

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

Terms of Reference

Regional Guidebook on Standards for Responsible Plastic Waste Trade, Sorted Plastics and Recycled Plastics

Project duration: Q2 2024 – Q1 2025

1. BACKGROUND

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

2. OBJECTIVE AND OUTCOMES

The Regional Guidebook on Standards for Responsible Plastic Waste Trade, Sorted Plastics and Recycled Plastics (henceforth 'the Guidebook') is a critical outcome of the SEA-MaP regional project initiated in response to Action 3 of the ASEAN RAP, which calls to 'Develop a Regional Guidebook on Standards for Responsible Plastic Waste Trade, Sorted Plastics Waste, and Recycled Plastics'.

The Guidebook will serve as a comprehensive and encompassing reference work, offering insights and recommendations regarding various technical and regulatory aspects of responsible sorting, recycling, and trading of plastic waste within the ASEAN region. This includes but is not limited to coverage of the technical requirements necessary for establishing high-quality standards for sorted plastic waste and recycled plastics. The Guidebook will provide a comprehensive overview of the various types of plastic waste commonly traded in the region, associated risks, and trade-related challenges. It will address international and national legal frameworks governing such trade, encompassing customs requirements, compliance, and enforcement practices. The Guidebook is thoughtfully designed to function as a valuable tool to support high-quality plastic waste trading, foster markets for recyclates and sorted plastics, and aid stakeholders across the plastic value chain in enhancing the quality and safety of plastics.

Objective: To provide guiding principles and technical information needed to develop quality standards for trade in sorted plastic waste and recycled plastics to support the markets and ensure responsible plastic waste trade in the ASEAN region.

Outcome: A user-friendly guidebook that provides a detailed and methodological understanding of existing standards for the trade of sorted plastic waste and recycled plastics, and coverage of the technical and regulatory considerations needed to enhance plastic waste markets and ensure responsible plastic waste trade. The Guidebook will provide critical principles for responsible plastic waste trade, relevant technical and capacity requirements relating to plastic waste quality standards, and suggestions for harmonization across the ASEAN region.

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

- The regional Guidebook is expected to contain at least a stocktaking of existing grade classification quality and trade requirements for recycled plastic (e.g., at the international level); a definition of a mechanism for quality assurance — a procedure for proving that the grade classification and import/export requirements are met by applying test methods; and a tracking code-system for the plastics to allow enough detail to describe the quality of the plastic.
- The World Bank has ongoing analytical work on the plastics waste trade. It will conduct a stocktaking of current management technologies and capacities for plastic waste and its transboundary movement across the AMS and of the relevant authorities and agencies engaged in the plastic waste trade, which could feed into this assignment. As such, the scope of tasks to prepare the Guidebook may be refined during the inception phase to ensure complementarity.
- The assignment will not develop novel plastic trade standards or propose untested ideas for later validation. It seeks to curate existing knowledge regarding different standards and their various uses, management effectiveness, advantages, disadvantages, and needs. The focus should be on those standards and ideas in the ASEAN region or those elsewhere that might be suited to adoption in the region, including practices used by private and informal recycling industries.
- The primary audience for this guidebook will be policymakers and regulators, private businesses involved directly or in related areas such as logistics and waste management, customs officials, and other practitioners seeking to enhance plastics waste management and the waste trade to enhance sustainability in their region or nation and who would benefit from more information on practical knowledge and procedures regarding such standards in similar contexts. The focus

should be on effective implementation, including understanding and anticipating the motivations and needs of the many stakeholders, particularly recycling firms and small and medium enterprises (SMEs) whose involvement will be critical for designing understandable and applicable trade and management standards. Project materials should also be helpful and accessible for other public (trade and industry, environment ministries) and private stakeholders (e.g., ISO and other standardization organizations) interested in local, national, and regional use and potential.

