**Section III: Returnable Bidding Forms - Technical Envelope**

**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**

**eSourcing reference: RFP/2023/53971**

Note to Offerors: The following returnable forms are part of this RFP and must be completed and returned by offerors as part of their Proposal. Instructions to complete each Form are highlighted in blue in each Form. Please complete the Returnable Bidding Forms as instructed and return them as part of your proposal by uploading them against their specific Document Checklist in the UNOPS eSourcing system. Please ensure that the financial information in your proposal is uploaded in the financial envelope checklist under the Financial Offer Details tab of the eSourcing system.

This Section comprises the following Returnable Bidding Forms:

* Form A: Joint Venture Partner Information Form
* Form B: Proposal Submission Form
* Form D: Technical Proposal Form
* Form E: Format for Resume of Proposed Key Personnel
* Form F: Performance Statement Form
* Form G: Self Disclosure Form

**Form A: Joint Venture Partner Information Form**

[The Offeror shall fill in this Form in accordance with the instructions indicated below]

**RFP reference no:**  [insert RFP reference No.]

Name of Offeror: [insert name of Offeror]

Date: [insert submission date]

**To be completed and returned with your Proposal if the Proposal is submitted as a Joint Venture/Consortium/Association.**

| **JV / Consortium/ Association Information** | |
| --- | --- |
| **Name** | [complete] |
| **Names of each partner and contact information**  (address, telephone numbers, fax numbers, e-mail address) | [complete] |
| **Name of leading** partner (with authority to bind the JV, Consortium, Association during the RFP process and, in the event a Contract is awarded, during contract execution) | [complete] |
| **Proposed proportion of responsibilities between partners (in %) with indication of the type of the services to be performed by each** | [complete] |

**Signatures of all partners of the JV:**

We hereby confirm that if the contract is awarded, all parties of the Joint Venture/Consortium/Association shall be jointly and severally liable to UNOPS for the fulfillment of the provisions of the Contract.

Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name of partner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form B: Proposal Submission Form**

Offerors are requested to complete this form, sign it and return it as part of their Proposal submission. The Offeror shall fill in this form in accordance with the instructions indicated. No alterations to its format shall be permitted and no substitutions shall be accepted.

Date: [Insert submission date]

**Subject:** RFP Case No**.**  [insert RFP reference No.]**,** dated **[insert date]**

We, the undersigned, declare that:

* 1. We have examined and have no reservations to the Bidding documents, including amendments No.: [Insert the number and issuing date of each amendment];
  2. We offer to supply in conformity with the Bidding documents, including the UNOPS General Conditions of Contract and in accordance with the Schedule of Requirements;
  3. Our Proposal shall be valid for the period of time of [insert number of days which shall not be less than the specified the Tender Particulars section, Period of Validity of Proposals] from the date fixed for the Proposal submission deadline as set out in the RFP, and it shall remain binding upon us and may be accepted at any time before the expiration of that period;
  4. If our Proposal is accepted, and if so requested in the Tender Particulars section, we commit to obtain a performance security, in accordance with Instructions to Offerors, Article 35 and the General Conditions of Contract;
  5. We have no conflict of interest in any activity that would put it, if selected for this assignment, in a conflict of interest with UNOPS;
  6. We have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgement or pending legal action against them that could impair their operations in the foreseeable future;
  7. Our firm confirms that the offeror and sub-contractors have not been associated, or had been involved in any way, directly or indirectly, with the preparation of the design, terms of references and/or other documents used as a part of this solicitation;
  8. We embrace the principles of the United Nations Supplier Code of Conduct and adhere to the principles of the United Nations Global Compact;
  9. Our firm, its affiliates or subsidiaries – including any subcontractors or suppliers for any part of the contract – has not been declared ineligible by UNOPS, nor is included in the suspended/ineligibility list of the UN/PD, other UN Agencies, the UN Security Council, and the World Bank, in accordance with Instructions to Offerors Article 4, Eligibility;
  10. We have not offered and will not offer fees, gifts and/or favours of kind in exchange for this RFP and will not engage in any such activity during the performance of any contract awarded;
  11. We understand that you are not bound to accept the lowest evaluated Proposal or any other Proposal that you may receive.

