

Technical Assistance to Support the Establishment of the ASEAN School of Regulation - Phase I (Regional)

Terms of Reference | 11 December 2024

The Southeast Asia Energy Transition Partnership (ETP), in collaboration with the Secretariat of the Association of Southeast Asian Nations and the United Nations Commission for Asia and the Pacific (ESCAP), is providing technical assistance for the establishment of an ASEAN School of Regulation to enhance the capacity of energy regulators in ASEAN. This initiative addresses the urgent need for effective regulatory frameworks to support energy transition and cross-border power trade in the region under the ASEAN Power Grid initiative. Through a comprehensive needs assessment, a pilot summer school, and a sustainable concept proposal, the project aims to empower regulators with essential skills and knowledge while promoting gender equality and social inclusion. By fostering a collaborative learning environment, the School will facilitate knowledge sharing and equip regulators to navigate emerging energy challenges, ultimately contributing to sustainable energy systems.



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I. Introduction

1. The Southeast Asia Energy Transition Partnership (ETP), a program of the United Nations Office for Project Services (UNOPS), brings together governments and philanthropies to work with partner countries in the region. ETP supports the transition towards modern energy systems that can simultaneously ensure economic growth, energy security, and environmental sustainability. To contribute to the achievement of the UN's Sustainable Development Goals (SDGs) and the Paris Agreement objectives, ETP works in Southeast Asia, with a focus on three priority countries, namely Indonesia, the Philippines, and Vietnam. ETP's strategy is built around four interrelated pillars of strategic engagement that are squarely aligned to address the barriers to energy transition. These are (i) policy alignment with climate commitments, (ii) de-risking renewable energy and energy efficiency investments, (iii) sustainable and resilient infrastructure, and (iv) just transition.

II. Summary

2. ETP in collaboration with the United Nations Commission for Asia and the Pacific (ESCAP) will implement the project "Technical Assistance for the Establishment of the ASEAN School of Regulation - Phase I". This project aims to build the capacity of the energy regulators in the Association of Southeast Asian Nations (ASEAN) to advance energy cooperation across the region. The purview of the ASEAN School of Regulation will initially cover the needs for advancing the implementation of cross-border power exchange within the context of the ASEAN Power Grid (APG). The collaboration with ESCAP will cover expert support and co-financing and co-organising of activities.
3. The focus of this project is to carry out preliminary activities that will lead to the establishment of the ASEAN School of Regulation. To this end, this terms of reference (ToR) covers three main areas, including (i) a needs assessment on the capacity building for energy regulators in ASEAN; (ii) implementation of a pilot summer school for ASEAN energy regulators; and (iii) propose a concept for the ASEAN School of Regulation. The ToR is set up into four milestone deliverables namely (i) Inception Report; (ii) A report on the Needs Assessment on Capacity Building for Energy Regulators in ASEAN; (iii) Pilot Summer School for Energy Regulators in ASEAN; and (iv) A Report on the Proposed Concept of the ASEAN School of Regulation.

III. Project Details

A. Rationale

4. ETP aims to facilitate a crucial shift towards modern energy systems in the region, particularly in Indonesia, the Philippines, and Vietnam. As these countries face pressing energy challenges, including rising demand, energy insecurity, and climate commitments, the establishment of the ASEAN School of Regulation emerges as a strategic initiative. This school will enhance the capabilities of energy regulators, providing them with the necessary knowledge and skills to

navigate the complexities of regulatory harmonisation and cross-border energy trade. By investing in capacity building, ETP seeks to empower regulators to effectively address the evolving energy landscape and implement policies that foster sustainable economic growth. This project is funded by ETP and the European Union (EU) as part of the EU-ASEAN Sustainable Connectivity Package (SCOPE) Energy.

5. The project is particularly timely as Southeast Asia is at a crossroads, balancing rapid economic development with the need for environmental sustainability. Regulatory bodies play a pivotal role in ensuring that energy markets operate efficiently and equitably, but many regulators lack the resources and training to meet contemporary challenges. Through targeted capacity-building activities, including needs assessments and the pilot summer school, the ASEAN School of Regulation will create a framework for continuous professional development. This approach not only enhances individual competencies but also strengthens regional cooperation in energy regulation.
6. The ASEAN School of Regulation will also serve as a platform for sharing best practices and experiences among member states, facilitating knowledge transfer and collaboration. By fostering a culture of learning and innovation, the school can help harmonise regulatory frameworks across ASEAN, thereby promoting cross-border energy trade and regional energy security. This collaborative approach aligns with the broader objectives of the Paris Agreement and the SDGs, positioning the region as a leader in sustainable energy practices.
7. Finally, the establishment of the school addresses the urgent need for adaptive regulatory frameworks that can respond to emerging technologies and market dynamics. As the energy sector undergoes rapid transformation, regulators must be equipped with the tools and knowledge to implement policies that support the integration of renewable energy sources, enhance energy efficiency, and facilitate the development of smart grids. By preparing regulators for these challenges, the ASEAN School of Regulation will contribute significantly to the resilience and sustainability of the region's energy systems.

B. Impact

8. The establishment of the ASEAN School of Regulation will have a transformative impact on the capacity of energy regulators across Southeast Asia, enabling them to effectively respond to the emerging requirements of the sector, drive regulatory harmonisation and cross-border energy cooperation. This initiative will not only enhance individual competencies but also foster regional collaboration, ultimately contributing to more sustainable and secure energy systems. By promoting inclusive participation and addressing key regulatory challenges, the project will support the region's transition towards a modern energy landscape that aligns with both climate goals and economic growth aspirations.

