such as EECO officials, local government officials and the proposal owners, will be vital to provide insights on missing data but also to ensure that the approach being used is understood, just, effective, transparent and can be replicable in the future. Once the shortlisted proposals have been selected, a workshop (or a series of workshops depending on availability) will be conducted to review the approach taken. It will also be an opportunity for stakeholders to challenge and collectively agree on the prioritised investment proposals that are to be taken forward. Engagement workshops, as of when needed, will be used to get specific clarification on proposals, data and of current conditions.

**Table 2: Timeline for Workstream 2. Circles refer to workshops. Triangles refer to reports.**



### 4.4 DELIVERABLES

Ramboll have extensive expertise within these areas<sup>1</sup>. Based on the investment proposals received and other data collected, there will be three overarching deliverables:

- Infrastructure screening results:** 1 page summary as guidance for high level costing of infrastructure typologies. In addition to a report that summarises the findings from the EECO’s and local governments’ infrastructure planning and infrastructure types and opportunity identification for integrated infrastructure types.
- Review Notes (D3):** including a description of the assessment methodology used for prioritisation, the scoring of the proposals against co-developed criteria, the identification of the 6 shortlisted proposals and an individual review note of them. This will include their expected benefits, contribution to EECO’s vision and highlighting any data and clarifications missing to inform it’s delivery plan.
- Implementation Plans (D4):** 1 implementation plan to be developed per proposal (6 max). This will include broken down actions, identifying supporting activities and recommending the optimal financing, procurement and delivery options for each proposal.

<sup>1</sup> Example of relevant previous project experience:

A. **Business case and planning advisory, NEOM:** Ramboll developed procedures, software, and process for sustainable decision-making over investments in masterplans across the NEOM landscape, embedded within the Facilities Planning Division.

B. **Smart cities assessment of distributional impact of digital investments on secondary cities, Asian Development Bank:** Embedded with the Asian Development Bank through DFAT (Australia) funding, Ramboll operating as part of the Core Team on this five-year project to accelerate investments that hypothecate the poorest and the excluded across Asia. The sectoral focus was on transport, energy, and water, sanitation and health. Ramboll also lead the development of a trust fund for DFAT (Australia) in cooperation with the Asian Development Bank, with a focus on long-term economic development for medium-sized cities across Asia, using the SDG framework as indicators. This work involved identifying and putting forward recommendation on the infrastructure finance mechanisms for the entire five-year trust fund lifespan. In addition, analysis for 20 cities were conducted. The scope of these analysis covered; baseline development (regulatory and policy effectiveness, distributional impact, and environmental outcomes); potential policy improvements (e.g. developing City-specific municipal financing mechanisms, identifying investments in digital elements that are inclusive and sustainable) and designing frameworks for scale-up of solutions across all Asian cities (e.g. a focus on sustainable policies that are inclusive and sustainable).

It is important to note, that the activities and outputs of workstream 3 will complement those of workstream 2 by developing an innovation framework relevant to the sectors of the six investment proposals assessed. Therefore, these deliverables must be read and used alongside the deliverables from workstream 3.

## 4.5 INITIAL THOUGHTS

Crucial to improving strategic prioritization and enabling opportunities to access financial markets and vehicles, will be the number of proposals received and how detailed they are. It is expected that the proposals will have an infrastructure focus but not limited to it. It is also anticipated that the proposals will be of high impact that will bring significant employment, trade, clustering at the same time of improving the liability of the cities and rural areas surrounding. In addition it will be extremely valuable to understand what current procedures are in place and who is involved in decision-making.

