

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

## **Terms of Reference**

### **Regional Guidebook on Financial Mechanisms for Investments in Plastic Waste Management**

**Project duration:** Q3 2024 – Q2 2025

#### **1. Introduction**

The Southeast Asia Regional Program on Combating Marine Plastics (SEA-MaP Regional Project) is a five-year program financed by the World Bank. Its objective is to aid the Member States (AMS) of the Association of Southeast Asian Nations (ASEAN) in combating marine plastic pollution and mitigating its negative impacts. This aligns with implementing the [ASEAN Regional Action Plan \(RAP\) for Combating Marine Debris](#). The project is implemented by ASEAN through the ASEAN Secretariat (ASEC), with the structure comprising a Project Steering Committee (PSC), a Project Management Unit (PMU), and a Regional Implementation Support Unit (RISU) located within the United Nations Office for Project Services (UNOPS). More information on the project can be found in the [Project Appraisal Document \(PAD\)](#).

#### **2. The SEA-MaP Regional Project**

The SEA-MaP Regional Project adopts a long-term, programmatic approach and is divided into two main components:

##### **i. Strengthening Policies and Institutions for Plastics Circularity**

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 two Platforms for 1) innovation and investment and 2) 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, they 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.

### a. The SEA-MaP project

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

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

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

### 3. Background

The ASEAN RAP was developed to address a range of plastic pollution-related challenges facing the ASEAN Member States (AMS). It recommended a number of complementary actions that provide mutual support towards the goal of improving plastic waste management and reducing plastic pollution. One key action to support the objective of the ASEAN RAP is the development of a *Regional Guidebook on Financial Mechanisms for Investments in Plastic Waste Management*. The regional guidebook is intended to provide overarching guiding principles to the AMS on promoting investments in plastic waste management.

The development of the regional guidebook falls under Component 1 of the SEA-MaP Project, "Strengthening Regional Policies and Institutions for Plastics Circularity". This component seeks in

part to coordinate efforts and tackle transboundary marine plastic issues, based on the ASEAN RAP. To do this, strengthening knowledge on multiple types of financial mechanisms, their impacts, pros and cons, and their necessary institutional frameworks is critical for policymakers at both national and local levels.

Some financial mechanisms may apply across the region, while some may be more appropriate for certain countries or local areas. Component 1 activities should support the development of policies and standards, and the identification of potential measures that could be put in place. Financial mechanisms and their measures are intended to help manage market inefficiencies, change incentive and disincentive structures, facilitate investments, support the reduction of single-use plastics and plastic pollution overall.

Recognizing that the regulations and policies imposed on plastic products and plastic waste management may affect men and women differently, each financial mechanism will be analyzed through a gender lens to better identify relevant impacts. Strategies should be included that address gender gaps relating to the financial mechanisms examined.

## **b. The assignment**

This Terms of Reference (ToR) outlines the key steps involved in developing a *Regional Guidebook on Financial Mechanisms for Investments in Plastic Waste Management* (hereafter also mentioned as the 'Guidebook'). The preparation of this is expected to take place from Q4 2024 to Q2 2025. This period includes initial scoping, desktop research, stakeholder engagement, draft submission, review and revisions, and final approval and subsequent release.

These outputs are an important deliverable of the SEA-MaP Regional Project responding to Action 1 of the [ASEAN Regional Action Plan for Combating Marine Debris in the AMS \(RAP\)](#): “to provide guiding principles to AMS for promoting investments in plastic waste management.” The Guidebook will complement the other knowledge products being prepared under the SEA-MaP project, as well as inform other initiatives AMS and ASEAN may undertake on financing mechanisms to sustainably manage plastic pollution in the future.

## **4. OBJECTIVE AND OUTCOMES**

**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. The selected financial mechanisms should be both public and private sourced schemes. The principles and specific examples will be supported by an analysis of existing and past policies and cases, covering the administrative and implementation needs of policies, and methods to understand and adjust to potential socioeconomic considerations. The Guidebook will function as a supporting tool for investment decision-making within the AMS, enhancing access to investments and finance of sustainable plastic waste management.

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

- The assignment is not intended to develop novel financial mechanisms for plastic/plastic waste management, or to encourage untested ideas. Guidance and concepts should be based on previous case studies and implementation. Existing studies or summaries of financial mechanisms should also be leveraged. There should be a particular focus on cases from the ASEAN region, or those elsewhere that might be suitable for adoption and/or adaptation in the region, taking into account socio-economic and environmental considerations.
- The primary audience for the Guidebook will be policymakers responsible for understanding and implementing financial mechanisms to incentivize plastics management, as well as businesses and other stakeholders in the finance and plastics/plastic waste management community.
- During the study, it is expected that the consultancy firm will conduct research and stocktaking and organize consultations with relevant stakeholders and representatives from within the AMS to capture the effective instruments and mechanisms and ongoing practices, and successful cases relating to plastic/plastic waste management and its financing needs at local and national levels.
- This assignment may consider observing the ongoing negotiations of the Intergovernmental Negotiating Committee (INC) to develop an International Legally Binding Instrument (ILBI) to address plastic pollution, including in the marine environment. The ILBI is expected to be adopted some time in 2025.