- This assignment needs to be mindful of the ongoing Intergovernmental Negotiating Committee (INC) negotiations to develop an international legally binding instrument (ILBI) to address plastic – including in the marine environment – across its lifecycle. This instrument is expected to be adopted by the end of 2024. Handling plastic waste, including its sorting and recycling, is a critical aspect of plastic life cycle management, and comparative standards are a crucial part of this agreement. The zero draft of the instrument includes separate provisions for plastic products (10a) and plastic waste (10b), providing responsibilities for both exporting and importing states. This guidebook should seek to both reflect concurrent drafts and related ongoing discussions and to potentially inform the talks from the ASEAN perspective(s) and global considerations.
- As appropriate, the contractor 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’; the ‘Best Practice Manual on Standards for Plastic Packaging’; the ‘Regional Guidebook on Phasing Out Single-Use Plastics’).

4. SCOPE OF THE SERVICES TO BE PROVIDED

Task 1. Stocktaking and comparative analysis

Task 1.1 Stocktaking analysis of available global, regional, and national policies, best practices, and standards on plastic waste trade, sorted and recycled plastics.

This task will review existing global, regional, and national policies, practices, and standards to understand the plastics waste trade better, stimulate the market for recycling plastics in the ASEAN region, and help inform discussions in the INC global plastics treaty. The consultant should consider how to present the analysis results to highlight the key lessons and messages in the report. The raw information identified under the below categories can be listed in Annexes.

- Analyze global good practices and standards for plastic waste management and recycling.
 - What are the global regulations and international agreements related to plastic waste trade, and how should they be interpreted to apply to the AMS? (e.g., what impact does the Basel Amendment have on plastic trade to/from the AMS?).
 - What are the international best practices for regulatory frameworks, compliance and enforcement structures, waste labeling and traceability, and other elements of standards and the plastic waste trade?
- Analyze the regulations and the practices governing plastic waste trade, sorting, and recycling within the AMS.
 - **Regulatory Framework:** What are the existing national regulations and international agreements relevant to plastic waste trade in the AMS? How do these regulations impact the trade of plastic waste within the region?

- Map international agreements and best practices for responsible plastic waste trade enforced and applied within the ASEAN region.
- Map the existing regulations related to plastic waste trade in the AMS, including harmonized tariff nomenclature.
- **Compliance and enforcement**
 - Research how regulations and standards for plastic waste trade and recycling are enforced in the AMS.
 - Identify the governmental agencies or bodies responsible for enforcement in each AMS and analyze their structure, authority, and jurisdiction.
 - Determine how monitoring is conducted, e.g., inspections, audits, or surveillance. Understand the frequency of these checks and the criteria used.
 - Investigate what incentives exist to encourage compliance.
 - Research the data collection mechanisms, such as mandatory business reporting or periodic government surveys.
 - Understand the roles of industry associations, NGOs, and international bodies in monitoring, whistleblowing, or assisting enforcement.
 - Consider their feedback or reports, which highlight enforcement strengths or gaps.
- **Trade Practices:** What are the best practices for responsible plastic waste trade within the ASEAN region?
 - Identify the good practices for responsible plastic waste trade within the ASEAN region.
 - Take stock of the criteria for environmentally sound plastic waste management during transit and upon arrival in the AMS.
 - Identify types and categories of plastic waste that are and/or can be traded in by the AMS in line with internationally recognized standards.
 - Import and export documentation: understand the paperwork to trade recycled plastics within ASEAN. This might include licenses, permits, certifications, and product specifications.
 - Assess potential tariffs and duties applied to recycled plastics.
 - Investigate if there are specific clauses or conditions related to the trade of recycled plastics in and out of ASEAN.
 - Restrictions and bans: investigate possible restrictions or outright bans on specific types of recycled plastics.
- **Standards (recycled/sorted plastics):**
 - What are the quality standards for sorted plastics regarding material composition, cleanliness, and contamination levels?
 - Research the quality, health, and safety standards for recycled plastics in various industries, such as additives, packaging, construction, and manufacturing.
 - Identify the existing grade classification quality and trade requirements for recycled plastic. Determine how each AMS classifies these grades and the quality metrics they use.
 - Check for consistency and understanding among the AMS about regulations, practices, definitions, and terminology related to plastic waste trade, sorted plastics, and recycled plastics.