## 4.6 EXAMPLE OF RELEVANT PREVIOUS PROJECT EXPERIENCE

1. **Business case and planning advisory, NEOM:** Ramboll developed procedures, software, and process for sustainable decision-making over investments in masterplans across the NEOM landscape, embedded within the Facilities Planning Division.
2. **Smart cities assessment of distributional impact of digital investments on secondary cities, Asian Development Bank:** Embedded with the Asian Development Bank through DFAT (Australia) funding, Ramboll operating as part of the Core Team on this five-year project to accelerate investments that hypothecate the poorest and the excluded across Asia. The sectoral focus was on transport, energy, and water, sanitation and health. Ramboll also lead the development of a trust fund for DFAT (Australia) in cooperation with the Asian Development Bank, with a focus on long-term economic development for medium-sized cities across Asia, using the SDG framework as indicators. This work involved identifying and putting forward recommendation on the infrastructure finance mechanisms for the entire five-year trust fund lifespan. In addition, analysis for 20 cities were conducted. The scope of these analysis covered; baseline development (regulatory and policy effectiveness, distributional impact, and environmental outcomes); potential policy improvements (e.g. developing City-specific municipal financing mechanisms, identifying investments in digital elements that are inclusive and sustainable) and designing frameworks for scale-up of solutions across all Asian cities (e.g. a focus on sustainable policies that are inclusive and sustainable).

# 5. WORKSTREAM 3



## 5.1 PURPOSE

The purpose of the workstream is to create a framework for innovation in the aerotropolis development, consisting of a governance model, innovation pathways and conceptualisation of a platform to support said framework.

Thus, the workstream will establish a framework for development of a smart innovation ecosystem, ensuring that there is a sustainable, economically viable operation which fosters private sector and citizen engagement. Further, it will identify the needs for an innovation- and open data platform as well as the initial requirements for such platform.

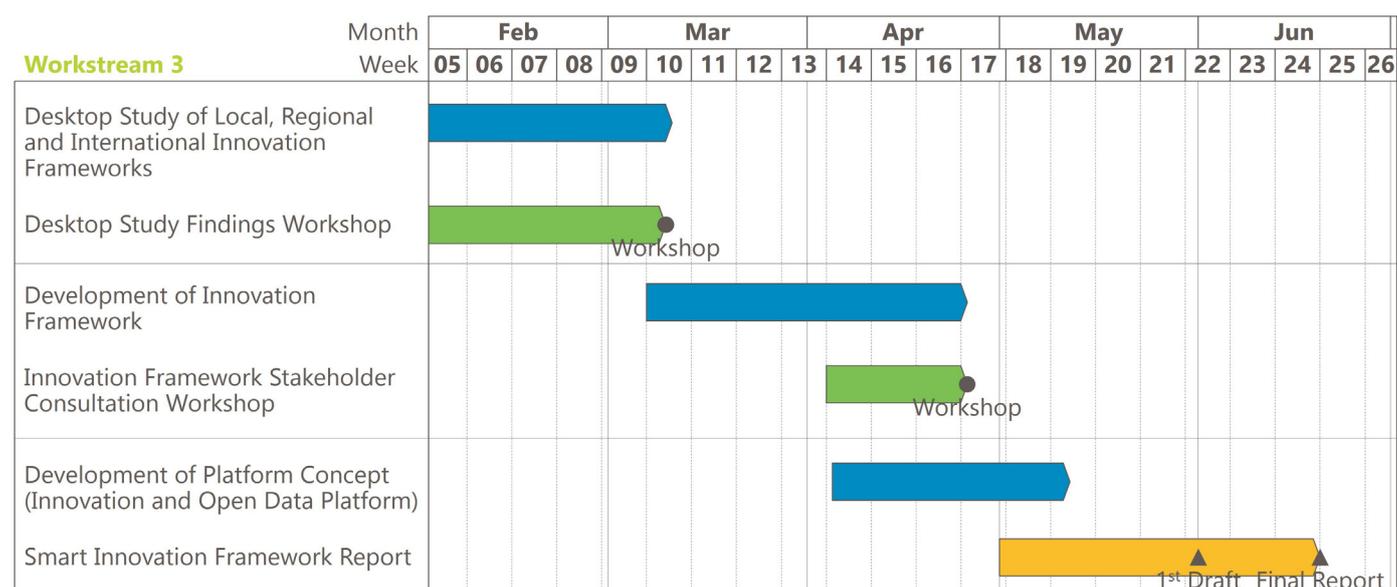
## 5.2 WORKSTREAM TIMELINE

Note that the workstream timeline is subject to change depending on timing of cabinet approval, which may delay the timeline. The tentative timeline is presented in Table 3.

