

## Section II: Schedule of Requirements-Rev.1

### THE SOUTHEAST ASIA REGIONAL PROGRAMME ON COMBATING MARINE PLASTICS (SEA-MAP)

#### Terms of Reference

##### Regional Guidebook on Phasing Out Single-Use Plastics

**Project duration:** Q2 2024 – Q1 2025

#### 1. BACKGROUND

##### a. The SEA-MaP project

The Southeast Asia Regional Program on Combating Marine Plastics (SEA-MaP) Regional Project is funded by the World Bank. Its objective is to support the Association of Southeast Asian Nations (ASEAN) Member States (AMS) in the implementation of the [ASEAN Regional Action Plan \(RAP\) for Combating Marine Debris](#), which seeks to reduce marine plastic pollution and mitigate its negative impacts.

ASEAN implements the project through the ASEAN Secretariat (ASEC). Existing ASEAN structures and mechanisms allow collaboration and consultation across all the AMS and other partners. A Project Steering Committee (PSC) is co-chaired by the Chair of the ASEAN Working Group on Coastal Marine Environment (AWGCME) and the Deputy Secretary-General of ASEAN for the ASEAN Socio-Cultural Community (ASCC) and includes members of the AWGCME. A Project Management Unit (PMU) within ASEC provides oversight, monitoring, and reporting. More information on the project can be found in the [Project Appraisal Document \(PAD\)](#).

A Regional Implementation Support Unit (RISU) is established within the United Nations Office for Project Services (UNOPS) to assist ASEAN in project activities, providing technical support on project implementation, procurement, financial management, environmental and social compliance, and monitoring, evaluation, and reporting.

The SEA-MaP Regional Project is divided into two main components:

##### (i) Strengthening Policies and Institutions for Plastics Circularity.

The SEA-MaP Regional Project will support regional actions aligned with the ASEAN RAP. Through the development of regional guidelines, enhancement of plastics metrics and monitoring, and support for policy harmonization, the project aids in implementing the ASEAN RAP. The project's goals are designed to surpass its lifespan, aiming to strengthen regional actions and integrate them within the existing ASEAN structure, alongside fostering capacity building for decision-makers, private-sector champions, and other relevant stakeholders.

##### (ii) Establishing Regional Platforms for Innovation, Knowledge Sharing, and Partnerships.

The SEA-MaP Regional Project is committed to creating and institutionalizing Platforms for innovation, investment, knowledge sharing, and partnerships across ASEAN to address plastic pollution. These platforms, aiming to bolster sustainability, will foster collaboration with regional private-sector champions and support existing data and research networks. They are designed to promote circular economy solutions and encourage plastic reduction partnerships. Further, these platforms seek to catalyze private sector investment and support. The Platforms will provide technical assistance to plastics innovators, especially focusing on women-owned innovations, social

enterprises, and NGOs, to help turn innovative ideas into proofs of concept, pilots, and bankable business solutions.

Table 1 below outlines the deliverables of the SEA-MaP Project under each component.

**Table 1. Overview of SEA-MaP Regional Project Components and Deliverables**

Components	Deliverables
<b>Component 1: Strengthen Regional Policies and Institutions for Plastics Circularity</b>	
1.1: Supporting Regional Policy Development, Harmonization, and Implementation	<ul style="list-style-type: none"> <li>● Best Practice Manual on Standards for Plastic Packaging</li> <li>● Regional Guidebook on Standards for Responsible Plastic Waste Trade, Sorted Plastics, and Recycled Plastics</li> <li>● Regional Guidebook on Financial Mechanisms for Investments in Plastic Waste Management</li> <li>● Regional Guidebook on Phasing Out Single-Use Plastics</li> <li>● EPR Handbook and Customized Toolkit</li> </ul>
1.2: Supporting Regional Collaboration and Strengthening Monitoring Capacity	<ul style="list-style-type: none"> <li>● Regional Baseline Report (including on policies)</li> <li>● Guidebook for Common Methodologies for Assessment and Monitoring of Plastic Pollution</li> <li>● Regional Training Program on Plastic Waste Management</li> </ul>
<b>Component 2: Establish Regional Platforms to promote Innovations, Knowledge, and Partnerships for Plastics Circularity</b>	
2.1: Regional Platform for Innovation and Investments	<ul style="list-style-type: none"> <li>● Regional Platform for Innovation and Investments</li> <li>● Web Platform/ 'Marketplace' for Investments/Innovation</li> <li>● Annual Technology/Innovation Expos Sustainability Strategy</li> </ul>
2.2: Establishing a Regional Platform for Knowledge and Partnerships	<ul style="list-style-type: none"> <li>● Resource Mobilization Strategy</li> <li>● Knowledge Sharing and Training</li> <li>● High-Level Policy Dialogue and Discussion</li> <li>● Communications</li> </ul>

## **b. The assignment**

This Terms of Reference (ToR) outlines the steps needed to develop a *Guidebook for policymakers on their application for the implementation of Single Use Plastics (SUP) reduction policy measures in the AMS* (hereafter also mentioned as 'Guidebook'). The preparation of the Guidebook is expected to take place from Q2 2024 to Q4 2024, with further review and revisions within Q1 2025.

The Guidebook is an essential deliverable of the SEA-MaP Regional Project responding to Action 2 of the [ASEAN Regional Action Plan for Combating Marine Debris in the AMS \(RAP\)](#): 'to provide guiding principles for the implementation of different policy measures in the AMS to address the issue of

SUP and the root causes that have engendered the culture and habits of using single-use items, and by doing so, to support coherent progress among the AMS in reducing the amount of SUP products placed on the market, consumed and littered in the environment.’ The Guidebook will complement other knowledge products being prepared under the SEA-MaP project, such as the ‘Best Practice Manual for Development of Minimum Standards and Technical Requirements for Plastic Packaging and Labeling’ and the ‘Extended Producer Responsibility (EPR) Handbook and Customized Toolkit.’

## 2. OBJECTIVE AND OUTCOMES

**Objective:** To provide guiding principles for the implementation of different policy measures in the AMS to address the issue of SUPs and the root causes that have engendered the culture and habits of using single-use plastic products, and by doing so, to support coherent progress among the AMS in reducing the amount of SUPs placed on the market, consumed and littered in the environment.