- **Labeling and Traceability:**
 - Map the regulations and procedures for tracking, documenting, and reporting plastic waste trade among the AMS.
 - Map labeling and traceability requirements for plastic waste, sorted plastics, and recycled plastics among the AMS. Where relevant, understand the compulsory labeling specifications for recycled plastics, such as indications of origin, type of plastic, grade, and potential contaminants. Look for any eco-labeling or sustainability certifications that may be applicable.
- **Stakeholder identification and engagement:**
 - Provide a stakeholder map for plastic waste trade and recycling among the AMS. Stakeholders will include government agencies, standardization bodies/regulators, and policy-makers within the AMS; plastic waste trade operators, recycling facilities and industry stakeholders; environmental NGOs, consumer organizations, community organizations, and the general public.
 - Identify the responsibilities and liabilities of stakeholders involved in the plastic waste trade chain.
 - Waste management, transport, disposal, collection, and sorting:
 - Research the infrastructure and technologies for efficient plastic waste collection, sorting, and recycling.
 - What are the usual and/or recommended practices for the disposal of non-recyclable plastic waste?
 - Identify regional/national initiatives (mandatory and voluntary) aiming to improve collection and sorting practices.
 - Prepare a stakeholder engagement strategy and plan.

Tasks 1.2 Comparative analysis on ASEAN plastic waste trade and recycling standards vis a vis international standards and good practices

Analyze the strengths and limitations of current waste trade management practices and recycling standards among the AMS compared to other international benchmarks, comparing their benefits and drawbacks, as well as their suitability to the ASEAN region. This task will address how regional and national plastic waste trade and recycling standards compare to international standards and good practices in terms of Regulatory Framework Trade Practices; Recycled Plastics Standards; Waste management, disposal, collection, sorting; Labeling and Traceability; Compliance and enforcement (are there legal challenges to implementing specific standards or practices in the region and what could be ways to overcome them based on other region's experience, where applicable?).

Task 2 Development of the Guidebook, aligned with results of stocktaking and comparative analysis and proposals for common standards

This task will be based on the comprehensive overview of a suite of global, AMS, and other relevant mandatory and voluntary standards developed in Task 1. It will be refined along with the considerations outlined above regarding the use and applicability of said standards based on the existing and predicted needs within the region, keeping in mind potential and existing specific circumstances within the ASEAN region.

The relevant principles, along with stocktaking and analysis into regulatory frameworks, current trade practices, compliance and enforcement mechanisms, and labeling and traceability standards, should help stakeholders such as industry and policymakers to identify applicable EPR frameworks and understand their benefits and limitations for their particular situation. This Guidebook and the guidance on all of the above-analyzed areas (regulatory framework, trade practices, compliance and enforcement, labeling, and traceability) will be informed and refined through consultations with the AMS governments and other regular stakeholders to generate applicable feedback to ensure comprehensive coverage (ref. to Task 3).

Task 2.1 Develop principles and technical requirements

This task will include formulating principles and technical requirements for what constitutes relevant, scientifically robust, practically applicable, and viable standards with the view to possibly adopting harmonized quality standards for recycling practices and recyclates to support quality plastic waste trade, markets of recyclates and sorted plastics and support relevant actors along the plastic value chain in their efforts to increase quality and safety in the plastics.

This could include the following, as well as other aspects identified under Task 1:

- Developing draft (regional) principles and noting requisite technical knowledge and capability for responsible plastic waste trade, sorting, and recycling to minimize marine plastic pollution:
 - Categories and specifications for sorted plastics to ensure high quality and purity.
 - Criteria and specifications for recycled plastics covering aspects like purity, composition, and mechanical properties.
 - Guidelines for collecting, separating, and sorting plastic waste to facilitate recycling.
 - Procedures for the inspection, certification, and labeling of sorted plastics.
 - Procedures for the inspection, testing, and certification of recycled plastics.
 - A mechanism for quality assurance to prove that the grade classification and import/export requirements are met by applying test methods.
 - A tracking code system for the plastics to allow enough detail to describe the quality of the plastic.
- Monitoring and Enforcement:
 - Define the roles and responsibilities of stakeholders for monitoring compliance with the standards.
 - Propose mechanisms for enforcement, including incentives for compliance.
 - Identify metrics and indicators to be used to measure progress.
- Review and Update:
 - Design mechanisms for regularly reviewing and updating the standards to reflect new knowledge, technologies, and challenges.

