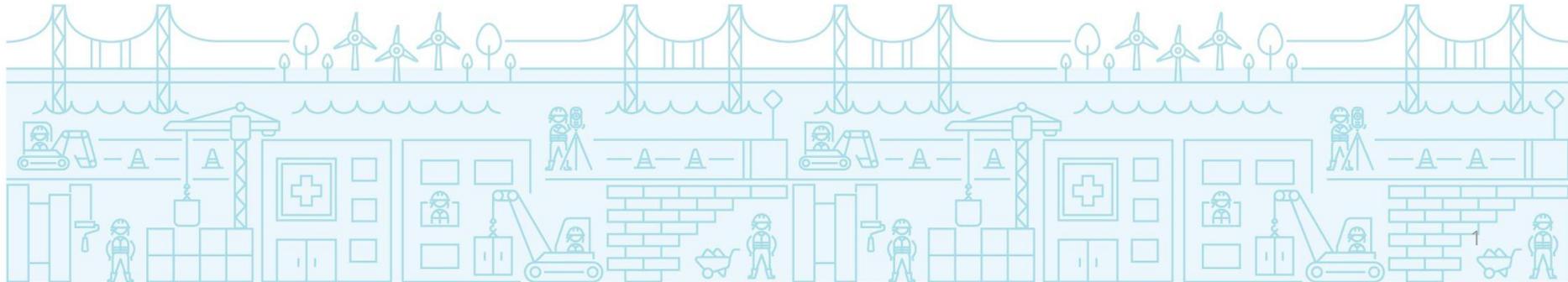




**RFP/2024/53971**

**RFP for Regional Guidebook on Financial Mechanisms for Investments  
in Plastic Waste Management for Southeast Asia Regional  
Programme on Combating Marine Plastics (SEA-MAP) Regional Project**



# 1

## UNOPS



# UNOPS ROLE AND MANDATE

UNOPS was established in **1974** as part of the United Nations Development Programme.

UNOPS became an independent organization within the UN system in **1995**.

In 2010, the UN General Assembly reaffirmed UNOPS' mandate to be:

***“A central resource for the United Nations system in procurement and contracts management as well as in civil works and physical infrastructure development, including the related capacity development activities.”***

## OUR EXPERTISE

INFRASTRUCTURE    PROCUREMENT    PROJECT MANAGEMENT  
FINANCIAL MANAGEMENT    HUMAN RESOURCES

### ADVISORY

Developing national capacity in our core mandated areas.

### TRANSACTIONAL

Providing stand-alone HR management and procurement services.

## HOW WE WORK

### IMPLEMENTATION

Implementing partners' projects efficiently and effectively with the involvement of all stakeholders.

### INVESTMENT

Contributing to early-stage investment projects to leverage high-impact transformational initiatives in support of the 2030 Agenda for Sustainable Development.

# 2

## PROJECT DETAILS



# Objectives

The four year-long WB-funded SEA-MaP Regional Project aims **to reduce plastics consumption**, increase recycling and minimize leakages to **prevent land and sea-based marine plastic pollution** in Southeast Asia.

.It strengthens plastics policies and regulatory frameworks and promotes innovative solutions to help reduce plastic pollution in Southeast Asia.

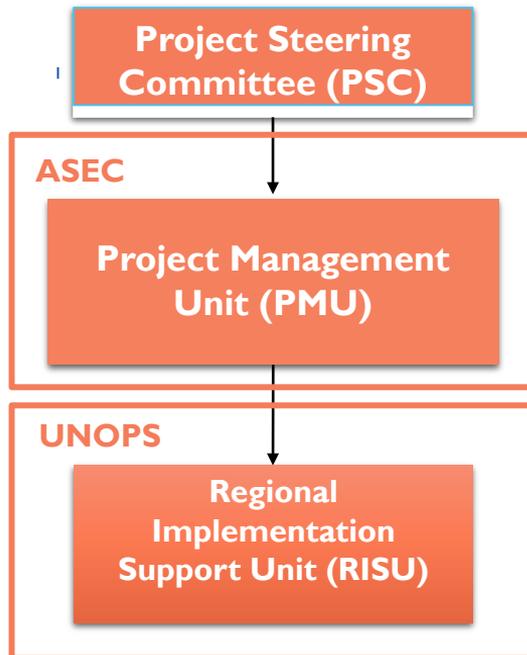
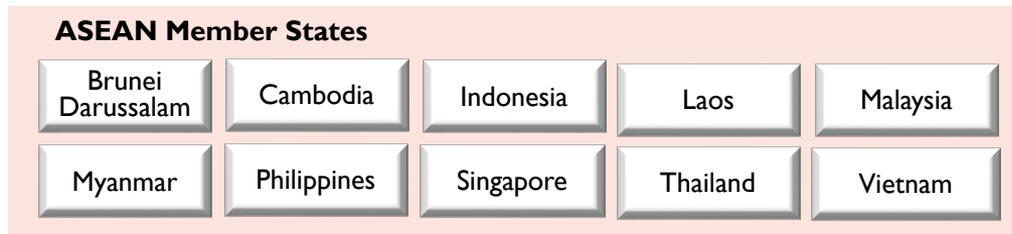
# Project Components