**Outcome:** An overarching Guidebook for policymakers on the implementation of SUPs reduction policy measures in the AMS. This will encompass guiding principles backed by an analysis of current and previous policies and specific case studies. It will address policies' administrative and implementation requirements, as well as methods to assess socioeconomic implications. As mentioned in this document, the assignment will integrate its independent research with a broader body of work from SEA-MaP, WB SUP work and other sources, aiming to present a coherent and practical overarching framework in addressing the challenge of SUPs.

## 3. POINTS TO CONSIDER FOR THE DETAILED PLANNING OF THE ASSIGNMENT

- When the RAP was developed, attention was focused on SUPs that would be best addressed through being systematically phased out. However, the scope has expanded beyond these SUPs to encompass problematic and avoidable plastics, as defined in the latest Intergovernmental Negotiating Committee (INC) document (e.g., its ‘Zero Draft’). This assignment must be mindful of the ongoing INC negotiations to develop an International Legally Binding Instrument (ILBI) to address plastic, including in marine environments, which is anticipated to be adopted by the end of 2024. The ‘Zero Draft’ explicitly incorporates provisions for problematic and avoidable plastics (including short-lived and single-use plastic products), potentially covering production, sale, distribution, importing, and exporting. Despite this, the term ‘SUPs’ is retained in this ToR to align with the RAP.
- The World Bank has ongoing analytical work relating to aspects of RAP Action 2. Research is ongoing into the economic, environmental, and social impacts of SUPs policy implementation. Alongside this analytical work is an ongoing stocktaking of SUPs use and composition in the ASEAN region. The World Bank analysis is expected to result in a draft report that should be available when the work under this ToR commences. The final version is expected in Q2 of 2024. Other work will be ongoing concurrently with this ToR, for example, research on EPR and plastic packaging standards within the region. This work should not duplicate such efforts but incorporate draft findings directly into the background underlying the developed guiding principles.
- The assignment is not intended to develop novel SUPs reduction concepts or propose untested ideas for later validation. The considerations discussed in the stocktaking and examples explored on SUPs policy impact implications in the Guidebook should be carefully curated from existing case studies. There should be a particular focus on cases from the ASEAN region or those elsewhere that might be suited to adoption in the region, especially about socioeconomic considerations.
- The primary audience for these tools will be policymakers, those responsible for understanding and implementing this policy, private businesses, and other stakeholders affected by changes in SUPs usage, regulation, and disposal.

- During the stocktaking, the consultancy firm is expected to organize a consultation meeting with representatives from within the AMS to capture the needs, interests, expectations, and ideas relating to critical examples of SUPs policy and to understand how policy examples may impact different sectors of society.
- As appropriate, the consultancy firm will ensure coordination with implementing partners involved in other ongoing and soon-to-be-launched assignments within SEA-MaP (including the 'EPR Handbook and Customized Toolkit' and the 'Best Practice Manual on Standards for Plastic Packaging') as well as other related work carried out by the World Bank.

#### **4. SCOPE OF THE SERVICES TO BE PROVIDED**

##### **Task 1. Study of administrative and implementation considerations for SUP policy**

###### Task 1.1 Stocktaking analysis of key examples of SUPs policies, focusing on their administrative requirements, financial mechanisms, scope, and other relevant considerations.

This task will review existing policies relating to the production, distribution, use, and disposal of SUPs products. The focus will be on those policies that have been enacted within AMS, either nationally or at local scales. Other examples should be included where they have been implemented in similar socioeconomic contexts or where they hold particularly relevant insights or lessons.

Each review will assess the following:

- Administrative and implementation needs (including capacitive and financial needs) of the key policy in question, including but not limited to its organizational and procedural requirements, target setting, capacity and staffing needs, enforcement, and compliance, reporting and monitoring mechanisms, guidance and coordination with local government, stakeholder engagement in the design, initial implementation and ongoing management and other considerations that contribute to the policy being effective.
- Financial sustainability of the policy, including funding origin, economic impact, and potential overlap with similar projects.
- The scope (e.g. linked to a particular sector/product), timeframe, and scale of impact of a particular policy. In cases where a policy has changed, lessons may be drawn from the change's cause and impact.

Potential questions that should be looked into include, but are not limited to:

- Who are the products and value chain stakeholders related to each specific SUPs measure?
- Does the policy specifically target a particular product or class of products, or does it have a broader approach? (e.g. the agricultural sector using plastic mulch, the medical industry using hygienic packaging, the targeting of specific products such as diapers, and food retail use of protective plastic packaging and utensils).
- What are the other approaches in implementing the SUP policy such as geographical and industrial scoping?
- Was the case policy developed from a previous example or framework, and how was it adjusted for local conditions?
- How is the effectiveness of the policy assessed? Is there enforcement, and is such enforcement comprehensive or specific (e.g., to big cities and/or key targets like supermarkets)?
- Does the policy bring financial benefits (e.g., lower waste disposal costs) to the government and/or other stakeholders? Under what kind of enabling conditions does the policy bring financial benefits? Are there more comprehensive benefits to the local area and/or country, and how could these be evaluated?

Task 1.2 Stocktaking analysis of the root causes of SUPs use and considerations regarding the impacts SUPs policies have had or may have on vulnerable groups, poverty initiatives, and other aspects of wider society.

Understanding the reasons for ubiquitous SUPs use, both overall and within different sectors, is critical to developing an effective SUPs policy, being crucial to managing societal needs in any transition towards reducing or replacing SUPs. The consultancy firm is expected to develop a list of reasons identified in external research for SUPs use and analyze whether these stem from economic, cultural, or other reasons. Such reasons may include:

- Advantageous properties such as but not limited to hygiene, food freshness, being light-weight, and convenience
- Low costs for their particular purpose
- Ease of access as a flexible solution that is widely available
- Consumer behavior (habits) or cultural factors relating to value associated with a particular SUP product
- A lack of available, economical, or trusted alternatives

These may be interlinked. For example, economic incentives may determine business practices, which in turn reinforce consumer behaviors and cultural associations.