I, the undersigned, certify that I am duly authorized by [***insert name of Offeror***] to sign this Proposal and bind [***insert name of Offeror***] should UNOPS accept this Proposal:

Name : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[*Stamp form of Proposal with official stamp of the Offeror*]

**Form D: Technical Proposal Form**

**RFP reference no:**  [insert RFP reference No.]

Name of Offeror: [insert name of offeror]

The Offeror’s proposal must be organized to follow the format of this Technical Proposal Form. Where the offeror is presented with a requirement or asked to use a specific approach, the offeror must not only state its acceptance, but also describe, where appropriate, how it intends to comply. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive.

Technical Proposal Evaluation sections:

| **Section 1: Offeror’s qualification, capacity and expertise** | |
| --- | --- |
| 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.  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.  Assessment Criteria:   * *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)*   Total Point 15   * [Insert response here] |
| 1.2 | A general organizational capability which is likely to affect implementation: management structure and project management controls.  (Max 4 pages written text)  Assessment Criteria:  - *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.*  Total Point 5  [Insert response here] |

| **Section 2: Key personnel proposed** | |
| --- | --- |
| 2.1 | Qualifications of key personnel proposed aligned with the Terms of Reference.  [Insert response here by filling up the below table]   | **Name and Nationality** | **Position to be Assumed in this Contract** | **Summary of Personnel’s Credentials** | | --- | --- | --- | | [Insert] | Team Leader | Provide summary of the education and experience of the proposed personnel | | [Insert] | Senior Plastic Waste Expert | [Insert] | | [Insert] | Senior Finance Expert | [Insert] | | [Insert] | Communication and Outreach Expert | [Insert] |   Assessment Criteria:  1. Team Leader (8)  2. Senior Plastic Waste Expert (6)  3. Senior Finance Expert (6)  4. Communication and Outreach Expert (5)  Total point 20  [For each of the names identified above, attach his/her CV using the format in Form E: Format for Resume of Proposed Key Personnel. |

| **Section 3: Quality Assurance and Sustainability Requirements** | |
| --- | --- |
| 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).  Total Point 5  [Insert response here] |
| 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 during the implementation of the project (3)  Total Point 5  [Insert response here] |

| **Section 4: Understanding of the Scope of Work and Implementation Strategy** | |
| --- | --- |
| 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.  Total point 10  [Insert response here] |
| 4.2 | Implementation plan for deploying the relevant experts for the scope of work  Total point 5  [Insert response here] |
| 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).  Total point 5  [Insert response here] |
| 4.4 | Description of the offeror’s approach to developing communications materials, conducting consultations, and dissemination based on the Term of Reference  Total point 5  [Insert response here]  **Eg**   | Sl# | Name of the Event | Purpose | Possible Venue | # of Participants | Modalities (online/offline/hybrid) | Remarks/Other Information | | --- | --- | --- | --- | --- | --- | --- | | 1. |  |  |  |  |  |  | | 2. |  |  |  |  |  |  | | .. |  |  |  |  |  |  | |

I, the undersigned, certify that I am duly authorized by [***insert full name of Offeror***] to sign this Proposal and bind [***insert full name of Offeror***] should UNOPS accept this Proposal:

Name : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form E: Format for Resume of Proposed Key Personnel**

**RFP reference no:**  [insert RFP reference No.]

Name of Offeror: [insert name of Offeror]

| Position as per Tender Requirement | [Insert Role As Per Required in the TOR] |
| --- | --- |
| Name of Personnel | [Insert] |
| Title | [Insert] |
| Years with firm | [Insert] |
| Nationality | [Insert] |
| Language proficiency | [Insert] |
| Education/ Qualifications | [Summarize college/university and other specialized education of personnel member, giving names of schools, dates attended, and degrees/qualifications obtained.] |
| Professional certifications | [Provide details of professional certifications relevant to the scope of services]   * Name of institution: [Insert] * Date of certification: [Insert] |
| Employment Record/ Experience | [Starting with present position, list in reverse order, every employment held. List all positions held by personnel since graduation, giving dates, names of employing organization, title of position held and location of employment. For experience in last five years, detail the type of activities performed, degree of responsibilities, location of assignments and any other information or professional experience considered pertinent for this assignment.] |
| References | [Provide names, addresses, phone and email contact information for two (2) references]  Reference 1:  Reference 2: |

I, the undersigned, certify to the best of my knowledge and belief, this bio-date is accurate.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of Personnel (individual) or firm representative Date (Day/Month/Year)