C. Objectives, Outcomes, and Outputs

9. The objective of the ASEAN School of Regulation is to provide a platform for building the capacity of the energy regulators in ASEAN through demand driven capacity building activities and programs. The outcome of this project is the establishment of the ASEAN School of Regulation that will serve as the key initiative for capacity building programs related to regulatory harmonisation. The ASEAN School of Regulation will ensure equal opportunity for regulators in Southeast Asia to gain access to capacity building programs by mainstreaming gender and social inclusion lens into the program. From the substantive standpoint, the focus of these capacity building activities will be on the cross-border power trade within ASEAN that will require various regulatory harmonisations. In the long run, the School will expand its capacity beyond cross-border power trade and cover the broader energy cooperation in ASEAN.
10. To achieve the objective and outcome, this project will deliver three key outputs, namely (i) a needs assessment for energy regulators in ASEAN; (ii) a pilot summer school on regulatory harmonisation aspects of cross-border power trade; and (iii) a proposed concept of the ASEAN School of Regulation. These outputs will be produced as milestone deliverables in close collaboration with ESCAP and the ASEAN Secretariat. During the implementation period, this project will consult with ASEAN Energy Regulators Network (AERN) and the broader APG stakeholders, namely the ASEAN Power Grid Consultative Committee (APGCC), Heads of ASEAN Power Utilities/Authorities (HAPUA), and the ASEAN Centre for Energy (ACE). The stakeholders list will extend to academia, civil society, think tanks, and development partners.

D. Gender Mainstreaming

11. ETP is committed to promoting and supporting gender mainstreaming in its project implementation. The Project shall be inclusive of the invited stakeholders during the consultation and seek a balanced representation of women. The implementing partner should identify the implications, its outputs and contributions to gender equality in the project activities. This task shall be accomplished through a clear methodology and approach.
12. Gender mainstreaming must be integrated throughout the ASEAN School of Regulation project to create a safe and inclusive environment for capacity-building. The consultant is required to ensure a balanced gender composition, with a minimum 1:1 ratio between men and women, among the project team, invited speakers, and participants. Additionally, all-male panels should be avoided, and priority should be given to Southeast Asian and developing-country experts as subject matter contributors where applicable.

IV. Project Details and Deliverables

A. Milestone Deliverables and Detailed Tasks

13. Table 1 outlines the key deliverables and associated activities which are expected in this project. Additional details about each deliverable follow Table 1.

Table 1. Deliverables and Implementation Timeline

Milestone	Deliverable	Target delivery timeline	% of Payment
1	Inception Report	Month 1	10%
2	A Report on the Needs Assessment on Capacity Building for Energy Regulators in ASEAN	Month 3	30%
3	Pilot Summer School for Energy Regulators in ASEAN	Month 5	30%
4	A Report on the Proposed Concept of the ASEAN School of Regulation	Month 6	30%
Non-personnel Reimbursable Costs	1 Consultation Workshop and 1 Summer School	Months 3 and 5, respectively (to be confirmed during inception)	N/A, reimbursable up to the ceiling costs
Contract Monitoring Requirement	- Monthly progress update - Quarterly RBMF data update	Submission in the ETP's provided template	N/A

Deliverable 1: Inception Report

14. The consultant must prepare an inception report with a detailed work plan and mobilise the necessary resources, ensuring the expectations of ETP are aligned with the consultant's understanding of the project.
15. At the minimum, the inception report should contain:
 - a. Introduction and project background
 - b. Scope of services
 - c. Methodology and workplan to accomplish each deliverable
 - d. Gender mainstreaming plan
 - e. Gantt Chart for all project activities
 - f. Communication and outreach plans
 - g. Stakeholder coordination plan (ETP and other development partners)

- h. Project management structure, inclusive of an organisational chart detailing key personnel, their roles and responsibilities, as well as their locations
 - i. Risks, mitigations and assumptions
- 16. To deliver the inception report, the consultant will refer to the submitted project proposal for this bid and conduct introductory meetings with ETP and other relevant partners to agree on the plan and timeline of the project. It is the responsibility of the consultant to propose and arrange such meetings in the first month of the contract signing prior to submitting the inception report to ETP.
- 17. During this inception phase, the consultant will coordinate with ETP, ESCAP, and the ASEAN Secretariat to confirm and agree on the implementation plans and timeline. This project will require the deliverables to be presented to the ASEAN member states through official channels that will be facilitated by the ASEAN Secretariat.

Deliverable 2: A Report on the Needs Assessment on Capacity Building for Energy Regulators in ASEAN

- 18. Deliverable 2 of this project is a needs assessment report that will reflect the capacity building areas for the energy regulators in ASEAN. The focus of this needs assessment report should be on energy regulators who will be involved in various regulatory harmonisation efforts in ASEAN. As a minimum, the report shall contain the following:
 - a. Executive Summary
 - b. Background and introduction
 - c. Approach and methodology
 - d. Capacity building needs for energy cooperation in ASEAN
 - e. Deep-dive capacity building needs assessment for cross-border power trade
 - f. Overarching recommendations for capacity building programs and its timeline
 - g. Financing needs and modalities for the proposed capacity building programs
 - h. Conclusions
 - i. Annex 1 - Stocktake data on the capacity building initiatives for regulators in ASEAN
 - j. Annex 2 - Summaries of consultation meetings and workshop
 - k. Annex 3 - Photos of consultation meetings and workshop
- 19. The consultant will gather primary and secondary information to assess the capacity building needs that cover energy cooperation in general and a deep-dive in cross-border power trade in line with the APG goals and objectives. The development of this report will require consultations with the energy regulators, AERN, and the ASEAN Secretariat through bilateral meetings and a consultation workshop. To this end, the consultant will need to perform the following task, noting that the list is non-exhaustive and may be adjusted as the project progresses:

- a. **Capacity building needs assessment for regulators in ASEAN** that will be done based on the findings of the initial consultation workshop with AERN members carried out by ESCAP and ETP as well as desk research and primary data collections. The focus of the needs assessment is on broader energy cooperation, with a particular focus on the areas of regulatory harmonisation required for cross-border power exchange. The consultant will come up with the proposed methodology and required data to conduct this needs assessment.
- b. **A stocktake of capacity building activities** for energy regulators in ASEAN, covering the national and regional levels to provide a comprehensive overview of the existing initiatives. This task should cover the initiatives done not only by the development partners, but also by academic institutions, ASEAN and the individual member states. The outputs include a dataset of capacity building activities in ASEAN with details such as the areas and topics covered, actors providing the capacity building, modality, duration, funding information, and gender considerations, among others.
- c. **Gaps analysis and recommendations for capacity building** targeted at ASEAN energy regulators to support regulatory harmonisation efforts in cross-border power exchange. The gaps should be identified by analysing the data from the needs assessment and stocktake exercise. Based on the gaps, the consultant will develop recommendations covering the topics or areas that the ASEAN School of Regulation should focus on and the effective modalities to deliver such capacity building activities based on the existing initiatives and reflections from the stakeholders. The consultant will incorporate gender considerations when conducting gaps analysis and developing recommendations.
- d. **Stakeholder consultations** will be done in bilateral meeting and workshop formats to gather information and validate the findings and recommendations. The bilateral meetings will be held with relevant energy regulators, development partners, and academic institutions, among others. Meanwhile, the consultation workshop will be done by gathering the ASEAN member states represented in AERN. **Please refer to “Section B - Consultations, Communications, and Dissemination”** for details of stakeholder consultations.

Deliverable 3: Pilot Summer School for Energy Regulators in ASEAN

20. In close collaboration with ESCAP, the consultant will design and deliver a summer school for energy regulators in ASEAN. The consultant will develop a summer school curriculum for ASEAN energy regulators, incorporating best practices and tailored content to enhance capacity building. This includes identifying and securing expert speakers, co-delivering sessions with ESCAP, and managing logistics for an in-person event in an ASEAN country. Stakeholder consultations will be conducted through bilateral meetings and a workshop to gather insights and validate the programme, engaging energy regulators, development partners, and representatives from ASEAN member states.

21. The summer school will be done with the following specifications:

- a. Expected delivery: July-August 2025
- b. Total participants: 20 people (2 representatives from each member state)
- c. Duration: 5 full days of training program.
- d. Location: Bangkok, Thailand (The final location will be confirmed during the inception meeting; however, bidders should propose a budget with the assumption that it will be held in Bangkok, Thailand).
- e. Modality: In-person only, combining lectures, group works, and field visit(s).

22. Specifically, the consultant will perform the following tasks:

- a. **Summer School Curriculum and Materials Development.** The consultant shall be responsible for developing the summer school curriculum and accompanying educational materials in close coordination and collaboration with ETP, ESCAP and the ASEAN Secretariat. This task will involve conducting a thorough needs assessment to identify key topics and learning objectives that align with the goals of energy cooperation within the ASEAN region. The curriculum will encompass essential governance structures and market design options for multilateral power trade with a focus on practical applications. The consultant will ensure that all educational materials, including case studies, presentations, and interactive modules, are designed to facilitate participant engagement and enhance their understanding on the subject matter. To this end, the Consultant will develop a gender mainstreaming plan that covers both the substantive and the procedural aspects of the Summer School.
- b. **Speakers Identification and Arrangements.** The consultant will identify and secure qualified speakers for the summer school, ensuring that the program includes a diverse range of experts in energy regulations and laws, power sector policy development, and related technical and non-technical fields. The selection process will focus on the speakers' expertise, experience in capacity building, gender composition, and ability to communicate complex concepts effectively. Upon identification, the consultant will make all necessary arrangements to confirm the speakers' participation, discuss their presentation topics, and coordinate logistics such as travel and accommodation. This effort will ensure the inclusion of valuable insights and perspectives, enriching the learning experience for participants.
- c. **Summer School Co-Delivery with ESCAP.** The consultant will facilitate the co-delivery of the summer school in collaboration with ESCAP. This partnership aims to enhance the program's credibility and effectiveness by leveraging ESCAP's expertise in regional capacity building and its established networks within the energy sector. The consultant will work closely with ESCAP to design and implement the summer school program, ensuring it reflects current trends and best practices in energy regulation. Joint sessions will be organised to promote interaction and dialogue among participants, fostering a sense of community among energy regulators from ASEAN member states.