## 6. SCOPE OF THE SERVICES TO BE PROVIDED

### Task 1. Landscape analysis of existing financial mechanisms and implementation tools and policies applicable in the ASEAN region<sup>1</sup>

#### 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.

This task will provide a snapshot of plastics/plastic waste management in each AMS. This will include economic impacts, existing financial considerations restricting or promoting its use or disuse, and sectoral-specific considerations that may cover sectors including but not limited to manufacturing, retail, b2b, recycling, specific industries, or a combination. Operational data is available in the *Baseline Analysis* prepared for this project, and must be amended to include financial data and estimations for each point of the value chain. The key questions to be answered in this task are ‘the value and consistency of financing flowing into the sector, at which points in the value chain, from what sources (both actors and potential financial mechanisms)’ and ‘what would be the most effective and efficient financial mechanisms and how much more financing is needed to transition to sustainable plastics/plastic waste management’, as articulated in the ASEAN RAP.

The coverage of regulatory and financial regimes should include high-level information on costs and funding, financial flows, sectors affected, key performance metrics (total waste generated, % waste collected, % waste segregation, % waste recycled, waste disposal, and leakage). Such information should be presented in a comparable way for different AMS, through proxy values if needed, and through other comparable metrics such as % of GDP or budget invested into the sector per annum.

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<sup>1</sup> For Task 1, there is an ongoing World Bank study on a similar subject, which is expected to be completed in late 2024. Please use the report as a reference and build on its findings when it becomes available.

- a. Prepare high-level mass-flow diagrams (e.g. Sankey) for plastic flows by both polymer and product categories throughout the economy (import, production, use, waste generation, collection, recovery, safe disposal, leakage into the environment: air, soil, water), based on existing publicly available data and assumptions, as needed, and include associated financial mechanisms in each stage of the flow in the diagram.
- b. Characterize actors/stakeholder at each stage in the value chain: sectors involved, institutional arrangements, size of sector / number of persons employed, with emphasis on marginalized groups.
- c. Quantify funding sources (e.g. central government contracts, local government payments, user fees, tipping fees, sale of recovered materials, etc.) and financial flows across the value chain.
- d. Based on current efficiencies and/or best practices; identify potential financing mechanisms that could help to bridge the funding gap to achieve sustainable plastics management at each point in the value chain.

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

This task will collate and evaluate existing financial mechanisms and instruments that have provided support or currently provide support to the implementation of plastics/plastic waste management activities at different scales and in different sectors.

The stocktaking should primarily seek to find cases that would be applicable within the ASEAN Member States (AMS), either at the local or national or regional levels. These should include successful examples from within the ASEAN region, as well as successful and relevant external examples that have significant insights or impacts that would be applicable within the ASEAN regional context.

These financial instruments should include, but not limited to the following:

- Extended Producer Responsibility (EPR) projects covering different geographic scales and products, with different fee or cost recovery systems, which are implemented in, or have clear applicability to, a developing country context.
- Eco-modulated fees that account for the negative externalities of products, incentivizing the design of more recyclable and less polluting items, which are implemented in, or have clear applicability to, a developing country context.
- Deposit refund schemes (DRS) that incentivize the collection of specific goods, providing a financially neutral method to encourage consumer recycling, which are implemented in, or have clear applicability to, a developing country context.
- Cost recovery mechanisms such as the introduction of different waste fees mechanisms, including pay-as-you-throw approaches following the polluter-pays principle, which create charges affected by the volume and type of waste generated. This can include targeted taxes, applying at end-point points such as landfills and incineration, or earlier targeted at specific consumers as they dispose of waste, possibly incentivizing source separation activities.
- Upstream mechanisms designed to reduce waste entering the system, such as those that reduce usage, encourage and enable reuse and refill systems, or involve product redesign. Such innovations may be part of other initiatives that include downstream activities.
- Specific methods of monitoring and auditing to generate accurate data about the effectiveness of the mechanism.

- Public-Private-(Philanthropic) Partnerships arrangements to deliver infrastructure and/or basic plastic waste management services, particularly in under-served and low-income communities.
- The establishment of specific environmental funds to finance waste management.

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

To effectively customize or adapt financial mechanisms for sustainable plastic waste management, it is essential to understand the conditions that influence the choice of a specific mechanism and the impacts it has made. Understanding such conditions, as well as understanding how and why an intervention made the impacts it did, will help to identify the factors that contribute to the success or failure of these mechanisms, making it easier to apply them in new contexts.

- a. Develop an assessment framework. Evaluation should be done through an assessment framework, developed to account for the information collected during the stocktaking task. This framework will be submitted to the RISU/PMU for approval before the full analysis. The framework should enable the analysis of the compiled information on various financial mechanisms used in plastic waste management policies and projects at different geographical scales, including both broad economy-wide policies and sector-specific projects. The goal is to clarify key considerations and identify broader patterns or trends. By doing so, the analysis can highlight what works well and what challenges are commonly faced in the use of fiscal incentives and financial instruments.
- b. Impact of selected instruments/mechanisms at each point in the value chain. The analysis should show the impact of each selected financial mechanism at different points in the value chain, of relevant enabling conditions, and their performance both in terms of impact and in terms of cost-effectiveness/value. Information processed as part of the analysis of each case study should include what is necessary to provide a clear understanding of the financial mechanism in question, the primary purpose, target audience and/or key stakeholders, specific context that facilitates the mechanism's implementation, and results/impact, as well as any other key information that emerges as important during framework design.
- c. Stakeholder analysis of roles, motivations and support needs, with particular focus on marginalized groups. The success of various mechanisms or groups of mechanisms likely relies heavily on the cooperation of various stakeholders, including local governments, national government bodies, private investors, contracted private entities, and civil society participants. These stakeholders may be directly involved in the administration and implementation, have participated in consultation, or be involved in other areas of implementation, operation, and monitoring. Understanding their roles and contributions to each mechanism should be included in the analysis.
- d. Characterization of long-term sustainability and customizability of each selected mechanism. In addition to initial implementation, the analysis should consider long-term sustainability of various financial mechanisms and the factors affecting it. Policy implementation that has been scaled or has plans for future scalability, either in size or location, can provide valuable insights. This information can help determine the applicability of mechanisms in other locations across the ASEAN region.