The task should include addressing possible risk mitigation, including:

- Engaging with and gaining the support of industry stakeholders may require extensive dialogue and the development of incentive mechanisms.
- Cross-border coordination: effective standards for plastic waste trade and recycling will require extensive cross-border coordination.

- Data availability and accuracy: reliable data on plastic waste generation, collection, sorting, recycling, and trade is crucial for developing informed standards. The availability, accessibility, and accuracy of such data might prove to be challenging.
- International trade implications: the international implications of regional standards on plastic waste trade and recycling, including trade relations with non-AMS, will need to be considered.

Task 3. Stakeholder Consultations

This task aims to share the results of Tasks 1 and 2 through online, hybrid, or in-person stakeholder consultations to help secure mutual recognition of the principles for developing standards and adopting the harmonized grade classifications and trade requirements for different polymers common for the AMS.

Two rounds of technical consultations should help refine/validate data and information obtained, ensure key stakeholders have been identified, and discuss the annotated outline of the Guidebook and/or current Guidebook draft. For these consultations, the organizers should seek to invite representatives from academe, directly involved private sector parties, regulator representatives, and others who can provide input into specific questions raised through the Guidebook. Attendees should be selected mainly from the AMS, although key representatives from elsewhere can be considered.

A governmental consultation should proceed with invited policymakers (trade and standards experts) and other representatives from the AMS and discuss the revised draft of the Guidebook along with the associated guiding principles and technical information. It should ensure the Guidebook is applicable and usable for stakeholders in the AMS and can be adopted and promoted for use by relevant bodies.

In-person consultations are expected to 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. Bidders need to consider a venue in the ASEAN region. While the technical consultations may take up to 2 days, the governmental 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. Any expenses for organizing consultations need to be reflected in the submitted budget.

Task 3.1 Stakeholder technical consultations

- Conduct 2 technical stakeholder consultations based on the agreed Stakeholder Engagement Plan:
 - Make necessary appointments and arrangements. Plan the location, date, time, and duration of each activity articulated in the schedule.
 - Liaise communication among the 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.
 - Prepare necessary materials for knowledge exchange, disseminate the materials to the participants, and manage any copyright clearances necessary from the owners of the materials.

- If appropriate, handle logistical and travel arrangements for the participants and resource persons, including per diem, accommodations, rental of venues, equipment, translation services, transportation services, and other necessary arrangements.
- Stakeholder consultations may not engage government representative; however, if the bidder considers inclusion of government representation is deemed necessary as per the design, justifications need to be provided in the proposal
- Circulate UNOPS-RISU-prepared post-event satisfaction surveys 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 Governmental consultation

The final consultation will be conducted with AMS policymakers, trade, and standard experts to discuss the revised Guidebook and provide their inputs on the following:

- AMS experiences using various standards at various scales.
- AMS experience in monitoring and evaluating applied standards.
- AMS inputs and takeaways from the INC process regarding management standards.
- Potential actions for harmonization and synergies between standards and/or indicators regarding managing plastic waste across its life cycle.

The first two bullets can already be tackled in the second stakeholder consultation involving industry and government trade and standards officials/experts.

Bidders must add a summary table describing all consultations and events. The table must contain the following information:

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

Task 4 Dissemination and Awareness:

This task aims to develop a package of outreach products for disseminating easy-to-understand information about the plastics waste trade, sorting and recycling standards, and technical requirements. It will also provide instructional manuals on how to use the Guidebook for regulators, standardization

bodies, and private sector stakeholders; how to develop case studies, provide practical examples and illustrative visuals to enhance understanding, acceptance, and buy-in for effective implementation targeted to educating consumers on responsible plastic waste management and emphasizing the role that businesses can play in promoting responsible consumption, disposal, sorting, and recycling.

Key PowerPoint presentations, including an overview, should accompany the Guidebook. Communications products should be tailored to reach different stakeholders. Where relevant, produced material should be identified for further dissemination as part of other SEA-MaP components. This should fit within a communications and outreach strategy and promote the guidebook to relevant stakeholders across AMS.

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. In addition, the ESMF ensures that Programme investments, in this case, the Guidebook, do not create or result in adverse downstream impacts on the environment and society through its technical assistance outputs.