- d. **Logistics Arrangements for In-person Hosting.** The consultant will manage all logistics arrangements necessary for hosting the summer school in-person tentatively in Bangkok, Thailand. This will involve coordinating with local institutions, ESCAP, and the ASEAN Secretariat to select an appropriate venue that accommodates all participants and provides the necessary technological support for presentations and discussions. The consultant will oversee arrangements for accommodations, meals, transportation, and on-site support staff, ensuring a seamless and engaging environment for all attendees. The consultant will ensure the provision of 2 coffee breaks per day, 1 lunch per day, and 1 welcome dinner for the event. By building strong partnerships with local institutions, the consultant will enhance the effectiveness of the summer school and support regional capacity-building efforts.
- e. **Travel Arrangements for Participants.** The consultant will be responsible for coordinating travel arrangements for all participants attending the summer school from the 10 ASEAN member states. This includes organising logistics such as booking flights and hotels, arranging local transportation, paying out the Daily Subsistence Allowance (DSA), and managing the registrations. The consultant will pay special attention to the diverse needs of participants, accommodating any specific preferences or constraints. Clear communication will be established to ensure participants receive all necessary travel details well in advance in close coordination with ETP, the ASEAN Secretariat and ESCAP. Bidders are required to include the travel arrangements component in their financial proposal to cover the travel of 10 participants (the remaining 10 participants will be covered by ESCAP) that include the following:
 - i. Economy class return flights
 - ii. DSA to cover accommodation, meals, and other expenses incurred during the official travel period. DSA will be provided to 10 participants for the travel day to the summer school location and 5 days of training, totalling 6 days (inclusive of travel days).

Deliverable 4: A Report on the Proposed Concept of the ASEAN School of Regulation

23. To deliver a “Report on the Proposed Concept of the ASEAN School of Regulation”, the consultant will assess potential institutions in ASEAN to host the ASEAN School of Regulation, analyse best practices in regulatory education, and propose a governance structure and financing plan for sustainability. Stakeholder consultations will be conducted through bilateral meetings and 1 consultation workshop to gather insights and validate findings, involving energy regulators, development partners, and representatives from ASEAN member states via AERN. As a minimum, the report shall contain the following:

- a. Background and introduction
- b. Approach and methodology
- c. Capacity building needs for energy cooperation in ASEAN
- d. Deep-dive capacity building needs assessment for cross-border power trade
- e. Overarching recommendations for capacity building programs and its timeline

- f. Financing needs and modalities for the proposed capacity building programs
- g. Conclusions
- h. Annex 1 - Summaries of consultation meetings and workshop
- i. Annex 2 - Photos of consultation meetings and workshop

24. The consultant will perform the following key tasks:

- a. **Landscape Scanning of Potential Hosting Institutions.** The consultant shall conduct a comprehensive landscape scan to identify potential institutions within ASEAN that could host and operate the ASEAN School of Regulation. This task will involve developing a set of criteria or indicators for shortlisting and assessing these institutions. The criteria will consider various factors, including academic excellence, physical and online infrastructure, academic programmes and expertise offered, and research focus. The consultant will ensure that the institutions identified ideally reside in an ASEAN country with a strong regional or international reputation, thereby enhancing the credibility and effectiveness of the proposed School.
- b. **Analysis of Good Practices in Establishing Regulatory Schools.** The consultant will gather and analyse good practices for establishing regulatory schools by examining examples from Southeast Asia and other regions globally. This analysis will focus on institutions that effectively address cross-border power exchange and/or energy sector regulatory harmonisation. The consultant will compile insights on successful models, curricula, governance structures, and operational frameworks, providing valuable lessons that can inform the establishment of the ASEAN School of Regulation.
- c. **Proposed Governance Structure.** The consultant will propose a governance structure for the ASEAN School of Regulation that ensures effective oversight, accountability, and stakeholder engagement. This structure will be designed to facilitate collaboration among various stakeholders, including government agencies, regulatory bodies, academic institutions, and industry representatives. The consultant will outline roles and responsibilities, decision-making processes, and mechanisms for stakeholder involvement to create a robust framework that supports the School's objectives.
- d. **Financing Plan for the ASEAN School of Regulation.** The consultant will develop a comprehensive financing plan for the ASEAN School of Regulation. This plan will include an estimate of operational costs, identification of potential funding sources, and an overall business model to ensure the sustainability of the School. The consultant will explore diverse funding avenues, such as government support, private sector partnerships, and international grants, to create a diversified funding strategy. The financing plan will be designed to provide the necessary resources for the School's activities while ensuring long-term viability.
- e. **Stakeholder consultations** will be done in bilateral meeting and workshop formats to gather information and validate the findings and recommendations. The bilateral meetings will be held with relevant energy regulators, development partners, and academic institutions, among others. Meanwhile, the consultation workshop will be

done by gathering the ASEAN member states represented in AERN. Please refer to Section B below for details of stakeholder consultations.