- e. Development of case studies for each mechanism utilizing the assessment framework and insights generated from all proceeding sub-tasks. Specific information that could be considered include but are not limited to:
- Whether the project/program had clearly defined goals and what they were, including polymers targeted, financial goals, waste/environmental goals, and social goals.
  - Financial requirements for initial capital, medium-term implementation, if applicable long-term sustainability This should also capture the origin of funding sources for both capital expenditure and continuing operations, including government funding (and from which part of government), private investment, international aids and grants (Philanthropy and donations from international bodies and global partnerships), cost recovery mechanisms, and taxes and fees that may affect sustainability or independently act as nudge factors. If there are calculations, estimates of affordability and enhanced value-for-money, places where financing gaps emerged, or other notable financial incidents, these should be included as well.
  - Administrative and implementation needs, including but not limited to its organizational and procedural requirements, target setting, capacity and staffing needs, technology needs, whether the policy requires certain economies of scale, enforcement and compliance, reporting and monitoring mechanisms, guidance and coordination with national agency/local government, stakeholder engagement in the design, initial implementation and ongoing management and other considerations that contribute to the policy being effective.
  - Socioeconomic impacts, considering both the financial sustainability and viability, knock-on impacts to other economic activities, and social impacts, including health and well-being, on affected communities, and overlap with other initiatives both public and private.
  - The timescale of the relevant policies and financial measures, including expected developments in the future.
  - Supporting regulatory and policy frameworks in place (covering factors such as level of maturity, diversity, integration, private sector participation, competition, transparency, cost recovery, among others), including those that are not implemented directly because of the specific mechanism's implementation. This covers supportive government regulations, direct incentives and subsidies, and places within wider policy enforcement mechanisms. This applies not only to national policy and support but to municipal actions, and how such local governments collaborate with regional and national authorities to enhance effectiveness.
  - Other socioeconomic, cultural, and environmental/physical conditions in which a project is implemented, which can significantly affect the choice of mechanism, the method of implementation, and stakeholder buy-in and social inclusion.
  - Existing presence and level of maturity of the wider plastic waste management ecosystem. Some mechanisms are effective only when they build on existing infrastructure.
  - Private sector activity and the actions of large corporations as well as MSMEs, including their investments, initiatives, partnerships, and innovations in plastic waste management. These may benefit from the frameworks and incentives discussed above, and private sector engagement may support and/or complement public policies and projects.
  - Stakeholder engagement mechanisms, including those within the design phase, within initial implementation, and in ongoing implementation.

- Risk assessments and management, financial and otherwise socioeconomic and environmental risks, affecting implementation and sustainability.
- Coordination and monitoring mechanisms that have been established and conducted to oversee the implementation, and any adjustments made to the policies.

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

Based on information collected during the stocktaking, there should be a specific analysis of the impact of the financial mechanisms on marginalized groups, of differential demographic considerations, and of the best practices for ensuring inclusiveness and community buy-in.

- a. Develop an assessment framework. Understanding the impact of financial mechanisms and policies on marginalized groups such as informal workers, as well as on different demographic groups (e.g. women, youth, elderly, disabled, migrants, minorities, among others), is essential for creating inclusive and effective plastic waste management strategies. Through a similar framework to Task 1.2, this analysis will evaluate the effects of plastic waste management policies on marginalized groups, particularly informal workers who are often heavily involved in waste management activities. It will assess how financial mechanisms and policies have either supported or marginalized these workers and identify support systems within policies that provide safety nets, formalization/empowerment opportunities, and fair compensation.
- b. Characterizing roles, responsibility, influence and access to resources. The framework will also address demographic considerations by assessing the impacts of these policies based on issues such as gender, age, and other socioeconomic status. It will determine how different demographic groups are affected by various plastic waste management policies and financial mechanisms, including examining the roles of women and youth in these activities.
- c. Presentation of best practices for socially inclusive and just policies. To identify best practices for inclusiveness, the analysis will document examples from case studies that have effectively engaged diverse community members and stakeholders, examining stakeholder engagement mechanisms to understand how different groups, especially marginalized ones, are involved in the design, implementation, and monitoring of plastic waste management projects. Examples of stakeholder engagement that fosters community support might include education and awareness campaigns and incentive programs for private organizations or civil society.

#### Task 1.5 Synthesizing general principles

The consultancy firm is expected to analyze these various considerations, and provide recommendations for how and when different mechanisms might be best used. Identify any commonalities or general trends, as well as any widespread roadblocks, gaps, or other impediments to the implementation of these financial mechanisms. These may include links between existing infrastructure and the complexity of the policy or project, policies working in different informal sector contexts, compatibility with existing legal frameworks or other ongoing policies, the impact of geographical or sectoral scale, and more successful funding and cost recovery models.