To assess the potential points of resistance to a reduction in the use of a particular SUP product, such as those related to the reasons listed above, specific notes should be made during the stocktaking process of examples where there was monitoring of the impact of changes showing unintended consequences for wider society or vulnerable demographic groups. For example, there should be awareness about how the policies affect the livelihoods of informal waste collectors, women (plastic manufacturing workers, consumers, or informal waste workers), and other vulnerable stakeholders. There should also be coverage of adaptations made to mitigate this impact on vulnerable stakeholders if such adaptations exist.

The consulting firm should be aware that there may be positive impacts to switching from SUPs that may help temper cautionary concerns. Analysis of the impact of any particular policy should consider both the objective of reducing SUPs overall and reducing the harmful effects of what SUPs have produced on the environment and local communities.

A holistic understanding of the socioeconomic implications of SUPs policies will allow policy implementers to anticipate and adapt to potential side effects or stakeholder concerns. Exploring the social equity implications of SUPs policies is key not only to allowing for measures that do not inadvertently disadvantage marginalized or economically vulnerable populations but also to eliciting broader societal buy-in to SUPs policy and, thus, to policy effectiveness.

Task 1.3 Synthesizing stocktaking learnings

- Create a general picture of the benefits and drawbacks that can result from different policy and regulatory approaches. Different case policies may have similar geographical or sectoral scopes, target stages in the SUPs' life cycle, and breadth of impact. Nonetheless, there may be common underlying administrative and implementation needs that can provide overall baseline requirements for any SUP policy.
- Note any common SUPs-reduction strategies already in place throughout the region. These include changing material composition to simpler, more reusable/recyclable materials, reducing plastic volume/layers in a particular product, redesigning packaging to be reusable/refillable, and replacing plastics with alternative materials.

- Note any particularly ambitious and comprehensive SUPs policies, along with any clear capacity gaps and needs.
- Collate and synthesize the strengths and limitations of the critical policies studied during the stocktaking research for Task 1.1 and Task 1.2. These strengths and limitations should include an explicit understanding of the interaction of administrative goals within each initiative's broad cultural and economic context.
- Identify any commonalities or general trends, as well as any widespread roadblocks, gaps, or other impediments to effective implantation which may stem from the root causes for SUPs use identified in Task 1.2, including the socioeconomic implications of SUPs policies.
- Contextualize these learnings to effectively apply in the ASEAN region, and conditions within each AMS.
- Consider good practices and key examples elsewhere that can inform policy in the ASEAN region.

## **Task 2. Developing a Guidebook for policy measures for the reduction of SUPs in the ASEAN region**

This task will be based on:

- The comprehensive stocktaking implemented in Task 1.
- Analytical work undertaken by the SEA-MaP Regional Project (i.e. the 'EPR Handbook and Customized Toolkit' and the 'Best Practice Manual on Standards for Plastic Packaging').
- Other analytical work undertaken by the World Bank.
- Other available information relating to SUP issues and management.

This Guidebook will be a pivotal reference point, synthesizing the documents above and results from related projects to address RAP Action 2. This task should be outlined in parallel with the implementation of Phase 1.

### Task 2.1 Developing guiding principles

Through data collected under Task 1, the Guidebook should establish clear principles to assist policymakers in selecting and modifying SUPs-related policies for effective application within a chosen sector or area. These principles will assist policymakers in articulating the reasons, timing, and methodologies of SUPs regulations they decide to implement. They should cover environmental, economic, health/hygiene, administrative/enforcement, and acceptance/convenience aspects.

The Guidebook should explain the rationale behind each principle, considerations to guide the interpretation and applicability of each principle and examples where consideration of the principle can be seen from the case studies collected during Task 1.1 and elucidated through Task 2.2.

These principles should be placed within a broad roadmap, guiding the AMS and the wider region towards achievable and effective policy options for SUP reduction.

### Task 2.2 Reference base and case studies

The Guidebook shall provide an overview of available knowledge, which can present a broad entry point for policymakers and guide their decisions. This will be drawing upon the stocktaking outputs relating to administrative and implementation capacity and socioeconomic considerations carried out as part of Task 1.1 and 1.2, and also consolidate and synthesize key learnings and knowledge from mentioned relevant work undertaken by SEA-MaP, World Bank, and other organizations.

Within this overall knowledge context should be a selection of key case studies, selected based on the outcomes of the stocktaking. The case studies are expected to cover topics including but not limited to:

- Existing available standards relating to SUPs identification and evaluation.
- Policy measures banning or restricting SUPs.
- Policy measures affecting plastic product life cycles, such as EPR, minimum recycling contents, and product design changes, such as cap tethering and plastic coloration.
- Transparency measures such as labeling requirements.
- Dis-incentivization measures such as consumer fees.
- Measures affecting waste collection, sorting (e.g. EPR, deposit refund schemes), and disposal
- Provisions for the regulation of SUPs within national legislation (including the potential collecting and spending of related fees).

The overarching goal is to empower the AMS to identify and implement policies to target SUP products at different stages of the plastic life cycle, with such policies and measures being tailored to local conditions and adapted to mitigate potential side effects on vulnerable demographic groups.

### Task 2.3 Information for decision-making

The Guidebook will provide guidance for policymakers towards implementing SUPs-related policy, both in terms of identifying appropriate measures and interventions and in terms of ensuring that sufficient administrative capacity is in place for the policy to be implemented effectively.

A review of case studies will provide an understanding of the administrative and implementation needs, root causes, and socioeconomic implications of SUP policies. Referring to the same case studies as in Task 2.2, if possible, the information for decision-making should include but not be limited to:

- Economic impacts.
- Environmental impacts.
- What administrative capacity is needed by the implementing regulatory/governing bodies?
- Sustainability concerns, including what financial instruments need to be in place.
- Financial costs and benefits.
- Data reporting, monitoring, and enforcement needs.
- Impacts on vulnerable groups and implications for poverty.
- Cultural or behavioral considerations creating potential obstacles and resistance (e.g., sachet culture).
- Other notable past/potential obstacles from different stakeholder groups.

### **Task 3. Stakeholder consultations**

The preparation of Task 1 and Task 2 requires stakeholder consultations to ensure the outputs are comprehensive and applicable. These consultations should engage a broad range of key stakeholders from the AMS, including from government, the private sector, and civil society, to reflect the ubiquity of SUPs.