This includes compliance with ESS3 on Resource Efficiency and Pollution Prevention and Management. Guidebook outputs and recommendations or common methodologies must consider downstream impacts on environmental and social aspects and, if necessary, provide mitigating measures.

Furthermore, the contractor 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 contractor shall be guided by the provisions of the ESMF on stakeholder engagement, including the Project Stakeholder Engagement Plan (SEP). In particular, the company shall give special attention to the vulnerable stakeholders (prominent industrial players vs. SMEs, informal workers, women) to ensure they can participate and their voices are heard.

The contractor shall also comply with the World Bank Group's Environmental, Health, and Safety Guidelines (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. Before the end of each 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:

3 weeks following onboarding and project signing	<p>Inception report, including:</p> <ul style="list-style-type: none"> • Guidebook outline. • Draft guiding principles to inform standard selection and outline technical requirements. • Detailed workplan and schedule. • Monthly cash-flow plan. • 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 turnaround time for each relevant item. • 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. • All environmental and social risk management measures and gender considerations relevant to the activities. • A research plan for desktop and other access to relevant information needed for the guidebook and the toolkit. • Description of the internal and management assurance, control, and governance in place to ensure effective implementation oversight. • Project results monitoring and reporting mechanisms. • Any relevant constraints, assumptions, risks, issues, and mitigation plans.
6 weeks from the project signing	<ul style="list-style-type: none"> • Draft stakeholder mapping, engagement, and communications plan. • List of potential communication tools.
8 weeks from project signing	<ul style="list-style-type: none"> • Results from stocktaking analysis and comparative analysis (Task 1 in draft and PowerPoint presentation format). • Draft principles and technical requirements.
15 weeks from project signing	<ul style="list-style-type: none"> • Detailed guidebook outline. • First technical-level consultation to discuss the initial findings/results of the stocktaking analysis and annotated outline of the draft principles and technical requirements conducted. The consultation's report will include the list of participants, agenda, presentations, and minutes of the sessions, with decisions taken and the next steps agreed upon.
24 weeks from project signing	<ul style="list-style-type: none"> • The first draft of the guidebook incorporates the findings from the stocktaking analysis and input from the technical consultation and other meetings with relevant stakeholders.

32 weeks from project signing	<ul style="list-style-type: none"> • A near-complete draft guidebook. While not expected to be final, it is expected to contain broadly the principles, technical information and standard requirements with some preliminary conclusions and recommendations. • Draft communication/dissemination products. • The second technical-level consultation, which will invite technical experts from government agencies (trade and standards technical/planning/policy/legal officers) to discuss the near-final draft of the stocktaking portion of the guidebook alongside a first draft of the Guidebook, is delivered and completed. • The consultation's report will include the list of participants, agenda, presentations, and minutes of the sessions, with decisions taken and the next steps agreed upon.
35 weeks from project signing	<ul style="list-style-type: none"> • Complete communications products, including PowerPoint, that other stakeholders can use to explain the meaning and impact of the deliverables. • A working draft of the guidebook, thoroughly formatted and containing all expected inputs, prepared for final consultations and comments.
42 weeks from project signing	<ul style="list-style-type: none"> • Organization of a governmental consultation for mutual recognition of standards on plastics waste trade and recycling/sorting of plastics, review of communication products, etc.
48 weeks from project signing	<ul style="list-style-type: none"> • The complete deliverables will be finalized and submitted after the governmental consultation.
Quarterly Reports (5 days before the end of each calendar quarter)	Quarterly Reports will highlight the progress of the project in the quarter and any significant cumulative results. The selected consultancy firm will report against the work plan and schedule as approved with the inception report. They will synthesize the main activities implemented in the quarter in consistency with the Project's ESME, the preliminary findings, and the planned activities for implementation in the next quarter; they will also include the consultant's considerations and reflections. The final quarterly report will accompany the final deliverables.