This synthesis should explain how the analysis applies to common contexts found within the ASEAN region. This should provide general principles that underlie the use of the different financial mechanisms identified in Task 1.2. These clear principles will assist policymakers in identifying, selecting, and modifying potential financial mechanisms to support specific waste management-related policies and projects, and articulating their choice to other stakeholders.



## **Task 2 Developing the Guidebook**

In covering why, when, and how to put into place specific financial policies, mechanisms, and instruments, the Guidebook aims to contribute to strengthening capacity and ability of the AMS to implement a variety of sustainable plastic waste management-related measures. The introduction of the Guidebook should explain its purpose, along with the scope of coverage and the intended audience.

### **Task 2.1 Elucidating guiding principles**

The Guidebook should explain the rationale behind each of the guiding principles developed following the landscape analysis. The objective is to ensure that users understand the basis for each of these principles, and how they might apply in the countries' context. The content needed to meet this objective should include a summary of the key findings and relevant data from the landscape analysis. This should be complemented with examples that demonstrate each principle already being applied in AMS. Going further, coverage of the guiding principles should include guidance on how each principle could be further applied within the ASEAN region, and which particular financial mechanisms the principles will provide the greatest impact.

The outcomes and benefits observed in the landscape analysis from financial mechanisms and policies that match the proposed guiding principles will help demonstrate how the principles help tailor interventions and programs specifically for the ASEAN region. The balancing of different principles in different locations will be needed to reflect the diverse political, economic, and social landscapes of the ASEAN region. Recommendations for their application should include not only for the setting up of new initiatives, but for iterative updating of existing actions to further integrate the guiding principles.

Altogether, the principles proposed should provide AMS with a robust framework for improving plastics/plastic waste management that can be converted into clear and actionable steps for policymakers, private sector actors, civil society, and other stakeholders to adopt and implement strategies tailored to their specific needs and circumstances.

### **Task 2.2 Comprehensive knowledge base of good practices and case studies**

The Guidebook shall provide an overview of the available knowledge gathered during the stocktaking and landscape analysis, which can present a broad entry point for policymakers, and guide their decisions.

- a. The core of this will be a compendium of financial instruments and financial mechanisms that have been identified through the stocktaking and analyses conducted on case studies of good practices that serve as useful models and/or hold other key lessons. These case studies should include examples from different steps in the value chain, and of the different key topics including but not limited to the seven examples listed above under Task 1.2. Each case study should include relevant information gleaned through the analyses of their enabling context, their financial and impact goals, the effect they were able to have on plastic waste management, and their financial and operational sustainability.
- b. There should be a synthesis of the topics as illustrated by the case studies, for each showing the principles and objectives, key design and implementation considerations, challenges, key stakeholders, and how these are illustrated through the chosen case studies.

- c. Selected case studies should also be linked back towards the general principles, noting which principles can be seen through its action, and how/why it has enabled for plastic waste management that would have otherwise been more limited. The overarching goal is to empower the AMS to identify and implement policies and tools tailored to local conditions. Selected case studies should clearly explain its relevance and potential applicability in the context of specific AMS.

### Task 2.3 Development of a roadmap of recommendations on the ways forward

Based on the principles and the case studies for different financial mechanisms, the Guidebook should provide a stepwise plan, or roadmap of guidance and recommendations for policymakers on choosing financial mechanisms for specific waste management-related policies in the local and national contexts of the respective AMS. This context should include the infrastructure and administrative capacity needed to enact the various policies and tools.

- a. Recommendations should cover all relevant aspects (internal, external, direct and indirect) of the policy implementation inclusive but not limited to enabling legal and policy frameworks, obtaining sufficient agreement across government, stakeholder engagement mechanisms, monitoring and adaptation, and alignment with evolving international standards. Specific recommendations should come in the format of checklists, worksheets, compendiums and/or needs assessment tools which AMS and local governments can use to determine what their specific challenges are and what policies and programs might best suit their goals and context, considering factors such as financing needs and gaps, existing regulations and infrastructure, potential private sector and civil society engagement, and considerations for inclusivity.
- b. The roadmap system should provide stages of implementation, informed by checklists or other assessment tools that can facilitate the consideration of different financial mechanisms at different points, enable stakeholder collaboration across the policy implementation lifecycle, including mapping out timelines for different policies that cover their initiation, operationalization, and long-term monitoring and adaptation.
- c. The roadmap should provide guidance at each stage of the policy implementation lifecycle based on identified principles and case studies. The following steps are illustrative of a possible roadmap structure and should be used as a reference in determining the appropriate format and content of the roadmap.
  - Step One - building a team inclusive of all required expertise, possibly across ministries and sectors to facilitate timely implementation and coordination (e.g. procurement, M&E, financial management, policy formation, project management, stakeholder engagement).
  - Step Two - to analyze financial health and needs of the sector, along with socioeconomic and environmental risks associated with the financial mechanisms.
  - Step Three - identification of most suitable financial mechanisms to achieve clear targets given the existing context, including socioeconomic and environmental conditions, and the guiding principles.
  - Step Four - implementation needs assessment to determine supporting mechanisms and enabling environments, including multifaceted risk management, that may need strengthening as well.
  - Step Five - stakeholder engagement best practices.
  - Step Six - mobilizing joint financing, resources and support from public, private, civil society and philanthropic sectors.

- Each step in the roadmap should be accompanied with checklists, worksheets and other forms of guidance to support various practitioners (i.e. the core team detailed in Step one) to implement the desired tools.