**Form F: Performance Statement Form**

**RFP reference no:**  [insert RFP reference No.]

Name of Offeror: [insert name of Offeror]

Date: [insert submission date]

*- Bidders should be in the business of providing similar services in the past three (3) years and have experience in ASEAN.. In the case of JV, at least one of the JV members should fulfill this requirement.*

*- Bidders 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 three (3) years*

| **Insert details of the client** | **Contract no. & date** | **Description of the scope of work** | **Value of contract** | **Date of completion of delivery** | | **Remarks indicating reasons of late delivery, if any** | **Was the supply of goods satisfactory?** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **As per Contract** | **Actual** |
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Name : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Form G: Self Disclosure Form**

ITB reference no: [insert RFP reference No.]

Name of Offeror: [insert name of offeror]

Date: [insert submission date]

| **Ref.** | **Critical area** | **Response** | **Comments** |
| --- | --- | --- | --- |
| **1** | Has the entity or individual declared bankruptcy, or been involved in bankruptcy or receivership proceedings, or is there any judgement or pending legal action against them, which could impair operations in the foreseeable future; | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **2** | Has the entity or individual been found (or is awaiting a judgement or administrative decision) in breach of their obligations relating to the payment of taxes or social security contributions? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **3** | Has the entity or individual been found (or is awaiting a judgement or administrative decision) guilty of misconduct for the violation of applicable laws, regulations or ethical standards of the profession to which they belong? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **4** | Has the entity or individual engaged, or attempted to engage, in any Proscribed Practices in the past?  For the purposes of this provision, “Proscribed Practices” are defined in the UNOPS Operational Instruction on [Vendor Sanctions](https://content.unops.org/documents/libraries/policies-2020/operational-directives-and-instructions/procurement-framework/en/OI.PG-Vendor-Sanctions-2021.pdf) and include the following:   * A corrupt practice: the offering, giving, receiving, or soliciting, directly or indirectly, anything of value to influence improperly the actions of another party; * A fraudulent practice: any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation; * A coercive practice: an act or omission that impairs or harms, or threatens to impair or harm, directly or indirectly, any party or the property of the party to improperly influence the actions of a party; * A collusive practice: an arrangement between two or more parties designed to achieve an improper purpose, including influencing improperly the actions of another party; * An unethical practice: Conduct or behaviour that is contrary to the conflict of interest, gifts and hospitality, post-employment provisions or other published requirements of doing business with UNOPS; and * Obstruction: Acts or omissions by a Vendor that prevent or hinder UNOPS from investigating instances of possible Proscribed Practices. | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **5** | Has the entity or individual unduly obtained, or attempted to unduly obtain, any confidential information in connection with this procurement process and any agreement that may be awarded as a result of this process? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **6** | Does the entity or individual have a conflict of interest, as provided in the Instructions to offerors, Article 4 “Offeror eligibility”, that may prevent them from entering into an agreement with UNOPS, or that may in any way jeopardise their performance in carrying out their obligations under the agreement? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **7** | Has the entity or individual been found (or is awaiting a judgement or administrative decision) to be involved in any of the following:   * Fraudulent practice; * Corrupt practice; * Affiliation with a criminal organisation; * Money laundering; * Terrorist financing; * Child labour; or * Human trafficking? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **8** | Has the entity or individual had significant performance issues in the past that led to the early termination of a legal commitment or the application of damages or other contractual penalties, or that were discovered following inspections, audits or investigations? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **9** | Has the entity or individual committed any financial irregularity, resulting from an act or omission or the inclusion of an unjustified item of expenditure outside a contractual engagement that had the effect of prejudicing their use of public funds? | Select | [If the response is ‘Yes’, provide an explanation here.] |
| **10** | Has the entity or individual been found (or is awaiting a judgement or administrative decision) to have created an entity in a different jurisdiction with the intent of circumventing fiscal, social or any other legal obligations in the jurisdiction of their registered office, central administration or principal place of business? | Select | [If the response is ‘Yes’, provide an explanation here.] |

I, the undersigned, hereby declare that the information provided is true and correct. I also understand that any willful dishonesty may result in the refusal of this proposal submission. I understand that engagement in any of the above critical areas may, at the discretion of UNOPS, automatically result in the exclusion from this procurement process.

| **Name:** |  |
| --- | --- |
| **Title** |  |
| **Date:** | **Sep 20, 2024** |
| **Signature** |  |

[Stamp this form with the official stamp of the offeror]