B. Consultations, Communications, and Dissemination

25. The consultant will submit a proposed workplan as part of the deliverables for ETP's review, outlining the approach to stakeholder consultations. These consultations may be conducted in two formats i.e., bilateral meetings and a workshop, with the following details:
- a. **Bilateral meetings:** The consultant will identify and propose the meeting needs that will be consulted with ETP, ESCAP, and the ASEAN Secretariat. The bilateral meetings can be done online and/or in-person. In the case of in-person meetings, the consultant is required to incorporate travel and other related costs under the reimbursable budget line in the financial proposal (please see Section E in this ToR for the details of the UN travel management policy).
 - b. **Stakeholder consultation workshop:** The consultant is required to conduct one consultation workshop with the member states represented in AERN to gather information and validate the assumptions developed during the report development. The consultant is responsible for developing the workshop program, delivering the workshop, and arranging all the workshop logistics (meeting venue and travel arrangements for the member states) in coordination and consultation with ETP, the ASEAN Secretariat, and ESCAP.
26. The **stakeholder consultation workshop as specified in 24(b)** must be included in the proposal. Bidders must allocate costs for a meeting package for 30 people covering 2 coffee breaks per day, 1 lunch per day, and 1 welcome dinner for the event. Of the 30 people, 20 people will come from the ASEAN Member States, and the remaining 10 participants will include ETP, ESCAP, the ASEAN Secretariat, the consultant, and any relevant development partners. Additionally, travel sponsorships as specified in 25(d) must be included in the financial proposal.
- a. Total participants: 30 people
 - b. Location: Kuala Lumpur, Malaysia (to be confirmed, the bidders should propose a budget with Kuala Lumpur as the assumption)
 - c. Duration: 2 full days
 - d. Travel sponsorship for 20 ASEAN Member State representatives (2 from each country). Entitlements include:
 - i. Economy class return flights (20 pax from 10 ASEAN countries)
 - ii. DSA to cover accommodation, meals, and other travel-related expenses incurred during the official travel period. DSA will be provided to 20 participants for the travel day to Kuala Lumpur, Malaysia and 2 days of workshop, totalling 3 days (inclusive of travel days).
 - e. The remaining 10 participants will be self-funded for their travel arrangements. Bidders need to include a meeting package for 30 people.

27. The consultation workshop will be reimbursed against the actual costs. The consultant is required to propose in the financial proposal the non-personnel costs associated with consultation workshop participation. The consultant shall handle all tasks related to the workshop including organising the logistics, meals, inviting participants and speakers, booking the venue, facilitating DSA payment to sponsored participants, and executing the actual workshop. The non-personnel costs will be reimbursed against the actual up-to-the-ceiling price proposed in the bidding.
28. **Communication Products.** The consultant will also be required to develop communications and dissemination products from the project. The communications products form the contractual requirements from ETP for every contract managed. The following table provides the details of the required communication products for this project:

Table 2. Project Communications Requirements

No.	Communications Items	Quantity
1	Social media posts The Consultant will provide texts (approx 100 words) and photos (minimum 2). The ETP team will publish the content on ETP’s social media sites (<u>LinkedIn, Facebook, Twitter</u>),	1 post per platform per public workshop/event
2	Press Releases The Consultant will compile texts (approx 500 words), following which the ETP team will publish the press release on the ETP website.	1 per public workshop/event
3	Articles for ETP Website The Consultant will compile texts, following which the ETP team will publish the article on the ETP website. The articles must be impactful and engaging, and capture key project activities and impact. Each article must be submitted with a minimum of 3 high-quality photos/graphics.	2 - including 1 by mid-project, and 1 upon project completion
4	Project wrap-up presentation A 15-20 minute recorded presentation (with slide deck) summarising key highlights of the project. The recording will be featured on the ETP	1 upon project completion

	website as a knowledge item.	
5	Database of project photographs from events/activities	15-20 high-quality images per workshop/event/activity, inclusive of ‘action shots’ capturing key speeches, activities and participant engagement

29. **Visibility.** The Consultant shall take all appropriate measures to ensure that the [Communications and Visibility requirements](#) provided by ETP will be adhered to for all project-related activities. The Communications and Visibility requirements will be shared with the awarded offerer upon signature of the contract.

C. Data Management

30. **Personal data management.** The consultant needs to make appropriate arrangements to ensure safe space for participation in all project activities. Each event and publication will need to comply with the personal data protection and privacy principles of the UN.¹ The consultant must provide a detailed explanation of data handling throughout the project period, including gathering, processing, and transfers.

D. Contract Monitoring Requirement

31. In addition to the listed deliverables, the consultant is required to submit progress updates on a monthly basis and the Results Based Monitoring Framework (RBMF) data update on a quarterly basis. Failure to do so may result in the payments being withheld.

32. The monthly progress updates include a concise narrative (in short bullet points) of the completed activities contributing towards the milestones and the indicative next steps. It serves as the monitoring report between the implementing partner and ETP.

33. The monthly progress updates include the following standard items:

- a. General progress update
- b. Updated Gantt chart
- c. Risk identification and mitigation
- d. Communications activities and materials

34. The final monthly progress updates will include the above items and the following:

- a. Summary of lessons learned from the project implementation
- b. Recommendations on potential next steps to build on this project

¹ For the full details of the principles, please refer to the UN Principles on Personal Data Protection and Privacy 2018 ([Link](#)).

- 35. On a quarterly basis, the consultant is required to update the RBMF data in a provided template. The data must be gender-disaggregated, where applicable.
- 36. The templates (Excel spreadsheet) for both the monthly progress updates and RBMF will be shared at the project kick-off stage.

E. Other key information

- 37. A public-facing, catchy PowerPoint presentation highlighting key information must be submitted with each deliverable.
- 38. All project deliverables and presentations must be submitted in English with professional copy edits and layouts.
- 39. All deliverables are subject to review by ETP, and beneficiary entity(ies) where applicable, before approval. If there are comments and suggestions, the deliverables need to be revised accordingly before payment is released.
- 40. The consultant must follow the UN travel management policy for all project-related travel. This includes using economy class airfare on the most direct and cost-effective route. ETP will compare the proposed airfare breakdown with rates provided by the UN’s travel agency to ensure alignment with policy standards.