#### Task 2.4: Development of the full draft of the Guidebook.

The final draft of the Guidebook will covers the rationale, application, and impact of specific financial policies and instruments, supported by guiding principles developed from a landscape analysis. The Guidebook will include a comprehensive knowledge base of good practices and case studies, offering practical examples for policy implementation. Additionally, it will provides a stepwise roadmap with recommendations for policymakers, ensuring the application of financial mechanisms tailored to the unique political, economic, and social contexts of the ASEAN region.

#### Task 2.5 Revised draft of the Guidebook after government-level consultation for review

The draft Guidebook will be updated and submitted for review following the inputs and comments received during the government-level consultation (Task 3.4).

Task 2.6 Final submission of the Guidebook will follow the review of the draft submitted (Task 2.5).

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

Stakeholder consultations are required during the full life cycle of this assignment to ensure the outputs are comprehensive and applicable across the ASEAN region. These consultations should engage a broad range of key stakeholders from the AMS, including from government (finance, environment, planning), the private sector, and civil society, reflecting the variety of potential financial mechanisms across the region. Draft versions of the Guidebook and dissemination materials will be updated as advised during the consultations.

Consultations will be designed in coordination with RISU and PMU.

The consultant will organize at least 3 offline events (2 technical consultation and 1 government-level consultation), which should be budgeted in the proposal (including meeting logistics, meals (2 coffee breaks and lunch per day and 1 dinner), and travel sponsorships) with the following specifications:

- Total Participant: 50 people (meeting venue capacity must accommodate this number).
- Location: ASEAN.
- Duration: up to 2 days for each event.
- Travel sponsorship including accommodation (up to 2 days) for 20 people (2 from each AMS) with entitlements covering economy class return flights. Reference: [UN Daily Subsistence Allowance \(DSA\)](#).
- Meeting logistics and other equipment for the event.
- Translation services as deemed necessary.

Task 3.1: Local Level consultations will be organized with a smaller group of experts and key decision makers of each AMS nominated by the SEA-MaP PSC (Project Steering Committee). Local level consultations can be organized in person facilitated by the proposed experts and/or with the support of local expert groups selected in consultation with RISU and PMU. Local level consultations are expected to be in person discussions, but where not possible virtual discussions can be organized. Local level consultations will support data collection, validation and ownership of the AMS to the deliverables.

Task 3.2.: A first technical consultation will need to be held to validate the landscape analysis for Task 1 in preparation for the creation of the Guidebook. The majority of attendees should come from the

AMS, although important stakeholders from outside the AMS that could provide key input, can be invited, provided that their inputs do not overshadow the critical perspectives and experience of AMS stakeholders, who are central to the validation process. Key stakeholders should involve policymakers from the AMS.

Task 3.3.: A second technical consultation with experts should be held to review the draft Guidebook.

Task 3.4.: A government-level consultation should be held based on the technical details discussed in the technical consultations for validation. The firm must ensure there is a buffer period in between consultations to ensure inputs are incorporated in the respective documents. Any consultation with government representatives should secure the approval of the AMS and ensure its structure and recommendations effectively target the region. This consultation should be arranged in coordination with the RISU and in consultation with the PMU.

In-person consultations are expected to achieve gender balance, with no less than 30 percent of representatives should comprise women. The bidders may consider a minimum of 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. If necessary, bidders may also include other consultations/events as per the proposed methodology.

All consultations and detailed planning for these events should be closely coordinated with the RISU in consultation with the PMU. Any expenses for organizing consultations need to be reflected in the submitted budget. For these and the consultations, the general advice follows that bidders will need to plan and budget for activities, which include:

- Necessary appointments and arrangements to plan each activity's location, date, time, and duration.
- Liaise with participants and organizers, including the SEA-MAP regional project team and other involved entities, before, during, and after events. Manage invitations as appropriate.
- Develop stakeholders list that includes both government and non-government organizations from the AMS or outside that has relevance to plastic waste management and financial support for such waste management in the region.
- 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 essential from the owners of the materials.
- Post-event satisfaction surveys will be circulated and collected to record participants' feedback.
- Reports will be prepared within a week from the completion of the event and include a summary of the programs, satisfaction survey results, and recommendations. The reports should also analyze the gender dynamics of the programs (e.g., participation rates, issues related to gender equality, and suggestions for improving gender integration in future programs).
- A group of local experts from the region will be part of the bidder's team of experts, as required, to facilitate outreach activities, consultation, data gathering and verification at the individual and AMS levels. Engagement of local experts will be determined in consultation with RISU and PMU; however, bidders need to propose a plan for the engagement of local experts
- Media outputs and communications such as news release, photos, content to be uploaded on SEA-MaP online platforms.

- For smaller consultations and any other specific events and consultations bidders believe would benefit the project, they should include proposals for these events in their bid alongside details for the events specified above. These should be led by a summary table describing the tentative list of the events, which must contain at least the following information:

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

#### Task 4. Dissemination and Awareness:

This task aims to develop a package of outreach products for disseminating easy-to-understand information that helps policymakers to understand the Guidebook and to promote its use. The consultancy firm should ensure that all communication-related outputs are aligned with the [ASEAN Corporate Design Manual](#) and the [SEA-MaP Regional Project Brand Guidelines](#).