The initial phase of the workstream is to gather data from a desktop study on both local, regional, and international innovation frameworks. Ultimately, this leads to a workshop where relevant parties are invited to discuss innovation frameworks. The research report (see Workstream 1) will help to identify a clear picture of the current as a framework for innovation, relevant institutions and stakeholder needs, which will be a key part of the development of the suggested innovation framework. A workshop in the end of April will invite participants from EEC/ADB to get a preliminary overview of As Is situation, the suggested innovation framework, and a suggested roadmap. This is facilitated to ensure that the actual framework that will be developed is in line with the expected outputs.

Further, this workstream will provide an overview of how innovation processes can be facilitated through an innovation platform that enables access to key resources identified by the innovation framework. This analysis includes an assessment of a potential open data feature, and, thus, how digitisation can be harnessed to improve innovation in a Smart City context.

**Table 3: Timeline for Workstream 3. Circles refer to workshops. Triangles refer to reports.**



## 5.3 DELIVERABLES

Ramboll has a great experience within the field of innovation and establishing frameworks for an innovation system<sup>2</sup>. The workstream will deliver a final report (max 30-40 pages) on the Smart City Innovation Framework and Ecosystem (Smart digital platform) (D5), which aims to underpin innovation and entrepreneurship in order to grow business focusing on the 5 Business Clusters and 7 Smart Technologies targeted in the EEC-area. The content of the report is two-fold. Firstly, a section is dedicated to explaining the developed innovation framework and how to how diverting value creation drivers for stakeholders in the innovation process. Secondly, a section explains how to strengthen the innovation environment through an innovation platform that has open data access. Potential areas to examine for the second section include (but is not limited to); identify and suggest platforms to support the innovation journey, identify governance/KPIs etc., identify how key stakeholders should have access to the website and identify areas where digital access to SMART city data underpins and supports the innovation and provide overview of need of open APIs. The "open data platform" for open data infrastructure is part of this deliverable, which serves as an initial study of requirements and vendors for such a platform as well as a strategic roadmap to acquiring and implementing such.

Core to the EEC strategy are investment opportunities within:

### 5 Business Clusters

- EEC Financial Center and Capital Markets
- International HQ and Government Complex
- Precision Medicine Center
- Education and R&D Center
- Specific Business e.g. Smart Tech, Digital, Sports, and Recreation

### And, lastly, 7 Smart Technologies

- Smart Economy
- Smart Living
- Smart People
- Smart Government
- Smart Energy
- Smart Environment
- Smart Mobility

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<sup>2</sup> **Example of relevant previous project experience:**

Ramboll has a great experience in working with innovation in different context. Other than their work for countless private clients, Ramboll has worked on building innovation frameworks similar to the deliverables for this project. This includes e.g. the previously mentioned project for NEOM, a smart city that is built from scratch, where Ramboll assisted on establishing the Oxagon Village, which will be a modern, safe, family-friendly and connected development with expansive greenery and open views offering best-in-class liveability standards in line with the NEOM pillars. The Oxagon Village will be an innovative and flexible development, offering to its community of workers, from staff to top management, a large span of residential units adjustable to their evolving need. Specifically, Ramboll worked with the client to develop a list of indicators and criteria to assess the impact of innovation and technology in infrastructure on productivity and efficiencies in terms of R&D spill overs.