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 bidding company that prefers a different team composition should elaborate on the essential 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 Trade or Plastics Waste and/or Circular Economy Expert	<p><u>Education</u> Master's degree in a relevant discipline such as Environmental Science, Environmental Engineering, Engineering, etc. A PhD is a distinct asset.</p> <p><u>Work experience</u></p> <ul style="list-style-type: none"> • At least fifteen years of experience in the circular economy, solid waste management, plastic-related projects, plastics issues, plastic pollution prevention, and related topics. Experience in applying circular economy approaches to plastics. • More than 10 years of experience in international trade development, with expertise in standards classification and development and/or monitoring policies and practices of plastics waste, at least half of this time in leading positions. • At least 5 years of experience in environmental-trade policy-related projects, preferably in Southeast Asia. • Proven experience with policy and/or practice concerning plastic waste management or recycling. • Strong communication and facilitation skills. <p><u>Language</u></p> <ul style="list-style-type: none"> • Fluency in both written and spoken English is essential.
Senior Waste Trade and Regulatory Expert	<p><u>Education</u> Master's degree or equivalent in economics, environmental economics, international trade, or related areas. Five years of relevant experience after a bachelor's degree is considered equivalent.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> • More than 10 years of work in international trade-affected topics. • Experience in trading standards and their relevant indicator systems and compliance systems. • More than 10 years of experience demonstrating a solid understanding of how regulatory compliance (and other non-tariff barriers) affects good trade, including analyzing and using research data. • At least 5 years of professional experience in the plastic-product-related trade or a similar field, with expertise in monitoring, compliance, and other related areas, preferably in Southeast Asia. <p><u>Language</u></p> <ul style="list-style-type: none"> • Fluency in both written and spoken English is essential.

Associate Plastics and Circular Economy Expert	<p><u>Education</u> Master's degree in relevant disciplines such as Environmental Science, Environmental Engineering, etc. Five years of relevant experience after a bachelor's degree is considered equivalent.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> ● 5-7 years of experience in solid waste management regulations and practices, plastic-related projects, plastics issues, plastic pollution prevention, and related topics. Experience in policy/standards regulation and development in recycling and sorting plastics. ● At least 3 years of experience in environmental policy-related projects in Asia, preferably in waste management and pollution reduction. ● Familiarity with various classification and assessment methodologies related to plastics and plastic pollution. ● Experience planning and organizing stakeholder consultations, especially with industry, trade, and environment policymakers. <p><u>Language</u></p> <ul style="list-style-type: none"> ● Fluency in both written and spoken English is essential.
Associate Trade and Standards Expert	<p><u>Education</u> Master's degree or equivalent in environmental economics and/or environmental law, environmental data management/data sciences, environmental policies and strategies, and other related areas.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> ● 5-7 years of experience in environmental data analytics and statistics. ● Experience in relevant indicators and indicator systems. ● Experience with Monitoring and Evaluation tools and techniques, including analyzing and using research data. ● At least 3 years of professional experience in environmental management of waste, waste trade and standards data and information analysis, waste assessment, and other waste-related fields. Experience in Southeast Asia is an added advantage. <p><u>Language</u></p> <ul style="list-style-type: none"> ● Fluency in both written and spoken English is essential.
Associate Communication and Outreach Expert	<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"> ● 5-7 years of professional experience in public relations and outreach. ● Knowledge of social media tools and their use in outreach campaigns. ● Proven multimedia production skills and experience in graphic/video production from start to published/ printed products. ● Proven ability to shape messages and stories for outreach use.

	<ul style="list-style-type: none"> At least 3 years of professional exposure to communication and outreach activities in environmental and marine plastics-related fields. <p><u>Language</u></p> <ul style="list-style-type: none"> Fluency in both written and spoken English is essential. Working knowledge of Southeast Asian languages is considered an advantage. Excellent communication, analytical, and document drafting skills.
Associate Event Manager	<p><u>Education</u></p> <p>Bachelor's degree in hospitality management, marketing, a similar field, or equivalent experience in similarly sized events.</p> <p><u>Work Experience</u></p> <ul style="list-style-type: none"> 2 years of experience in event planning, hosting, and logistics Experience with in-person, virtual, and hybrid events with international and government stakeholders <p><u>Language</u></p> <ul style="list-style-type: none"> Fluency in written and spoken English is essential. Excellent communication and organizational skills.

7.3 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 could require travel for in-person technical consultation meetings. If a bidding company 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.