V. Project Timeline

- 41. The project is expected to be completed within 7 months. The actual project timeline will be presented by the consultant and agreed upon in the Inception Report.

Table 3. Proposed timeline of the project’s deliverables

Deliverables	Month						
	1	2	3	4	5	6	7
Deliverable 1: Inception Report							
Deliverable 2: A Needs Assessment Report on Capacity Building for Energy Regulators in ASEAN							
Deliverable 3: Pilot Summer School for Energy Regulators in ASEAN							
Deliverable 4: A Report on the Proposed Concept of the ASEAN School of Regulation							

- 42. The deliverable timeline will be aligned with ASEAN’s official meetings, including but not limited to the Senior Officials Meeting on Energy (SOME) and the ASEAN Ministers of Energy Meeting (AMEM). It is expected that all deliverables will be presented and reported to the ASEAN member states and AERN by the ASEAN Secretariat as the key strategic partner. Therefore, the delivery timeline will be confirmed and discussed during the inception period.

VI. Key Stakeholders

43. The non-exhaustive list of key stakeholders that could be collaborators is provided in the following table.

Table 4. List of potential collaborators

Stakeholder	Explanation
ESCAP	ESCAP has been supporting countries in Southeast Asia in the energy transition sphere, including in the field of regional power grid, critical minerals, and energy transition finance.
ASEAN Secretariat	The ASEAN Secretariat plays a key role in facilitating cooperation and coordination among member states and servers as the Secretariat of AERN.
AERN	AERN plays a key role in advancing regulatory harmonisation for energy cooperation in ASEAN. All deliverables in this ToR are designed to support AERN in realising their objectives.
Agence Française de Développement (AFD)	The support to the ASEAN School of Regulation is part of the soft component of AFD's assistance in the APG work on top of the feasibility studies of APG's priority interconnections that are conducted in parallel.
The European Union	Through EU-ASEAN Sustainable Connectivity Package (SCOPE) Energy, the European Union is supporting the APG initiative through ETP-UNOPS. To which, the technical assistance for the establishment of an ASEAN School of Regulation is part of its activities.
ASEAN Centre for Energy (ACE)	ACE plays a significant role in coordinating the APG initiative in ASEAN particularly with HAPUA and APGCC. This project will therefore coordinate with ACE on the activities and overall governance mechanism for the School of Regulation moving forward. ACE is part of the ASEAN Power Grid Advancement Program (APG-AP) consortium with ETP-UNOPS, CASE, and ESCAP.
Clean, Affordable, Secure Energy (CASE) for Southeast Asia	Led by GIZ, CASE is one of the key partners to the APG-AP that is willing to provide technical advisory support to the School of Regulation.

44. The contractor is expected to identify and engage with the relevant stakeholders as part of this project in close coordination with ETP.

VII. Results Based Monitoring Framework and Risks Assessment

A. Results Based Monitoring Framework

45. This project will contribute to the Strategic Outcome (SO) 3 of ETP on Extending Smart Grid.
46. The results of the project are monitored through the RBMF that will be provided at the inception stage. The consultant will provide quarterly RBMF data as requested by ETP.

Table 5. Results Based Monitoring Framework Outline

Primary Outcome Area	Indicators	Project Output	Output Target Number	Assumptions
SO3 - Extending Smart Grids	IN 3.1-02 - No. of technical design, demo, modelling projects supported for smart infrastructure	1 report on the design of the School of Regulation that will support the ASEAN Power Grid implementation.	1	This report will provide a detailed design of the School that eventually will lead to the advancement of APG.
	IN 4.1-01 - No. of studies, research, new evidence gathered and published, for raising awareness, improving the knowledge base, driving decisions, and dissemination	1 report on capacity building needs assessment.	1	The reports will be done in parallel with the first report being finalised first.
	IN 4.1-02 - No. of trainings, knowledge sharing events, and/or awareness workshops organised at national and regional levels building institutional capacity and knowledge networks	1 consultation workshop and 1 pilot summer school	2	Consultation workshop and summer school will invite ASEAN energy regulators
	IN 4.1-02 A - Total no. of attendees	1 consultation workshop and 1 pilot summer school	50	30 people for consultation workshop and 20 people for summer school
	IN 4.1-02 B - Total no. of female attendees	50% of the participants should be women	25	Adding gender balance suggestion in the invitation to the member states
	IN 4.1-03 - No. of articles, press-releases on social media, and mass media, for outreach	Press releases and social media posts for consultation workshop and summer school	4	1 press release and 1 social media post for each event
	IN 4.1-04 - Total no. of entities supported through Technical Assistance	ASEAN Secretariat, AERN, 10 energy regulatory bodies in ASEAN	12	ASEC, AERN, and all member states participate in the project activities

	IN 4-01 - Targeted audiences indicate improved knowledge about EE/RE and the ability to sustain Energy Transition efforts	80% of participants reporting improved knowledge after the summer school	80%	The pilot Summer School will be delivered in-person that could increase its effectiveness in improving the knowledge.
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47. The results are reported with additional supporting information and evidence where applicable and necessary.

B. Risks and Mitigation Measures

48. The Consultant shall develop risks and mitigation measures related to this project. The initial risks and mitigation assessment is available in the following table.