## 5.4 INITIAL THOUGHTS

An innovation framework is the foundation on which individual innovation processes are built. Thus, a framework should support the innovation processes for all startups, small/large corporations, and public entities that drive innovation. As a result, it is crucial to understand which the individual processes that innovating entities go through prior to becoming a widely adopted technology. The purpose of an innovation framework is both to support incremental innovation, but also radical innovation, which has the highest barriers to acceleration but also yields the highest disruption. For this innovation framework, it is crucial that all stakeholders are considered – including how public entities promote certain types of innovation e.g. aligning with EEC's 7 Smart Technologies. Built on varying value creation between such stakeholders (see Figure 2), both the innovation framework as well as a supporting platform must ensure that interests are aligned throughout the innovation journey, leading to a complex setup. By drawing on best practices and identified stakeholder needs, the final deliverable as well as the workshops aims to simplify the setup in a Smart City context.

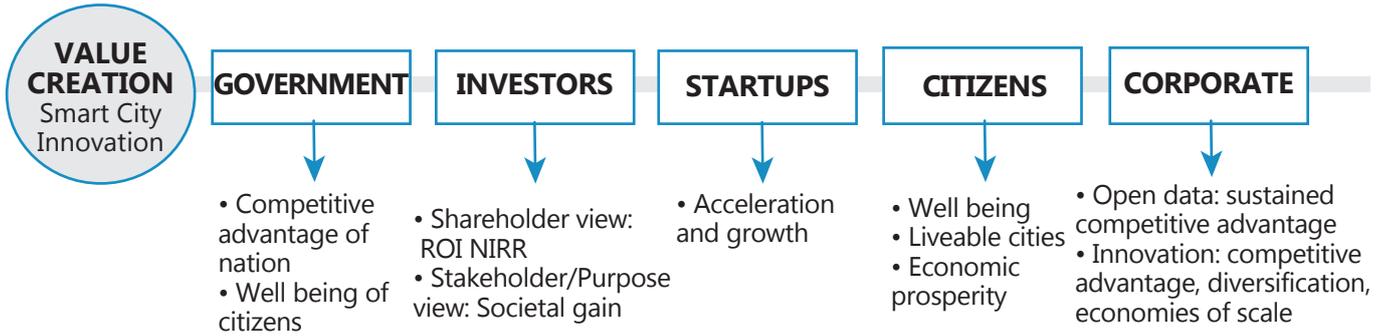
Further, initial thoughts on the stakeholder needs, enablement, impacts and benefits are illustrated in Figure 3.

## 5.5 EXAMPLE OF RELEVANT PREVIOUS PROJECT EXPERIENCE

Ramboll has a great experience in working with innovation in different context. Other than their work for countless private clients, Ramboll has worked on building innovation frameworks similar to the deliverables for this project. This includes e.g. the previously mentioned project for NEOM, a smart city that is built from scratch, where Ramboll assisted on establishing the Oxagon Village, which will be a modern, safe, family-friendly and connected development with expansive greenery and open views offering best-in-class liveability standards in line with the NEOM pillars. The Oxagon Village will be an innovative and flexible development, offering to its community of workers, from staff to top management, a large span of residential units adjustable to their evolving need.