Along with the satisfactory completion of each milestone mentioned in the table below, an invoice will be presented to UNOPS. The following table summarizes the payment schedule for this assignment:

No.	Milestone	% Payment
1	Upon submission and approval of the inception report	20% of the contract amount (3 weeks after signing the contract)
2	Upon submission and approval of the guidebook outline and the first technical-level consultation report	15% of the contract amount (15 weeks after signing the contract)
3	Upon submission and approval of the near complete draft guidebook and draft communication/dissemination products, and the completion of the second technical level consultation	20% of the contract amount (32 weeks after signing the contract)
4	Organization of a governmental consultation for mutual recognition of standards on plastics waste trade and recycling/sorting of plastics, review of communication products	25% of the contract amount (42 weeks after signing the contract)
5	Upon submission of the final guidebook and communications products	20% of the contract amount (48 weeks after signing 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 guide by way of principles and technical information needed to develop quality standards for trade in plastic waste, sorted plastics, and recycled plastics to support the markets and ensure responsible plastic waste trade in the ASEAN region. 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 - The Guidebook - 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 (percentage).

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
PDO - To strengthen plastics policies and regulatory frameworks and promote innovative solutions to help reduce plastic pollution in Southeast Asia.				
Indicator - PDO1 Number of plastic policies, guidelines, or standards established and aligned with the ASEAN Regional Action Plan (Number)				
Intermediate Result - Strengthen Institutions and Regional Policies for Plastics Circularity				
Indicator - IR1.2 Plastics-related regional guidelines and guidebooks produced and disseminated	The Guidebook for Standards for Responsible Plastic Waste Trade and Standards for Sorted Plastics and Recycled Plastics	1.2.1 Sign-off and acceptance of the final deliverables. 1.2.2 The Guidebook published on the ASEAN website	TRUE	Final Report and guidebook documents are present on the ASEAN website

SEA-MaP Outcome	Project Outputs	Sub-Indicators	Target	Data Source and Means of Verification
	(including the Toolkit and Outreach/ communications materials)			
Indicator - IR2.3 Percentage of beneficiaries satisfied with the engagement process in the consultations, training, seminars, and workshops (Percentage)	Government /private sector technical consultations held to facilitate deliberations	2.3.1 No. of consultations held.	2 technical consultations	Participant Registration and Attendance records
		2.3.2 No. of participants (disaggregated by Region/ AMS, and Gender)	1 Governmental consultation Around 50 in each consultation (final numbers depending on discussion and need)	Event summary with photos
		2.3.3 Percentage of feedback received from participants 2.3.4 Percentage of participants satisfied with the consultations	90% 85%	Feedback Forms filled out by the participants at the end of the consultation meetings Quarterly Reports submitted by the IP

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
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"> Form A: JV Partner Information Form, all documents as required in the Form, if a JV submits the Proposal

	<ul style="list-style-type: none"> Form B: Proposal Submission Form
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"> All documentation as requested under Instructions to Bidders Article 10, Documents Comprising the Proposals
3. Bidder accepts UNOPS General Conditions of Contract as specified in Section IV	<ul style="list-style-type: none"> Form B: Proposal Submission Form

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
<p>1. Bidders should be in the business of providing similar services in the past 3 years.</p> <p>In the case of JV, at least one of the JV members should fulfill this requirement.</p>	<ul style="list-style-type: none"> ○ Certification of incorporation of the Bidder ○ Form F: Performance Statement
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"> • Form F: Performance Statement

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

Section 1: Bidder's qualification, capacity, and expertise		Points	Sub-points
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 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	

Section 2: Key personnel proposed	Points	Sub-points
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2.1	Qualifications of Key Personnel Proposed	20	
	1. Qualification of the Team Leader and Senior Trade or Plastics Waste and/or Circular Economy Expert		6
	2. Qualification of the Senior Waste Trade and Regulatory Expert		5
	3. Qualification of the Associate Plastics and Circular Economy Expert		3
	4. Qualification of the Associate Trade and Standards Expert		3
	5. Qualification of the Associate Communication and Outreach Expert		3
Total points of the section		20	

Section 3: Quality Assurance and Sustainability Requirements		Points	Sub-points
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	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) Bidder's plan to incorporate gender equality measures during the implementation of the project (3)	5	
Total points of the section		10	

Section 4: Understanding the Scope of Work and Implementation Strategy	Points	Sub-points
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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.