- Communication materials targeted at policymakers should reflect and summarize key points from the Guidebook. They should provide complementary summaries and guidance for understanding and applying the Guidebook, ensure practical examples and case studies, and illustrative visuals to enhance understanding, acceptance, and buy-in. Most importantly, some should be concise and digestible within short time frames, providing an overview as well as indicators to the more detailed material that the reader can follow if they wish.
- Key presentations, including a summary slideshow (for example in Microsoft PowerPoint) that can be used by others in SEA-MaP to introduce the outputs of this ToR, should provide an accessible overview of the Guidebook.
- A recorded webinar format would allow for a consistent and accessible presentation across the region, as well as allowing for subtitling.
- Further dissemination materials should be determined based on outputs of stakeholder consultations and as part of other SEA-MaP components. This should fit within a communications and outreach strategy and be linked where possible to the developing Knowledge & Partnership and Innovation & Investments platforms to provide information on incubators, innovation hubs, and funding opportunities for start-ups and businesses working on plastic waste management. Additional possible material can include: fact sheets, best practice documents, implementation checklists, instructional sheets, etc.

Task 4.1. Draft communications products to support the Guidebook, including default slideshow presentation for review will be prepared and presented at the second technical consultation for discussion and inputs.

Task 4.2. Updated draft communications products will be presented at the government-level consultation for discussions and inputs.

Task 4.3 Final submission of the communications products will follow the update made after the government-level consultation.

## 7. DELIVERABLES AND TIMELINE

The assignment is expected to start in Q4 2024 and end in Q2 2025. The main deliverables should be produced according to the following timeline:

No.	Deliverable	Final Deliverable Due Date
1	<p>Inception report, including:</p> <ul style="list-style-type: none"> <li>• Outline of deliverables.</li> <li>• Detailed expected objectives/outcomes.</li> <li>• Draft analytical framework methodology.</li> <li>• Draft Stakeholder engagement plan covering stakeholder mapping, engagement, and communications (Task 3).</li> <li>• Broad outline of the Guidebook (Task 2).</li> <li>• List of potential communication tools (Task 4).</li> <li>• Detailed implementation work plan/roadmap.</li> <li>• Team structure and composition, with details of the required technical expertise and its availability in-house and otherwise.</li> <li>• Statement regarding environmental and social measures relevant to the activities.</li> <li>• Monitoring and reporting mechanisms.</li> <li>• Risk log covering constraints, assumptions, risks, issues, and mitigation measures.</li> <li>• Quarterly cash flow.</li> <li>• Agreed milestones for each quarter.</li> </ul>	3 weeks after contract effectiveness (first draft)
2	<p><b>Task 1. Landscape analysis of existing financial mechanisms and implementation tools and policies applicable in the ASEAN region</b></p> <p>Task 1.1 Stocktaking existing financial regime and sector performance of the full lifecycle of plastics management within each AMS.</p> <p>Task 1.2 Stocktaking of proven financial mechanisms that can be used within the ASEAN region</p>	15 weeks after contract effectiveness
3	<p><b>Task 1. Landscape analysis of existing financial mechanisms and implementation tools and policies applicable in the ASEAN region</b></p> <p>Task 1.3 Analysis of the reasons underlying the choice of mechanism, and enabling and constraining factors to implementation and success</p> <p>Task 1.4 Analysis of the socioeconomic impacts of collected policies</p> <p>Task 1.5 Synthesizing general principles</p>	18 weeks after contract effectiveness

	<b>Task 3. Stakeholder consultations</b> Task 3.1. Organize any agreed local level consultations Task 3.2. Organize first technical-level consultation	
4	<b>Task 2. Developing the Guidebook</b> Task 2.1 Elucidating guiding principles  Task 2.2 Comprehensive knowledge base of good practices and case studies	22 weeks after contract effectiveness
5	<b>Task 2. Developing the Guidebook</b>  Task 2.3 Development of a roadmap of recommendations on the ways forward	26 weeks after contract effectiveness
6	<b>Task 3. Stakeholder consultations</b> Task 3.3. Second technical-level consultation on draft Guidebook	29 weeks after contract effectiveness
	<b>Task 4. Dissemination and Awareness</b> Task 4.1. Draft communications products to support the Guidebook, including default slideshow presentation for review	
7	<b>Task 2. Developing the Guidebook</b> Task 2.4. A full draft of the Guidebook.  <b>Task 3: Stakeholder consultations</b> Task 3.4 Government-level consultation	37 weeks after contract effectiveness
8	<b>Task 2. Developing the Guidebook</b> Task 2.5. Revised draft of the Guidebook after government-level consultation for review.  <b>Task 4. Dissemination and Awareness</b> Task 4.2. Updated draft communications products to support the Guidebook, including default slideshow presentation for review.	42 weeks after contract effectiveness
9	<b>Task 2. Developing the Guidebook</b> Task 2.6 Final submission of the Guidebook.  <b>Task 4. Dissemination and Awareness</b> Task 4.3 Final submission of the communications products.	46 weeks after contract effectiveness
10	Quarterly Reports will highlight the project's progress in the quarter and any significant cumulative results.	Quarterly Reports (5 days before the end of each calendar quarter)

	<p>The selected consultancy firm will report against the work plan and schedule as approved with the inception report and the results framework.</p> <p>The quarterly reports will synthesize the main activities implemented in the quarter consistent with the Project's ESMF, the preliminary findings, and the planned activities for implementation in the next quarter; they will also include the consultant's considerations and reflections.</p>	
11	<p>Completion report (5 days before the end of the last quarter)</p>	<p>A short description of the results achieved, including problems encountered and recommendations.</p> <p>An annex of the results' framework matrix with final values.</p>

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

## 8. ENVIRONMENTAL AND SOCIAL RISK MANAGEMENT

The World Bank's Environmental and Social Framework (ESF) came into effect in 2018; it requires all World Bank-funded Projects to comply with relevant Environmental and Social Standards (ESS). For the SEA-MaP Regional Project, an [Environmental and Social Management Framework \(ESMF\)](#) has been prepared to ensure that the SEA-MaP Regional Project addresses environmental and social risks and impacts - associated with technical assistance supported under the Program - in accordance with the ASEAN legal requirements and the World Bank's ESF.