Technical consultations will need to be held to validate the stocktaking and analysis for Task 1. Most attendees should come from the AMS, although if there are important stakeholders from outside the AMS that could provide key input, they can be invited. Key stakeholders should involve policymakers from the AMS. It is envisioned that separate consultations may be needed to discuss administrative management and to discuss socioeconomic considerations.

A government-level consultation on the Guidebook should be held when a draft is ready to be shared, which should already incorporate the key learnings from the documents mentioned in Task 2. This consultation should help to refine the proposed principles and ensure that all key documents and concepts have been considered.

In-person consultations are expected to include at least 50 participants, and at least 30 percent of representatives should be women. The bidders may consider 2 participants from each AMS and participants from the ASEC, the World Bank, and other stakeholders. Bidders need to consider a venue in the ASEAN region. While the technical consultations may take up to 2 days, the government consultation will be limited to 1 day. If necessary, bidders may also include other consultations/events as per the proposed methodology. Detailed planning for these events should be closely coordinated with the PMU and RISU. Any expenses for organizing consultations need to be reflected in the submitted budget.

### Task 3.1 Stakeholder technical consultations

- Conduct **2 technical stakeholder consultations (online/hybrid/in person)**:
  - Develop a stakeholders list that includes both government and non-government organizations from the AMS or outside that have relevance to SUPs policy implementation in the region.
  - Make necessary appointments and arrangements. Plan the location, date, time, and duration of each activity articulated in the schedule.
  - Facilitate communication between participants and organizers, including the SEA-MAP Regional Project team (PMU, ASEC, the World Bank) and other involved entities before, during, and after events. Manage invitations as appropriate.
  - Ensure a gender-balanced representation among participants and resource persons.
  - Handle ~~logistical and travel arrangements for the participants and resource persons, including per diem, accommodations, rental of venues, invitation and guest management, equipment, translation services, transportation services, and other necessary arrangements.~~
  - Prepare necessary materials for knowledge exchange, disseminate the materials to the participants, and manage any copyright clearances necessary from the owners of the materials.
  - Circulate post-event satisfaction surveys (prepared by RISU) and collect participants' feedback.
  - Compile final reports with the summary of the programs and the satisfaction survey results with recommendations. The report should include an analysis of the gender dynamics of the programs (e.g., participation rates, issues related to gender equality, and recommendations for improving gender integration in future programs).

### Task 3.2 Government consultations

The consultancy firm is expected to organize consultation meetings to ensure the findings of the stocktaking and the contents of the Guidebook effectively encompass the situation and potential in the ASEAN region.

- Bidders will organize at least ~~two technical online consultations and~~ **one government-level hybrid consultation**.
- Consultation planned and organized by the consultant should include at least 50 participants, where at least thirty percent of representatives should be women. The bidders may consider 2 participants from each AMS and participants from the ASEC, the World Bank, and other stakeholders.

- For hybrid consultation, bidders must consider a venue in the ASEAN region.
- While the online technical consultations may take up to 2 days, the government consultation will be limited to 1 day.
- Bidders may also include other consultations as per the proposed methodology. Detailed planning for these events should be closely coordinated with the PMU and the RISU.

To organize these meetings, the selected consultancy firm will be responsible for the following tasks:

- Prepare concept notes, programs, and other relevant meeting materials, including presentations in close coordination with the PMU of the SEA-MaP Regional Project, ASEC, the World Bank and UNOPS.
- Identify and invite resource persons (as needed).
- Deliver the consultation online and hybrid events in host countries:
  - Make necessary logistic arrangements (rental of venues/rooms, equipment, catering, and other necessary arrangements including IT ones; event and invitation management; when appropriate, travel arrangements for the participants and resource persons, including per diem, accommodations, and so on).
  - Liaise communication among the participants and organizers before, during, and after the events.
  - Conduct pre- and post-event surveys to collect participant feedback and summarize them.
  - Compile the final report with the event summary and the satisfaction survey with recommendations for future events. The report should include an analysis of the gender dynamics of the programs (e.g., participation rates, issues related to gender equality, and recommendations for improving gender integration in future programs).
  - Facilitate the discussions and produce meeting summaries.

The final consultation will be conducted with AMS policymakers to discuss the draft Guidebook and to provide their inputs on the following:

- Existing case studies from the ASEAN region of SUPs regulation and how the principles reflect the causes for their success.
- AMS experience in monitoring and evaluating SUPs regulations.
- AMS inputs and takeaways from the INC process regarding its impact on their SUPs policy.
- How to effectively share case studies and best practices and synergize research and learning.

Bidders must include a summary table describing all consultations and events in their proposals. The table must contain at least the following information:

Sl#	Name of the Event	Purpose	Possible Venue	# of Participants	Modalities (online/offline/hybrid)	Remarks/Other Information
1.						
2.						
3						
4						
...						

#### **Task 4. Dissemination and Awareness**

This task aims to develop a package of outreach products for disseminating easy-to-understand information that raises awareness about the environmental impact of SUPs and the benefits of reducing plastic waste. These should promote behavioral change towards sustainable consumption and waste management practices. Such products should be informed by socioeconomic stocktaking.

Communication materials targeted at policymakers should reflect and summarize key points from the Guidebook. They should provide complementary summaries and guidance for understanding and applying the Guidebook and ensure practical examples, case studies, and illustrative visuals to enhance understanding, acceptance, and buy-in.

Key presentations, including a summary PowerPoint that can be used by other stakeholders to introduce the outputs of this ToR, should provide an accessible overview of the Guidebook. Where relevant, produced material will be identified for dissemination as part of other SEA-MaP components. This should fit within the Communications and Outreach Strategy being developed by SEA-MaP and be linked where possible to the development of the Regional Platform for Knowledge and Partnership and the Regional Platform for Innovation and Investments.

#### **5. ENVIRONMENTAL AND SOCIAL RISK MANAGEMENT**

For the SEA-MaP Regional Project, an [Environmental and Social Management Framework \(ESMF\)](#) has been prepared to address environmental and social risks and impacts - associated with technical assistance supported under the Programme - following the ASEAN legal requirements and the World Bank's Environmental and Social Framework (ESF).