1. Strengthening Regional Policies and Institutions for Plastics Circularity
2. Establishing Regional Platforms to Promote Innovations, Knowledge and Partnerships for Plastics Circularity

# Implementation Arrangements

- SEA-MaP is implemented by ASEAN
- A PSC is co-chaired by the AWGCME & DSG ASCC and composed by AWGCME members/senior officials at ASEAN
- A PMU is being established within the ASEC with project oversight, monitoring, and reporting responsibilities
- ASEAN/UNOPS have signed an Outputs Agreement agreed on the functions that UNOPS executes to assist ASEAN in carrying out project activities
- The UNOPS RISU acts as the back-end technical support unit to the PMU

# Project Implementation Arrangement



# Project Deliverables

## COMPONENT 1. STRENGTHENING REGIONAL POLICIES AND INSTITUTIONS FOR PLASTICS CIRCULARITY

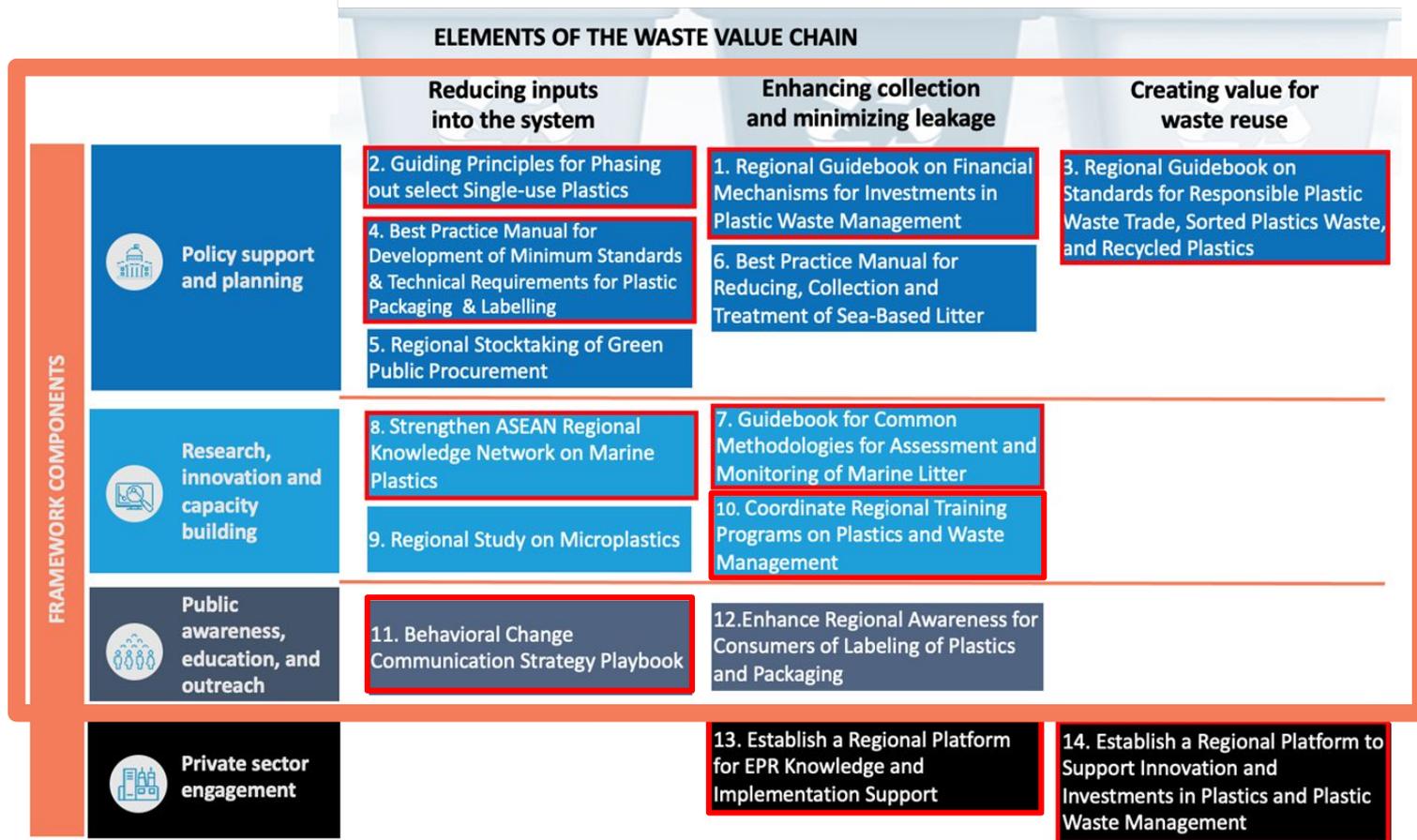
Deliverable 1	Best Practice Manual for Dev of Min Standards and Tech Req on Standards for Plastic Packaging and Labeling
Deliverable 2	Regional Guidebook on Standards for Responsible Plastic Waste Trade, Sorted Plastics, and Recycled Plastics
Deliverable 3	Regional Guidebook on Financial Mechanisms for Investments in Plastic Waste Management
Deliverable 4	Regional Guidebook on Phasing Out Single-Use Plastics
Deliverable 5	Extended Producer Responsibility (EPR) Handbook and Customized Toolkit
Deliverable 6	Regional Baseline Report (including on policies)
Deliverable 7	Guidebook for common methodologies for assessment and monitoring of plastic pollution
Deliverable 8	Regional Training Program on Plastic Waste Management