As the outputs of this assignment will help inform deliverables under the SEA-MaP Regional Project, the outputs should be consistent with the Project's ESMF, which may require coordination with the Environmental and Social Specialists of the Project and the World Bank. For example, where recommendations are given through this Guidebook, it should include coverage of the potential downstream environmental and social risks of each financial mechanism that need to be considered and mitigated. The ESMF ensures that Program investments do not create or result in downstream adverse impacts on the environment and society through its technical assistance outputs.

In addition, the selected consultancy firm must comply with the labor-management conditions laid out in the ESMF.

## 9. GENDER EQUALITY

The selected consulting firm should explicitly incorporate gender concerns and women's empowerment strategies in the Guidebook to ensure that financial policies and tools to promote investments in sustainable plastic waste management are gender inclusive and equitable. Such considerations should be explicitly mainstreamed throughout other aspects of the project such as in team composition and stakeholder engagement.

The goal should be to address gender inequalities, foster inclusivity, and create economic opportunities for women as well as men. To this end, this assignment should include the



participation of women-led organizations and entities during consultations and provide analysis, recommendations and also case study examples, where possible, of how different financial mechanisms for plastic waste management can empower women and foster gender equality.

The communications and outreach proposal should include considerations for engaging with women and women's groups and suggest specific methods of engagement that ensure that information is accessible to women interested in the assignment or affected by it.

## 10. RESULTS FRAMEWORK

The assignment aligns with Component 1 of the project, Strengthening Regional Policies and Institutions for Plastics Circularity.

The assignment's success will be assessed by the timely completion of fit-for-purpose deliverables developed through adequate stakeholder consultations and the management of the interfaces with related aspects of the project.

The assignment, specifically its tasks and deliverables, will contribute to:

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

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

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

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

SEA-MaP Outcome	Project Outputs	Sub-Indicators	Target	Data Source and Means of Verification
<b>PDO</b> - To strengthen plastics policies and regulatory frameworks and promote innovative solutions to help reduce plastic pollution in Southeast Asia.				
<b>Indicator</b> - PDO1 Number of plastic policies, guidelines, or standards established and aligned with the ASEAN Regional Action Plan (Number)				
<b>Intermediate Result</b> - Strengthen Institutions and Regional Policies for Plastics Circularity				
<b>Indicator</b> - IR1.2 Plastics-related regional guidelines and guidebooks	<i>The Regional Guidebook on Financial Mechanisms for Investments in</i>	1.2.1 Sign-off and acceptance of the final deliverables.	TRUE	Landscape Analysis, Guidebook, and communications

SEA-MaP Outcome	Project Outputs	Sub-Indicators	Target	Data Source and Means of Verification
produced and disseminated	<i>Plastic Waste Management</i>  (including Outreach/communications materials)	1.2.2 The Guidebook is published on the ASEAN website		outputs are present on the Knowledge Hub and/or the ASEAN website
Indicator - IR2.3 Percentage of beneficiaries satisfied with the engagement process in the consultations, training, seminars, and workshops (Percentage)	Technical- and Government-level consultations held to facilitate deliberations	2.3.1 No. of consultations held.	2 Technical  1 Government	Participant Registration and Attendance records
		2.3.2 No. of participants (disaggregated by Region/ AMS, and sex/gender)	30 - 50 in each consultation with at least 30% of women participation	Event summary with photos
		2.3.3 Percentage of feedbacks received from participants	90%	Feedback Forms filled out by the participants at the end of the consultation meetings
		2.3.4 Percentage of participants satisfied with the consultations	85%	Quarterly Reports submitted by the IP

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

## 11. Qualifications/Expertise Required

Bidders should demonstrate key expertise relating to the project's different components and the needs of the multi-year management process. This can be demonstrated in any relevant manner, such as by forming a team of multidisciplinary experts through a joint venture/consortium or by providing key management and technical expertise while engaging sub-consultants.

Cumulatively, at least the following competencies and technical expertise are expected to be required to produce the Regional Guidebook in Financial Mechanisms for Investments in Plastic Waste Management.

### *Minimum Selection Criteria*

- Direct, relevant experience in addressing marine plastic debris and applying financial mechanisms, policies, and practices in the ASEAN region, as demonstrated by relevant project experience and depth and breadth of staff expertise.
- Direct and relevant experience in the financial management of plastic waste collection, of plastic recycling, or other aspects of solid waste management collection and processing.
- Strong understanding of the plastic waste management and policy ecosystem dynamics across the region, and relationships with the key stakeholders working on plastic waste prevention / circular economy in ASEAN.
- Strong understanding of the informal sector and of the interactions of SWM with vulnerable groups such as women and informal workers.
- Existing relationships with innovators, universities, and local entrepreneurial support organizations across ASEAN.
- Capacity to host, convene and facilitate regular meetings in both online and offline settings.
- Solid skills and experiences in convening multi-stakeholder groups.
- Relevant technical experts with a presence in the ASEAN countries.