All outputs of this assignment must be consistent with the SEA-MaP Regional Project's ESMF, which may require regular coordination with the E&S specialists of the Project. Furthermore, outputs and recommendations should not create or result in adverse downstream impacts on the environment and society. This includes compliance with ESS3 on Resource Efficiency and Pollution Prevention and Management. Outputs and recommendations must consider downstream impacts on environmental and social aspects and, if necessary, provide mitigating measures.

Furthermore, the bidder must conduct this assignment following the ESF's labor and working conditions (ESS2), as defined in the Labor Management Procedures set out in the ESMF, including for grievance redress vis-a-vis its employees and consultants.

In dealing with stakeholders, the bidder shall be guided by the provisions of the ESMF on stakeholder engagement, including the Project Stakeholder Engagement Plan (SEP). In particular, the bidder shall give special attention to the vulnerable stakeholders to ensure they can participate and their voices are heard.

The bidder shall also comply with the World Bank Group's Environmental, Health, and Safety Stocktaking (ESHG), specifically regarding Occupational Health and Safety (OHS) and potential downstream risks and impacts from the assignment outputs.

#### **6. DELIVERABLES AND TIMELINE**

The assignment is expected to start in Q2 2024 and end in Q1 2025. By the end of each calendar quarter, a quarterly report will be shared with RISU. Required information in these reports is detailed at the bottom of the timeline table below.

The main deliverables should be produced according to the following timeline:

<p>3 weeks following onboarding and project signing</p>	<p>Inception report, including:</p> <ul style="list-style-type: none"> <li>● Detailed workplan and schedule.</li> <li>● Monthly cash-flow plan.</li> <li>● Resource plan – team structure with details of the required technical expertise, its in-house availability, and/or the process and timeframe to follow to procure it. Turnaround time for the deployment of the expert to ensure that the implementation timeline of the activities is respected. If needed, a procurement plan for services will be developed, along with the modality to be used and the completion time for each relevant item.</li> <li>● A discussion of the standard quality management methodology used to ensure that services provided will maintain consistently high levels of technical accuracy and be appropriate for the context.</li> <li>● All environmental and social risk management measures and gender considerations relevant to the activities.</li> <li>● A research plan for desk research and other access to relevant information needed for the stocktaking and the later development of a full Guidebook, including a list of initial documents and ideas.</li> <li>● Description of the internal and management assurance, control, and governance in place to ensure effective implementation oversight.</li> <li>● Project results monitoring and reporting mechanisms.</li> <li>● Any relevant constraints, assumptions, risks, issues, and mitigation plans.</li> <li>● Draft Stakeholder engagement plan (covering stakeholder mapping, engagement, and communications).</li> <li>● Broad outline of Guidebook.</li> <li>● List of potential communication tools.</li> </ul>
<p>7 weeks from project signing</p>	<ul style="list-style-type: none"> <li>● Draft the stocktaking findings and case studies relating to administrative and implementation needs.</li> <li>● Draft of the stocktaking findings and case studies relating to socioeconomic considerations for SUPs policies.</li> <li>● Targeted interviews arranged/held with select stakeholders to further buttress both stocktakings</li> </ul>
<p>10 weeks from project signing (10 weeks)</p>	<ul style="list-style-type: none"> <li>● Technical-level consultation on administration and implementation needs. The consultation report will include the list of participants, agenda, presentations, and minutes of the sessions, with decisions taken and the next steps agreed upon.</li> </ul>
<p>12 weeks from project signing</p>	<ul style="list-style-type: none"> <li>● Technical-level consultation on the socioeconomic considerations for SUP policies. The consultation report will include the list of participants, agenda, presentations, and minutes of the sessions, with decisions taken and the next steps agreed upon.</li> </ul>
<p>15 weeks from project signing</p>	<ul style="list-style-type: none"> <li>● Final stocktaking report and a complete presentation of stocktaking case studies and the resulting analysis, integrating both the administrative guidelines and the guidelines for considering socioeconomic aspects. This should synthesize any combined understandings and key considerations that will move forward into being used within the Guidebook.</li> </ul>

16 weeks from project signing	<ul style="list-style-type: none"> <li>• A detailed outline of the Guidebook, incorporating early input from the stocktaking and World Bank research documents, and a list of other sources identified that the Guidebook may draw from.</li> </ul>
21 weeks from project signing	<ul style="list-style-type: none"> <li>• First draft of the Guidebook, clearly incorporating the outcomes of the consultation meetings, and with core sections for all the mentioned parts of task 2 above.</li> <li>• Case studies in this draft guidebook should be almost fully finalized.</li> </ul>
27 weeks from project signing	<ul style="list-style-type: none"> <li>• A full draft of the Guidebook document.</li> <li>• Draft communications products to support the Guidebook, including a PowerPoint, that other stakeholders can use to explain the meaning and impact of the deliverables.</li> </ul>
30 weeks from project signing	<ul style="list-style-type: none"> <li>• Organization of a government consultation to evaluate the Guidebook document. The consultation report will include the list of participants, agenda, presentations, and minutes of the sessions, with decisions taken and the next steps agreed upon.</li> </ul>
34 weeks from project signing	<ul style="list-style-type: none"> <li>• An updated complete draft of the Guidebook document</li> <li>• Communications and dissemination output</li> </ul>
37 weeks from project signing	<ul style="list-style-type: none"> <li>• The complete deliverables will be finalized and submitted including the input from the government consultation.</li> </ul>
Quarterly Reports (5 days before the end of each calendar quarter)	<p>Quarterly Reports will highlight the progress of the project in the quarter and any significant results. The selected firm will report against the work plan and schedule as approved with the inception report. It will synthesize the main activities implemented in the quarter in consistency with the Project's ESMF, the preliminary findings, and the planned activities for implementation in the next quarter; it will also include the consultant's considerations and reflections. The final quarterly report will accompany the final deliverables.</p>

All outputs will be reviewed and approved before they can be accepted. Bidders should factor at least 2 weeks into their schedules to review each deliverable.

The project will maintain regular oversight involving quarterly implementation reviews and coordination meetings, as necessary. Bidders must prepare and submit quarterly plans and quarterly reports throughout the implementation. Bidders are advised to factor those into the work plan and budgets.