## COMPONENT 2. ESTABLISHING REGIONAL PLATFORMS TO PROMOTE INNOVATIONS, KNOWLEDGE, AND PARTNERSHIPS FOR PLASTICS CIRCULARITY

Deliverable 9	Regional Platform for Innovation and Investment
Deliverable 10	Web Platform/'Marketplace' for Investment/Innovation
Deliverable 11	Annual Technology/Innovation Expos
A	Resource Mobilization Strategy
B	Knowledge sharing/training
C	High-Level Policy Dialogue and Discussion
D	Regional behavioural change and communication playbook

# Component 1:

## Strengthen Institutions and Regional Policies for Plastics Circularity



# Regional Guidebook on Financial Mechanisms for Investment in Plastic Waste Management

**Duration:** Q3 2024 – Q2 2025

**Objective:** To provide guiding principles to AMS for promoting investments in sustainable plastic waste management in the ASEAN region through effective financial mechanisms and instruments.

**Outcome:** An overarching Guidebook for relevant policymakers and other actors on financial mechanisms that can be used to incentivize and support sustainable plastic waste management in the ASEAN region. The Guidebook will provide guiding principles relating to determining financial needs and financing options. It will specifically cover financial mechanisms and instruments, including, but not limited to, different Extended Producer Responsibility (EPR) actions, deposit refund schemes (DRS), waste collection methodology and fee options, data reporting and auditing, financial incentives on recycling and circular economy, cost recovery, blended financing schemes, direct taxation schemes, and funding pools.

# Scope of Work

## ***Task 1. Landscape analysis of existing financial mechanisms and implementation tools and policies applicable in the ASEAN region***

Sub Task 1.1: Stocktaking inventory of current regulatory and financial systems, and the performance of specific plastics-related economic sectors (e.g., producers, users / brands, retail, waste management, recycling), relating to the management of plastics throughout their lifecycle in each AMS.

Sub Task 1.2: Stocktaking of financial mechanisms that can be applied within the ASEAN region

Sub Task 1.3: Analysis of the reasons underlying the choice of mechanism, and enabling and constraining factors to implementation and success

Sub Task 1.4: Analysis of the socioeconomic impacts of collected financial mechanisms and policies

Sub Task 1.5: Synthesizing general principles

## ***Task 2. Developing the Guidebook.***

Sub Task 2.1: Elucidating guiding principles

Sub Task 2.2: Comprehensive knowledge base of good practices and case studies

Sub Task 2.3: Development of a roadmap of recommendations on the ways forward

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

## ***Task 4: Dissemination and Awareness***



# Evaluation Method

1. Preliminary Screening using Eligibility and Formal Criteria (Pass/Fail)
2. Technical Evaluation using Qualification Criteria (Pass/Fail)
3. Technical Evaluation using Technical Criteria (Numeric Score)
4. Financial Evaluation (Numeric Score)
5. Combined Analysis
6. Background Check/Due Diligence

# 1. Preliminary Screening - Eligibility & Formal Criteria

Criteria	Documents to establish compliance with the criteria
1. Bidder is eligible as defined in Instructions to Bidders, Article 4 including each member of the Joint Venture, consortium, or association and/or Subcontractor (as applicable)	<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 required Questionnaires (if any), and Returnable Bidding Forms and other documentation requested under the Document Checklist section 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: Contract Form	<ul style="list-style-type: none"><li>● Form B: Proposal Submission Form</li></ul>