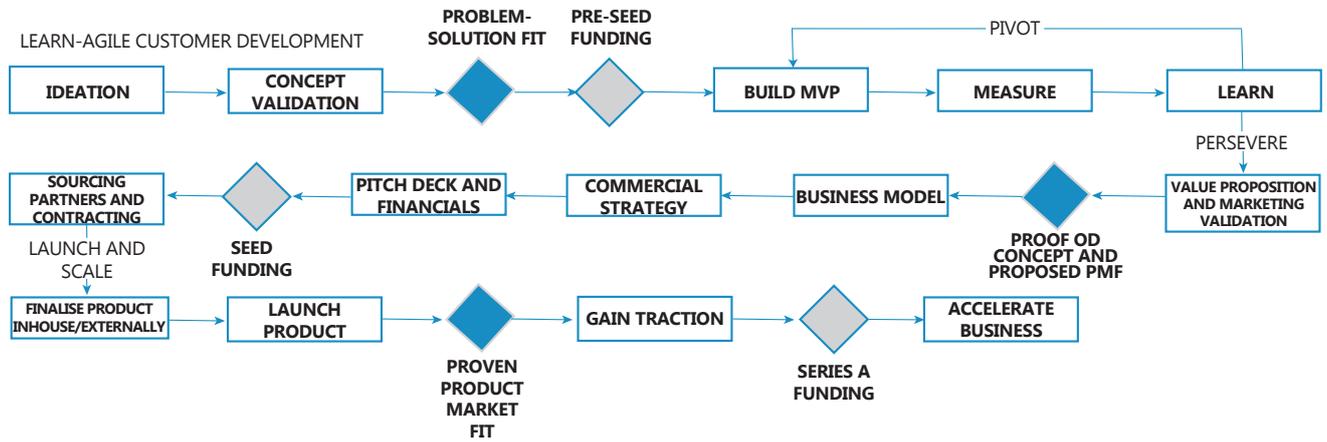
Specifically, Ramboll worked with the client to develop a list of indicators and criteria to assess the impact of innovation and technology in infrastructure on productivity and efficiencies in terms of R&D spill overs.

**Create value for vastly different stakeholders with vastly different interests by arnessing innovative frameworks**



**Identify framework that supports innovation journey**

A Framework Supports Individual Innovation Processes need to identify how the platform and framework should look in order to support innovation processes and value creation which vastly differ from stakeholder to stakeholder. By example, a typical startup goes through the following process (timing is different on a case-by-case basis):



**Deliverable is an initial study that focus on: platform requirements, overall innovation framework, open data integration**