## 7. REQUIREMENTS OF THE PROJECT TEAM

7.1 The composition of the team could look as follows. A consultancy firm that prefers a different team composition should elaborate on the key qualifications and experiences needed to complete the assignment and ensure they are available successfully.

<u>Title</u>	<u>Preferred experience</u>
Team Leader and Senior Plastics Expert	<p><u>Education</u> Master's degree in a relevant discipline such as Environmental Science, Environmental Engineering, Engineering, etc., but a PhD is preferred.</p> <p><u>Work experience</u></p> <ul style="list-style-type: none"> <li>• At least fifteen years of experience in the circular economy, solid waste management, plastic-related projects, plastics issues, plastic pollution prevention, and related topics.</li> <li>• At least 5 years of experience in environmental-trade policy-related projects, preferably in Southeast Asia.</li> <li>• Proven experience with policy and/or practice concerning plastic waste management or recycling.</li> <li>• Strong communication and facilitation skills.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>• Fluency in both written and spoken English is essential.</li> </ul>
Senior Plastic Waste Disposal and Regulatory Expert	<p><u>Education</u> Master's degree or equivalent in economics, environmental economics, international trade, or related areas.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> <li>• More than 10 years of work in plastic waste management.</li> <li>• Experience in alternative packaging, EPR, and wider sustainability issues surrounding plastic products.</li> <li>• At least 5 years of professional experience in the plastic-product-related trade or a similar field, with experience in monitoring, compliance, and other related fields, preferably in Southeast Asia.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>• Fluency in both written and spoken English is essential.</li> </ul>
Associate Plastics Expert	<p><u>Education</u> Master's degree in a relevant discipline such as Environmental Science, Environmental Engineering, Engineering, etc. Experience in consumer psychology or behavioral science will be an asset.</p> <p>Two years of similar experience after achieving a bachelor's degree (within the overall period of work experience) is considered equivalent.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> <li>• 5-7 years of experience in solid waste management regulations and practices on the community level.</li> </ul>

<b>Title</b>	<b><u>Preferred experience</u></b>
	<ul style="list-style-type: none"> <li>• At least 3 years of experience in community-level plastics policy-related projects in Asia.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>• Fluency in both written and spoken English is essential.</li> </ul>
Associate Communication and Outreach Expert	<p><u>Education</u></p> <p>Master's or bachelor's degree in communication, journalism, public relations, or a related field.</p> <p><u>Work experience</u></p> <ul style="list-style-type: none"> <li>• 5-7 years of professional experience in public relations and outreach.</li> <li>• Knowledge of social media tools and their use in outreach campaigns.</li> <li>• Proven multimedia production skills and experience in graphic/video production from start to published/ printed products.</li> <li>• Proven ability to shape messages and stories for outreach use.</li> <li>• At least 3 years of professional exposure to communication and outreach activities in environmental and marine plastics-related fields.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>• Fluency in both written and spoken English is essential.</li> <li>• Excellent communication, analytical, and document drafting skills.</li> <li>• Working knowledge of Southeast Asian languages is considered an advantage.</li> </ul>
Associate Event Manager	<p><u>Education</u></p> <p>Bachelor's degree in hospitality management, marketing, or a similar field, or equivalent experience in similarly sized events.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> <li>• 2 years of experience in event planning, hosting and logistics</li> <li>• Experience with in-person, virtual, and hybrid events with international and government stakeholders</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>• Fluency in written and spoken English is essential.</li> <li>• Excellent communication and organizational skills.</li> </ul>

7.2 The bidders should also assign a Contract Manager to liaise on the non-technical part of the contract implementation, including coordination, liaising with key counterparts, and liaising with UNOPS on the invoice submission and payment-related documents.

## 8. WORKPLACE AND TRAVEL REQUIREMENTS

The project is expected to be conducted mainly as desk work and through online meetings, but will require travel for in-person large-scale consultation meetings. If a consultancy firm sees a need for additional traveling as part of the assignment, this should be indicated in their proposal, including explaining why these travels are necessary for producing the required deliverables and outcomes.

## 9. APPLICATION PROCEDURE AND SUBMISSION DEADLINE

All submissions should be made through the UNOPS e-sourcing platform. UNOPS does not accept submissions of proposals through email / other means.

## 10. FINANCIAL OFFER AND PAYMENT SCHEDULE

Bidders are expected to submit the financial offer based on their assessment of the scope of work and level of effort needed to complete the assignment. The cost should include all management and administrative overheads and any applicable fees, taxes, and insurance that may apply. All rates should be provided in USD.

Referring to the section above, quarterly reports will be submitted to UNOPS. Along with the said report, an invoice will be presented every quarter. The following table summarizes the payment schedule for this assignment:

No.	Milestone	% Payment and Timeline
1	Upon submission of the inception report	15% of the contract amount  (expected 4 weeks following the signing of the contract)
2	Upon submission of: <ul style="list-style-type: none"><li>- Contextual analysis of stocktaking</li><li>- List of case studies analyzed and to be included in the Guidebook</li><li>- The outputs of two technical level consultation meetings</li><li>- A full outline for the Guidebook</li></ul>	25% of the contract amount (expected 24 weeks following the signing of the contract)
3	A full draft of the Guidebook document	30% of the contract amount (expected 39 weeks following the signing of the contract)
4	Upon submission of: <ul style="list-style-type: none"><li>- Outputs from the government-level consultation report</li><li>- The final Guidebook</li><li>- related communications products</li></ul>	30% of the contract amount (end of the assignment, expected 50 weeks following the signing of the contract)

## 11. QUALITY MANAGEMENT

The bidder shall include a detailed discussion of the standard quality management methodology used by the firm to ensure that services provided to UNOPS will maintain consistently high levels of technical accuracy and be appropriate for the context.

## 12. SUSTAINABILITY AND GENDER

Bidders are requested to complete the DRiVE (Delivering Responsibility in Vendor Engagement) Supplier Sustainability Questionnaire. The DRiVE questionnaire is part of UNOPS' commitment to sustainability and risk management in procurement to ensure that UNOPS vendors operate

responsibly and by high standards of integrity. This supplier self-assessment questionnaire is designed to give us a better understanding of how your company manages its impact, awareness, and mitigation in these areas. The DRiVE submission is mandatory but will not be scored as part of the evaluation process. However, please note that UNOPS reserves the right to verify the completeness and accuracy of information provided as part of our due diligence process and in the spirit of fostering an open and honest dialogue and continuous improvement.