### *Indicative Team Qualifications*

Below is an indicative list of critical consultant positions. The bidders may use their expertise by proposing alternative estimates of the required expertise to complete the assignment. The implementing entity is anticipated to require multiple full-time staff throughout the project period to manage the program as it is currently designed. The following team composition can be considered a possible reference for the key senior members:

<b><u>Title</u></b>	<b><u>Preferred experience</u></b>
Team Leader	<p><u>Education (2 points)</u></p> <p>Master's degree in a relevant discipline relating to such as Environmental Management, Public Policy, Environmental Economics, Sustainable Development, Finance, Environmental Law, or similar. A PhD is desirable.</p> <p><u>Work experience (6 points)</u></p> <ul style="list-style-type: none"><li>• At least ten years of experience in the circular economy, solid waste management, plastic-related projects, plastics issues, plastic pollution prevention, and related topics.</li><li>• At least 5 years of experience in Southeast Asia.</li><li>• Proven experience with policy and/or practice concerning plastic waste management or recycling.</li><li>• Strong communication and facilitation skills.</li><li>• Experience of working with ASEAN regional institutions.</li></ul>

Title	Preferred experience
	<u>Language</u> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential.</li> </ul>
Senior Plastic Waste Expert	<u>Education (2 points)</u> Master's degree or equivalent in economics, environmental economics, international trade, or related areas.  <u>Work Experience (4 points)</u> <ul style="list-style-type: none"> <li>More than five years of work in plastic waste management.</li> <li>Experience in multiple types of innovative plastic management projects, such as alternative packaging, EPR, DRS, waste fee structures, etc.</li> <li>Experience of working with ASEAN regional institutions.</li> </ul> <u>Language</u> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential.</li> </ul>
Senior Finance Expert	<u>Education (2 points)</u> Master's degree in a relevant discipline such as Finance, Environmental Economics, or other relevant one. Two years of relevant experience after achieving a bachelor's degree with a relevant discipline (within the overall period of work experience) is considered equivalent.  <u>Work Experience (4 points)</u> <ul style="list-style-type: none"> <li>More than five years of experience in financing innovative sustainability projects.</li> <li>Experience in Southeast Asia strongly preferred.</li> <li>Experience of working with ASEAN regional institutions.</li> </ul> <u>Language</u> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential.</li> </ul>
Communication and Outreach Expert	<u>Education (2 points)</u> Master's or bachelor's degree in communication, journalism, public relations, or a related field. Any bachelor/master with two additional years of relevant experience is considered equivalent.  <u>Work experience (3 points)</u> <ul style="list-style-type: none"> <li>More than five years of professional experience in public relations and outreach.</li> <li>Proven experience hosting events.</li> <li>Proven experience communicating with policymakers.</li> <li>Proven ability to shape messages and stories for outreach use.</li> <li>Experience in Southeast Asia strongly preferred.</li> </ul> <u>Language</u> <ul style="list-style-type: none"> <li>Fluency in both written and spoken English is essential. Excellent communication, analytical, and document drafting skills.</li> </ul>

Title	<u>Preferred experience</u>
	<ul style="list-style-type: none"> <li>Working knowledge of Southeast Asian languages is considered an advantage.</li> </ul>

The bidders should 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.

## **12. WORKPLACE AND TRAVEL REQUIREMENTS**

The project is expected to be conducted mainly as desk work and through online meetings but will require travel for in-person events. 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.

## **13. 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.

## **14. 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 contract signing	10% of lump sum component of the contract amount
2	Approval of the inception report	10% of lump sum component of the contract amount
3	Approval of the first draft of the landscape analysis (Approved tasks from 1.1 to 1.5).	20% of lump sum component of the contract amount
4	Approval of draft Guidebook including Roadmap (Approved tasks from 2.1 to 2.4)	20% of lump sum component of the contract amount
5	Second technical-level consultation on draft Guidebook and report (Task 3.3 )	20% of lump sum component of the contract amount
6	Upon submission of the final Guidebook and related communications products (Approved tasks 2.6 and 4.3)	20% of lump sum component of the contract amount
7	Consultations, communications, and dissemination: Completion of at least two technical-level consultations and one government-level consultation, along with communication and dissemination materials.	Non-personnel (Ceiling) Reimbursable Cost

## 15. 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.

## 16. 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.

## 17. ELIGIBILITY AND SELECTION CRITERIA

### 17.1 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 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>

### 17.2 Qualification Criteria

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

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

In case of a JV, the customer references of the JV members can be combined. should be submitted	
<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>

### 17.3 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	25
3	Quality Assurance and Sustainability Requirements	10
4	Understanding of the Scope of Work and Implementation Strategy	25



Total Technical Proposal Points	80
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Section 1: Bidder's qualification, capacity, and expertise		Point s	Sub-po ints
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.	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		Point s	Sub-poin ts
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	

Section 3: Quality Assurance and Sustainability Requirements	Point s	Sub-poi nts
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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	

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

#### 17.4 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.

## 18. CONFIDENTIALITY STATEMENT

All data and information received by the consulting firm from the World Bank and the stakeholders related to the SEA-MaP Regional Project to support this assignment are to be treated confidentially and are only to be used in connection with the execution of this ToR. All intellectual property rights arising from executing this ToR are assigned to ASEAN. The contents of written materials obtained and used in this assignment may not be disclosed to any third parties without the expressed advance written authorization.