## 2. Technical Evaluation - Qualification Criteria

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 and have experience in ASEAN.</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"><li>● Certification of incorporation of the Bidder</li><li>● Form F: Performance Statement</li></ul>
<p>2. Bidder must provide a minimum of two (2) customer reference (including name, email address and/ phone number of the focal point) from which similar services have been successfully provided within any of the last 3 years</p> <p>In case of a JV, the customer references of the JV members can be combined.</p>	<ul style="list-style-type: none"><li>● Form F: Performance Statement</li></ul>

# 2. Technical Evaluation - Qualification Criteria

<p>3. Financial Capacity/financial stability:</p> <ul style="list-style-type: none"><li>● <b>Minimum annual turnover:</b> USD 1,000,000 in any of the past two years.</li></ul> <p>In the case of a JV, the annual turnover is calculated based on the total annual turnover of the JV members.</p>	<ul style="list-style-type: none"><li>● Audited financial statements for the past 02 years or any other document/ statement accepted by the local government authorities in which the offeror is legally registered to provide the services.</li></ul>
<p>4. Financial Capacity/financial stability:</p> <ul style="list-style-type: none"><li>● <b>Liquidity:</b> Sufficient liquidity demonstrable by at least <u>one</u> of the following:<ul style="list-style-type: none"><li>- A current ratio (current divided assets by current liabilities) of at least 1 in any of the past 2 years.</li><li>- Access to a line of credit or bank overdraft.</li><li>- Other financial means to meet a working capital/cash flow requirement of USD 400,000 (should the bidder be selected).</li></ul></li></ul> <p>In the case of a JV, at least one of the JV members should demonstrate sufficient liquidity.</p>	<ul style="list-style-type: none"><li>● Audited financial statements for the past 02 years or any other document/ statement accepted by the local government authorities in which the offeror is legally registered to provide the services.</li></ul>



# 3. Technical Evaluation - Technical Criteria

## 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	25
3	Quality Assurance and Sustainability Requirements	10
4	Understanding of the Scope of Work and Implementation Strategy	25
Total Technical Proposal Points		80

# 3. Technical Evaluation - Technical Criteria

Section 1: Bidder's qualification, capacity, and expertise		Points	Sub-points
1.1	<p>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.</p> <p>Bidders partnering up with a South-East Asian entity to provide for the strategic consultation, translations; as well as the communications expertise is considered a valuable asset.</p>	15	
	Experience in the specific technical specialty.		5
	At least 5-years' experience in working in Southeast Asia.		5
	Demonstrates an ability to engage with ASEAN stakeholders for information gathering and dissemination.		5
1.2	A general organizational capability will likely affect implementation: management structure and project management controls. (Max 4 pages written text)	5	
	Management structure, management controls for this project, and the extent to which any part would be subcontracted. In case of JV, there is a clear designation of the roles and responsibilities between JV members.		5
Total points for section		20	

Section 2: Key personnel proposed		Points	Sub-points
2.1	Qualifications of Key Personnel Proposed aligned with the Terms of Reference	25	
	1. Qualification of the Team Leader		8
	2. Qualification of the Senior Plastics Waste Expert		6
	3. Qualification of the Senior Finance Expert		6
	4. Qualification of the Communication and Outreach Expert		5
Total points of the section		25	

# 3. Technical Evaluation - Technical Criteria

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, including clear process flow between the experts and JV members (if relevant).	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	

# 3. Technical Evaluation - Technical Criteria

<b>Section 4: Understanding the Scope of Work and Implementation Strategy</b>		<b>Point s</b>	<b>Sub-point s</b>
4.1	Understanding of the scope of work for the assignment to offer AMS guiding principles for encouraging investments in sustainable plastic waste management across the ASEAN region by utilizing effective financial mechanisms and tools.	10	
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 and description of the offeror's approach to obtaining the buy-in from the ASEAN member states on the direction and approaches to developing the report(s).	5	
4.4	Description of the offeror's approach to developing communications materials, conducting consultations, and dissemination based on the Term of Reference	5	
Total points of the section		25	

# 4. Financial Evaluation

The maximum number of points that a bidder may obtain for the Financial Proposal is 20. The maximum number of points will be allocated to the lowest evaluated price 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 =

$$\frac{[\text{Maximum number of points for the Financial Proposal}] \times \{\text{Lowest price}\}}{[\text{Price of proposal being evaluated}]}$$

**Financial proposals will be evaluated following completion of the technical evaluation. Only the proposals pass the minimum point in the technical evaluation, will be opened on this stage.**

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.