The DRiVE questionnaire covers key sustainability topics related to the bidder's operations, including:

- Environmental - such as energy reduction, promoting energy efficient and water efficient technologies, and waste management (solid waste and wastewater).
- Social - such as gender equality and inclusivity, and several women at senior level in the organization. Women-owned firms are strongly encouraged to apply.

To reduce the impact of excessive travel on the climate, services offered under this contract will limit unnecessary travel by prioritizing teleworking where possible. Where travel cannot be avoided, every effort will be made to minimize the creation of emissions. In addition, all flights will be economy class.

### 13. RESULTS FRAMEWORK

Standardized approaches to plastic management will be key aspects of wider plastics policies and overall management within the public and private spheres.

The Guidebook will provide key information to stakeholders within the ASEAN region on the information needed to understand SUP use and the considerations needed to implement SUP-related policies. It will serve as a reference to the AMS to develop and adopt standards in their respective national contexts and thus contribute to:

PDO indicator 1 - *Plastic policies, guidelines, or standards established and aligned with the ASEAN Regional Action Plan.*

The expected output will directly contribute to the Intermediate Result - *Strengthen Institutions and Regional Policies for Plastics Circularity*, specifically to:

- IR indicator 1.2 Plastics-related regional guidelines and guidebooks produced and disseminated.
- IR2.3 Percentage of beneficiaries satisfied with the engagement process in the consultations, training, seminars, and workshops.
- IR2.6 Individuals reached through online events, consultations, seminars, and workshops to support plastics-related knowledge sharing and technology transfer.

The results of the project are monitored through the below framework. In addition, the bidders may provide input indicators, as appropriate, to meet the project's output expectations and monitor results through quarterly reports.

SEA-MaP Outcome	Project Outputs	Sub-Indicators	Target	Data Source and Means of Verification
<b>PDO</b> - To strengthen plastics policies and regulatory frameworks and promote innovative solutions to help reduce plastic pollution in Southeast Asia.				

<b>Indicator</b> - PDO1 Number of plastic policies, guidelines, or standards established and aligned with the ASEAN Regional Action Plan (Number)				
<b>Intermediate Result</b> - Strengthen Institutions and Regional Policies for Plastics Circularity				
<b>Indicator</b> - IR1.2 Plastics-related regional guidelines and guidebooks produced and disseminated	The <i>Guidebook for single use plastic decision making</i>  (including Outreach/communications materials)	1.2.1 Sign-off and acceptance of the final deliverables.  1.2.2 The Guidebook is published on the ASEAN website	TRUE	Stocktaking, Guidebook, and communications outputs are present on the Knowledge Hub and/or the ASEAN website
Indicator - IR2.3 Percentage of beneficiaries satisfied with the engagement process in the consultations, training, seminars, and workshops (Percentage)	Technical- and Government-level consultations held to facilitate deliberations	2.3.1 No. of consultations held.	2 Technical	Participant Registration and Attendance records
		2.3.2 No. of participants (disaggregated by Region/ AMS, and Gender)	1 Government  30 - 50 in each consultation with 30% women (tbc)	
		2.3.3 Percentage of feedbacks received from participants	90%	Feedback Forms filled out by the participants at the end of the consultation meetings Quarterly Reports submitted by the IP
		2.3.4 Percentage of participants satisfied with the consultations	85%	

Bidders may propose additional indicators and revised targets in their Results Framework and M&E Plan, as feasible and relevant, based on the proposed plans and implementation approach.

## 14. ELIGIBILITY AND SELECTION CRITERIA

### 14.1 Eligibility and Formal Criteria

The criteria in the table below will be evaluated on a Pass/Fail basis and checked during the Preliminary Examination of the proposals.

Criteria	Documents to establish compliance with the criteria
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1. Bidder is eligible as defined in Instructions to Bidders, Article 4. In the case of JV, all JV members should fulfill this requirement.	<ul style="list-style-type: none"> <li>Form A: JV Partner Information Form, all documents as required in the Form, if a JV submits the Proposal</li> <li>Form B: Proposal Submission Form</li> </ul>
2. Completeness of the Proposal. All documents and technical documentation requested in Instructions to Bidders Article 10 have been provided and are complete	<ul style="list-style-type: none"> <li>All documentation as requested under Instructions to Bidders Article 10, Documents Comprising the Proposals</li> </ul>
3. Bidder accepts UNOPS General Conditions of Contract as specified in Section IV	<ul style="list-style-type: none"> <li>Form B: Proposal Submission Form</li> </ul>

#### 14.2 Qualification Criteria

The criteria in the table below will be evaluated on a Pass/Fail basis and checked during the Qualification Evaluation of the proposals

Criteria	Documents to establish compliance with the criteria
1. Bidders should be in the business of providing similar services in the past 3 years.  In the case of JV, at least one of the JV members should fulfill this requirement.	<ul style="list-style-type: none"> <li>Certification of incorporation of the Bidder</li> <li>Form F: Performance Statement</li> </ul>
2. Bidder must provide a minimum of two (2) customer details from which similar services have been successfully provided within any of the last 3 years	<ul style="list-style-type: none"> <li>Form F: Performance Statement</li> </ul>

#### 14.3 Technical Criteria

Technical evaluation will be carried out on bids that pass the eligibility, formal, and qualification criteria, with requirements as follows:

- The maximum number of points a bidder may obtain for the technical proposal is 80. To be technically compliant, Bidders must receive a minimum of 56 points
- Minimum pass score: 70% of maximum 80 points = 56 points

Section number/description	Points Obtainable
1 Bidder's qualification, capacity, and expertise	20
2 Key Personnel	20
3 Quality Assurance and Sustainability Requirements	10