**Figure 2: Varying Value Creation and Process Illustration**

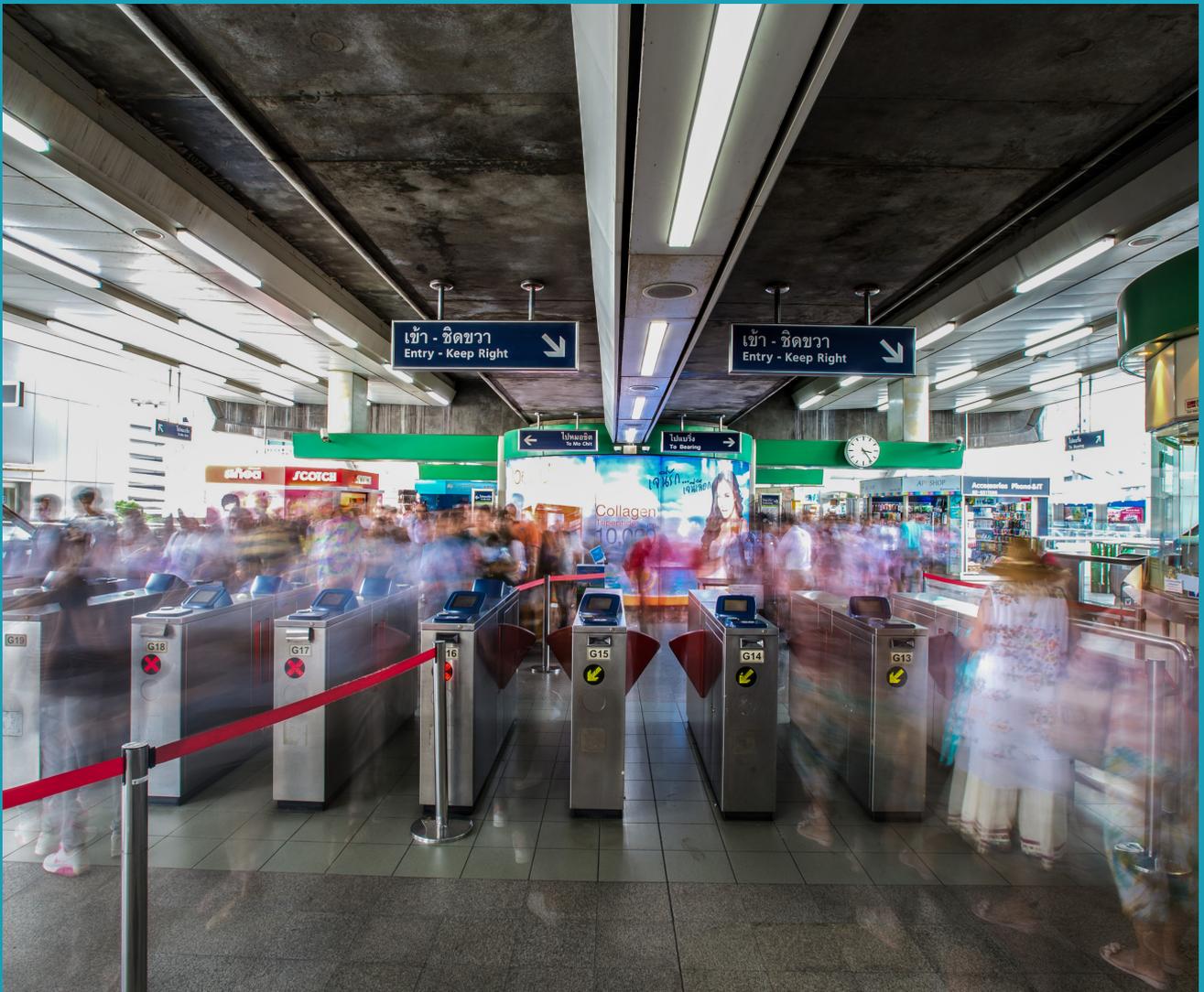
Source: Ramboll



**Figure 3: Initial Thoughts for Workstream 3**

Source: Ramboll

# 6. CONFIDENTIALITY



ADB and Ramboll will honor the confidential nature of all information/data shared by the Eastern Economic Corridor Office (EECO) in undertaking the AASCTF program. This is in line with Ramboll's confidentiality/non-disclosure clause<sup>3</sup> in the main AASCTF framework contract agreement with ADB, as shown below.

We confirm that information, images or data received from the EECO will not be published without prior approval for EEC. For workshops, capacity building and/or stakeholder engagement, the team working on the presentation/engagement will clear the content with the EECO prior to materials being disseminated.

Furthermore, Ramboll's contract with ADB is governed by English law, and, should the need for arbitration arise, such will be administered by the Singapore International Arbitration Centre (SIAC).

#### ARTICLE XIX Confidential Information

Section 19.01.      Except with ADB's prior written consent, the Consultant and the personnel do not at any time communicate to any person or entity any confidential information acquired during the Services, nor does the Consultant and the personnel make public the recommendations formulated during, or after the Services. For this section, "

confidential information" means any information or knowledge the Consultant and/or its personnel acquire from performing the Services under this Contract that is not otherwise available to the public.

## 6.1 IMPLEMENTATION ARRANGEMENTS

Executing agency:	Asian Development Bank
Implementing agency:	Eastern Economic Corridor Office of Thailand (EECO)
Implementation period:	January 2022 to June 2022

## 6.2 ADB PROJECT OFFICER

Mr. Kyaw Thu, Urban Development Specialist

<sup>3</sup> Article XIX - Confidential Information, Section 19.01 reads: "Except with ADB's prior written consent, the Consultant and the personnel do not at any time communicate to any person or entity any confidential information acquired during the Services, nor does the Consultant and the personnel make public the recommendations formulated during, or after the Services."

## **ABOUT THE ASEAN AUSTRALIA SMART CITIES TRUST FUND**

The ASEAN Australia Smart Cities Trust Fund (AASCTF) assists ASEAN cities in enhancing their planning systems, service delivery, and financial management by developing and testing appropriate digital urban solutions and systems. By working with cities, AASCTF facilitates their transformation to become more livable, resilient, and inclusive, while in the process identifying scalable best and next practices to be replicated across cities in Asia and the Pacific.