# 5. Combined Analysis

Combination of total Technical + total Financial Score will be used to select the firm.

The weight of technical : financial offer is 80:20

## 6. Background Check/Due Diligence

Upon completion of the evaluation and prior to contract award, UNOPS shall conduct background checks/due diligence on the offeror recommended for award, to confirm that the offeror meets the criteria set forth in this RFP or as appropriate to the nature of the procurement process.

**UNOPS may reject an offeror's proposal on the basis of the findings.**

# Anticipated Timeline for the procurement



# Common Issues from Past Submissions

No	Issue	Impact	Tips to prevent the issue
1.	Bidder fails to submit complete information. Critical documents such as price schedule, any components of the technical proposal is missing	Bidder will be disqualified	Please ensure you submit all the documents. Please double check the checklist of the document in the system prior to making submission.
2.	Bidder submit the <b>financial proposal</b> along with the technical proposals and its supporting documents for RFP	Bidder will be disqualified	Please double check the checklist of the document in the system prior to making submission. There are different tabs under Vendor Submission tab to upload the financial offer for RFP tender. Please ensure not to put any indication of financial offer in the technical envelope.
3.	Bidder has tried to submit through the system, but there was no sufficient time to submit and the deadline pass before bidder can click "submit"	Submission will not be accepted	Please start your submission process as early as possible. Start by checking whether your company is registered in UNGM. UNGM registration might take several days. We suggest you aim to submit at least 1 day before deadline
4.	Bidder fails to submit through the system, and submits the proposal through email	Bidder will be disqualified	UNOPS cannot accept submissions done outside the system. However, if you have difficulties in accessing the portal, please let us know so we can assist.

# Common Issues from Past Submissions

No	Issue	Impact	Tips to prevent the issue
5.	Bidder does not accept UNOPS General Conditions of Contract, or <b>Added Additional Conditions or Special Conditions of Contract</b>	The bid will be disqualified	Please ensure that you review the detailed UNOPS Conditions of Contract and complete your internal clearance to confirm you accept the Conditions of Contract as it is
6.	Not attaching financial statement in the proposal, incomplete personnel CV	Incompleted bid submissions	Ensure to include all the documents per checklist
7.	Bidder does not elaborate on their relevant experiences	This impacts their technical score on Bidder's qualification, capacity, and expertise	An in-depth details of the past experience should be provided, for example, scope of works, client name, project results & impacts, etc.
8.	Submitting a proposal utilizing its own format	Bidder proposal may not covering all components required as per UNOPS returnable forms.	Please submit the proposal following the Returnable Bidding Forms provided in the tender, to ensure all the components requested are covered in your proposal. Submission proposal in own format would compromised the term and conditions set by UNOPS which lead to incomplete bid submission.

# Common Issues from Past Submissions

No	Issue	Impact	Tips to prevent the issue
9.	Bidder proposes personnel who are not meeting the education / experience requirements	Bidder's technical score will be impacted	Bidders are encouraged to double check their personnel's CVs and UNOPS requirements
10.	Bidders' CVs does not include complete information of the personnel's credentials and only listed the position and company they worked for	Evaluation panel are not able to verify if the personnel meets the requirements	<p>The CVs should include in-depth information of each personnel's past experience, such as type of activities/tasks performed, degree of responsibilities, duration/years and location of employment, etc. Bidders are requested to complete <i>Annex 1 - Detailed Personnel Proposed</i>.</p> <p>Please note that we will only review the minimum positions as per TOR. If more personnel is offered under 1 requested role, please identify the main key personnel to be evaluated.</p>

# Common Issues from Past Submissions

No	Issue	Impact	Tips to prevent the issue
11.	Bidder overestimates the personnel allocation, resulting in financial proposal being extremely higher than the estimate / available funds	The financial proposal is not as competitive, and might result in the proposal not being selected despite the strong technical component	<p>Bidders are suggested to propose personnel aligned with the Terms of Reference. Some additional personnel might be added based on bidder's consideration to deliver the project as per TOR, but adding significant number of additional personnel tend to inflate the proposal significantly, making it much higher than it could be.</p> <p>UNOPS always announces the winner of the bid, as well as the contract value. Bidders are encouraged to check this information to understand how their financial proposal compares with the winning bid.</p>
12	Bidder provides a general methodology, and sometimes, copies and pastes from the tender document	This impacts their technical/ methodology score	Bidder should provide a detailed methodology specifically tailored for this project to demonstrate their capability/capacity to deliver the services.



**Q&A**

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