4	Understanding of the Scope of Work and Implementation Strategy	30
Total Technical Proposal Points		80

<b>Section 1: Bidder's qualification, capacity, and expertise</b>		<b>Points</b>	<b>Sub-points</b>
1.1	Brief description of the organization, including the year and country of incorporation, and types of activities undertaken, including the relevance of specialized knowledge and experience on similar engagements done in the past.	15	
	Experience in the specific technical specialty		15
1.2	A general organizational capability will likely affect implementation: management structure and project management controls. (Max 4 pages written text)	5	
	1. Management structure, management controls		3
	2. Financial Capacity/financial stability: Bidder should have a minimum annual turnover of 500,000 USD in the past two years. The liquidity / quick ratio should be a minimum of 1 in the past two years. In the case of a JV, the annual turnover is calculated based on the total annual turnover of the JV members. In the case of a JV, at least one of the JV members should have one liquidity/quick ratio in any of the past two years.		2
Total points for section		20	

<b>Section 2: Key personnel proposed</b>		<b>Points</b>	<b>Sub-points</b>
2.1	Qualifications of Key Personnel Proposed	20	
	<p>1. Qualification of the Team Leader and Senior Plastics Waste Expert</p> <p><u>Education</u> Master's degree in a relevant discipline such as Environmental Science, Environmental Engineering, Engineering, etc., but a PhD is preferred.</p> <p><u>Work experience</u></p> <ul style="list-style-type: none"> <li>At least fifteen years of experience in the circular economy, solid waste management, plastic-related projects, plastics issues, plastic pollution prevention, and related topics.</li> <li>At least 5 years of experience in environmental-trade policy-related projects, preferably in Southeast Asia.</li> <li>Proven experience with policy and/or practice concerning plastic waste management or recycling.</li> <li>Strong communication and facilitation skills.</li> </ul>		7

<p><u>Language</u></p> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential.</li> </ul>		
<p>2. Qualification of the Senior Plastic Waste Disposal and Regulatory Expert</p> <p><u>Education</u> Master's degree or equivalent in economics, environmental economics, international trade, or related areas.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> <li>More than 10 years of work in plastic waste management.</li> <li>Experience in alternative packaging, EPR, and wider sustainability issues surrounding plastic products.</li> <li>At least 5 years of professional experience in the plastic-product-related trade or a similar field, with experience in monitoring, compliance, and other related fields, preferably in Southeast Asia.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential.</li> </ul>		6
<p>3. Qualification of the Associate Plastics Expert</p> <p><u>Education</u> Master's degree in a relevant discipline such as Environmental Science, Environmental Engineering, Engineering, etc. Experience in consumer psychology or behavioral science will be an asset.</p> <p>Two years of similar experience after achieving a bachelor's degree (within the overall period of work experience) is considered equivalent.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> <li>5-7 years of experience in solid waste management regulations and practices on the community level.</li> <li>At least 3 years of experience in community-level plastics policy-related projects in Asia.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential.</li> </ul>		4
<p>4. Qualification of the Associate Communication and Outreach Expert</p> <p><u>Education</u> Master's or bachelor's degree in communication, journalism, public relations, or a related field.</p> <p><u>Work experience</u></p> <ul style="list-style-type: none"> <li>5-7 years of professional experience in public relations and outreach.</li> <li>Knowledge of social media tools and their use in outreach campaigns.</li> </ul>		3

	<ul style="list-style-type: none"> <li>• Proven multimedia production skills and experience in graphic/video production from start to published/ printed products.</li> <li>• Proven ability to shape messages and stories for outreach use.</li> <li>• At least 3 years of professional exposure to communication and outreach activities in environmental and marine plastics-related fields.</li> </ul> <p><u>Language</u></p> <ul style="list-style-type: none"> <li>• Fluency in both written and spoken English is essential.</li> <li>• Excellent communication, analytical, and document drafting skills.</li> <li>• Working knowledge of Southeast Asian languages is considered an advantage.</li> </ul>		
Total points of the section		20	

<b>Section 3: Quality Assurance and Sustainability Requirements</b>		<b>Points</b>	<b>Sub-points</b>
3.1	Methodology of confirming accuracy and quality of submitted deliverables: discussion on quality management risks as well as mitigation plan for each of the services that the bidder proposes to offer	5	
3.2	<p>Bidder's plan to ensure gender is mainstreamed in the implementation of the project is reflected by the following: Gender balance in the composition of the team (2)</p> <p>Bidder's plan to incorporate gender equality measures during the implementation of the project (3)</p>	5	
Total points of the section		10	

<b>Section 4: Understanding the Scope of Work and Implementation Strategy</b>		<b>Points</b>	<b>Sub-points</b>
4.1	Understanding of the scope of work for the assignment	20	
4.2	Implementation plan for deploying the relevant experts for the scope of work	5	
4.3	Planned strategy for liaising with relevant stakeholders for the completion of the work	5	
Total points of the section		30	

#### **14.4 Financial Criteria (20 maximum points)**

The financial part of those proposals found to be technically compliant will be evaluated as follows.

- The maximum number of points a bidder may obtain for the Financial Proposal is 20. The maximum points will be allocated to the lowest evaluated bid. All other prices will receive points in reverse proportion according to the following formula:

- Points for the Financial Proposal of a bid being evaluated:  

$$\frac{[\text{Maximum number of points for the Financial Proposal}] \times [\text{Lowest price}]}{[\text{Price of the proposal being evaluated}]}$$
- Financial proposals will be evaluated following the completion of the technical evaluation. The bidder with the lowest evaluated cost will be awarded (20) points. Financial proposals from other bidders will receive prorated points based on the relationship of the bidder's prices to that of the lowest evaluated cost.
- Formula for computing points: Example

Points = (A/B) Financial Points
Bidder A's price is the lowest at \$20.00. Bidder A receives 20 points
Bidder B's price is \$40.00. Bidder B receives $(\$20.00/\$40.00) \times 20$ points = 10 points

- The total score obtained in technical and financial proposals will be the final score, with 80% allocated to the technical proposal and 20% to the financial proposal. The proposal obtaining the highest score will be considered the winning proposal. This proposal will be the most responsive to the needs of UNOPS regarding value for money.
- The selection of the preferred bidder will be based on a cumulative analysis, analyzing all relevant costs, risks, and benefits of each proposal throughout the whole life cycle of the services and in the context of the project as a whole. The lowest-priced proposal will not necessarily be accepted.