Table 6. Risks and Mitigation Measures

Risks	Mitigation	Likelihood
Stakeholder Engagement Challenges	Conduct regular stakeholder consultations and feedback sessions to ensure alignment and address concerns promptly in close coordination with the ASEAN Secretariat and ESCAP.	Low
Limited Resources or Funding	Explore alternative funding sources and partnerships to diversify financial support for the project.	Low
Change of leadership positions in ASEAN	Establish strong relationships with the new stakeholder focal point and maintain consistent communication to ensure continuity and support for project objectives.	Medium
Lack of Political Will	Engage political leaders and policymakers early in the process to build support and highlight the project's alignment with national priorities.	Medium
Inadequate Data Availability	Conduct preliminary assessments to identify data gaps and collaborate with the ASEAN Secretariat and ESCAP for data collection and sharing.	Medium

VIII. Qualification and experience of the service provider and evaluation criteria

A. Qualification and Experience of the Service Provider

49. The consultant's project team should demonstrate the capacity to execute the works and should include all essential roles filled with personnel with relevant experience. CV's of the personnel proposed should be used to verify this information.

50. The following are the **minimum positions** that should be included on the team. Bidders should make an assessment of the additional positions needed (if any) to complete the assignment as per Terms of Reference:
- a. Team Lead - Energy Regulation Focused
 - b. Power Systems Specialist
 - c. Power Market Development Specialist
 - d. Curriculum Development Specialist
51. Considering the importance of close coordination with stakeholders in Southeast Asia, it is expected that the team proposed consists of personnel who understand the local context.
52. The bidder should also assign a Contract Manager who would liaise on the non-technical part of the contract implementation, including coordination, liaising with key counterparts, liaising with UNOPS on submission of invoice and payment-related documents.

B. Evaluation Criteria

Eligibility Criteria

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

Table 7. List of Eligibility Criteria

Criteria	Documents to establish compliance with the criteria
<p>1. Offeror is eligible as defined in Instructions to Offerors, Article 4.</p> <p>In case of JV, all JV members should fulfil this requirement</p>	<ul style="list-style-type: none"> ● Form A: Joint Venture Partner Information Form, all documents as required in the Form, in the event that the Proposal is submitted by a Joint Venture. ● Form B: Proposal Submission Form
<p>2. Completeness of the Proposal. All required Questionnaires (if any), Returnable Bidding Forms, and other documentation requested under the Document Checklist section have been provided and are complete</p>	<ul style="list-style-type: none"> ● All documentation as requested under Instructions to Offerors Article 10, Documents Comprising the Proposals

Criteria	Documents to establish compliance with the criteria
3. Offeror accepts UNOPS General Conditions of Contract as specified in Section IV: Contract Forms	<ul style="list-style-type: none"> • Form B: Proposal Submission Form

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

Table 8. List of Qualification Criteria

Criteria	Documents to establish compliance with the criteria
<p>1. The company should have a minimum 5 years of experience with at least 2 similar contracts or projects within related sectors, such as energy transition, environmental policy, sustainability, and capacity building.</p> <p>In case of a joint venture (JV), at least one of the JV members should fulfil this criteria</p>	<ul style="list-style-type: none"> • Certification of incorporation of the Offeror • Form F: Performance Statement Form
<p>2. Offeror must provide a minimum of two (2) customer references (including name, email address and/ phone number of the focal point) within any of the last 5 years.</p> <p>In case of a JV, at least one reference from the JV should be submitted</p> <p>UNOPS may contact the customer reference when the bidder is awarded the contract.</p>	<ul style="list-style-type: none"> • Form F: Performance Statement Form
<p>3. Financial Capacity/financial stability: Bidder should have a minimum annual turnover of USD 300,000 in any of the past 2 years Liquidity / quick</p>	<p>Offeror should submit audited financial statements for the past 2 years or any other document/ statement accepted by the local government authorities in which</p>

Criteria	Documents to establish compliance with the criteria
<p>ratio should be a minimum 1, in any of the past 2 years.</p> <p>In case of a JV, annual turnover is calculated based on the total annual turnover of the JV members. In case of a joint-venture, at least one of the JV members should have 1 liquidity/quick ratio in any of the past 2 years.</p>	<p>the offeror is legally registered to provide the services.</p>

Technical Criteria

55. Technical evaluation will be carried out on bids that pass the eligibility, formal and the qualification criteria, with requirements as follows:
- The maximum number of points that a bidder may obtain for the Technical proposal is 80. To be technically compliant, Bidders must obtain a minimum of 56 points
 - Minimum pass score: 70% of maximum 80 points = 56 points

Table 9. Technical proposal points allocation

Section No.	Description	Points Obtainable
1.	Offeror's qualification, capacity and expertise	20
2.	Proposed methodology, quality assurance, implementation timeline, and sustainability plan	35
3.	Key personnel proposed	25
Total Technical Proposal Points		80

Section 1: Offeror's qualification, capacity and expertise (20 Points)

No.	Details	Points
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1.1	Brief description of the consultant (organisation), including the year and country of incorporation, and types of activities undertaken, including relevance of specialised knowledge and experience on similar engagements done in the past. Bidders partnering up with a local entity to provide for the strategic consultation, translations; as well as communications expertise is considered a valuable asset.	15
	1. Experience in projects of comparable size, type, complexity and technical specialty (5 points)	
	2. Demonstrates an understanding of the ASEAN context with regards key stakeholders, legal, regulatory and policy landscape (5 points)	
	3. Demonstrates an ability to engage and work with different governments in ASEAN at the national and regional levels (5 points)	
1.2	General organisational capability which is likely to affect implementation: Management structure, management controls, and extent to which any part would be subcontracted.	5

Section 2: Proposed Methodology, Approach and Implementation Plan (35 points)

No.	Description	Points
2.1	Description of the Offeror's approach and methodology for meeting or exceeding the requirements of the Terms of Reference.	25
	1. Description of the offeror's approach for data gathering and analyses to develop the two reports. (10 points)	
	2. Description of the offeror's approach to delivering the Summer School that incorporates innovative methods to ensure participation. (10 points)	
	3. Description of the offeror's approach to engaging the key stakeholders, including ASEAN counterparts, development partners, and country representatives. (5 points)	
2.2	Quality Assurance Plan A plan outlining how the bidder intends to ensure oversight and quality assurance throughout the assignment, including clear process flow between the experts and JV members (if relevant). Quality Assurance plan should include discussion on risk-assessment and its mitigation plan.	5

2.3	Implementation Timeline Bidder submits a detailed implementation timeline which includes detailed activities to be undertaken during this assignment, and is completed with gantt chart.	2
2.4	Sustainability criteria The bidder shall provide a clear statement, approach and methodology that demonstrates its commitment to support and mainstream gender equality and social inclusion through its operations and project implementation activities.	3

Section 3: Key personnel proposed and Sustainability Criteria (20 points)

No.	Criteria	Description	Points
3.1.	Team Lead - Energy Regulation Focused	<p>Education (1 point)</p> <ul style="list-style-type: none"> • An advanced degree in Energy Policy, Laws, Environmental Studies, Engineering (Energy or Power Sector) or a related field is required. • Experts with a first level university degree (Bachelor's degree or equivalent) and additional 2 years of relevant experience will be considered in lieu of Advanced degree. <p>Experience (9 points)</p> <ul style="list-style-type: none"> • At least 10 years of extensive experience managing projects of comparable sizes and scale. (2 point) • Experience in assessing energy policy frameworks and regulatory harmonisation practices in Southeast Asia based on the personnel project portfolio and publications listed in the resume/CV. (2 point) • Expertise in cross-border power trade regulations and harmonisation efforts. (2 point) • Experience in developing capacity building programs in the energy sector. (2 point) • Proven ability to engage with government bodies and regulatory agencies in Southeast Asia. (1 point) 	10

3.2.	Energy and Power Sector Specialist	<p>Education (1 point)</p> <ul style="list-style-type: none"> Advanced degree in Engineering (Energy or Power Sector), Energy Studies, Environmental Science, or a related field is required. Experts with a first level university degree (Bachelor's degree or equivalent) and additional 2 years of relevant experience will be considered in lieu of Advanced degree. <p>Experience (4 points)</p> <ul style="list-style-type: none"> At least 7 years of experience in the technical aspects of power generation, transmission, and distribution. (1 point) Experience with renewable energy technologies and their integration into existing power systems. (1 point) Familiarity with grid management and smart grid technologies. (1 point) Experience in cross-border power trade in Southeast Asia. (1 point) 	5
3.3.	Power Market Development Specialist	<p>Education (1 point)</p> <ul style="list-style-type: none"> An advanced degree in Energy Economics, Energy Policy, or a related field is required. Experts with a first level university degree (Bachelor's degree or equivalent) and additional 2 years of relevant experience will be considered in lieu of Advanced degree. <p>Experience (4 points)</p> <ul style="list-style-type: none"> At least 7 years of experience in designing and implementing market structures for power systems. (1 point) Knowledge of regulatory frameworks that facilitate competitive power markets in Southeast Asia. (1 point) Experience with market analysis, including demand forecasting and pricing strategies. (1 point) Ability to assess the economic implications of policy changes on market dynamics. (1 point) 	5

3.4.	Curriculum Development Specialist	<p>Education</p> <ul style="list-style-type: none"> Advanced degree in Education, Instructional Design, or a related field is required. Experts with a first level university degree (Bachelor's degree or equivalent) and additional 2 years of relevant experience will be considered in lieu of Advanced degree. <p>Experience (4 points)</p> <ul style="list-style-type: none"> At least 7 years of experience in developing educational programs and curricula focused on energy regulation. (1 point) Strong background in instructional design principles and adult learning methodologies. (1 point) Experience in engaging subject matter experts or technical organisations to co-design curriculum and co-deliver educational program as reflected in the personnel resume/CV. (1 point) Proven track record of creating interactive learning programs for professionals. This will be assessed from project portfolio listed in the personnel resume/ cv. (1 point) 	5
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Financial Criteria

- 56. The financial part of those proposals that are found to be technically compliant will be evaluated as follows.
- 57. The maximum number of points that a bidder may obtain for the Financial Proposal is 20. The maximum number of points will be allocated to the lowest evaluated price bid. All other prices will receive points in reverse proportion according to the following formula:
- 58. Points for the Financial Proposal of a bid being evaluated =

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

- 59. Financial proposals will be evaluated following 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
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Bidder B's price is \$40.00. Bidder B receives $(\$20.00/\$40.00) \times 20$ points = 10 points

60. The total score obtained in both Technical and Financial proposals will be the final score for the proposal, with 80% allocated to the Technical proposal and 20% to the Financial proposal. The proposal obtaining the overall highest score will be considered as the winning proposal. This proposal will be considered to be the most responsive to the needs of UNOPS in terms of value for money.
61. The selection of the preferred bidder will be based on a cumulative analysis, analysing 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.