



## REQUEST FOR PROPOSAL (RFP)

<b>Technical Assistance on Research on Carbon Pricing Mechanisms and Viability of its Application</b>	<b>DATE: September 30, 2020</b>
	<b>REFERENCE: RFP-2020-19</b>

Dear Sir / Madam:

We kindly request you to submit your Proposal for **Technical Assistance on Research on carbon pricing mechanisms and viability of its application**.

Please be guided by the forms attached hereto as Annex 3 and Annex 4, in preparing your Proposal.

Proposal must be submitted on or before the deadline indicated in the e-tendering system (**04:00PM, Bangkok Time, 15 October 2020**). Proposal must be submitted through online e-tendering system in the following link: <https://etendering.partneragencies.org> using your username and password.

If you have not registered in the system before, you can register now by logging in using the below credentials and follow the registration steps as specified in the system user guide

**Username:** event.guest

**Password:** why2change

Your Proposal must be expressed in English language and valid for a minimum period of 120 days

You are requested to indicate whether your company intends to submit a proposal by clicking "Accept Invitation" in the system.

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by UNDP after the deadline indicated above, for whatever reason, shall not be considered for evaluation. In submitting your Proposal by email, kindly ensure that they are signed and in the .pdf format, and free from any virus or corrupted files

The Technical Proposal and the Financial Proposal files **MUST BE COMPLETELY SEPARATE** and uploaded separately in the system and clearly named as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each document shall include the Proposer's name and address. **The file with the "FINANCIAL PROPOSAL" must be encrypted with a password** so that it cannot be opened nor viewed until the proposal has been found to pass the technical evaluation stage. UNDP shall request via email the Proposer to submit the password to open the Financial Proposal. The Proposers shall assume the responsibility for not encrypting financial proposal.

**IMPORTANT NOTE:** The amount of the Financial proposal **MUST NOT** be mentioned anywhere in the submitted documents or in the e-tendering system, other than the Financial Proposal. Failure in compliance with the mentioned condition shall result in rejection of the offer.

**PLEASE DO NOT PUT THE PRICE OF YOUR PROPOSAL IN THE LINE ITEM IN THE SYSTEM. INSTEAD PUT "1" AND UPLOAD THE FINANCIAL PROPOSAL AS INSTRUCTED ABOVE**

Services proposed shall be reviewed and evaluated based on completeness and compliance of the Proposal and responsiveness with the requirements of the RFP and all other annexes providing details of UNDP requirements.

The Proposal that complies with all of the requirements, meets all the evaluation criteria and offers the best value for money shall be selected and awarded the contract. Any offer that does not meet the requirements shall be rejected.

Any discrepancy between the unit price and the total price shall be re-computed by UNDP, and the unit price shall prevail and the total price shall be corrected. If the Service Provider does not accept the final price based on UNDP's re-computation and correction of errors, its Proposal will be rejected.

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions indicated herein. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP in this link: <http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html>

Please be advised that UNDP is not bound to accept any Proposal, nor award a contract or Purchase Order, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.

UNDP's vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link: <https://www.undp.org/content/undp/en/home/procurement/business/protest-and-sanctions.html>

UNDP encourages every prospective Service Provider to prevent and avoid conflicts of interest, by disclosing to UNDP if you, or any of your affiliates or personnel, were involved in the preparation of the requirements, design, cost estimates, and other information used in this RFP.

UNDP implements a zero tolerance on fraud and other proscribed practices, and is committed to preventing, identifying and addressing all such acts and practices against UNDP, as well as third parties involved in UNDP activities. UNDP expects its Service Providers to adhere to the UN Supplier Code of Conduct found in this link : [https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscoc/nduct\\_english.pdf](https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscoc/nduct_english.pdf)

Thank you and we look forward to receiving your Proposal.

Sincerely yours,



Keshini Wijesundera

Manager, Transactional Services Team, BRH

30 September 2020

### Description of Requirements

Context of the Requirement	<b>Technical Assistance on Research on Carbon Pricing Mechanisms and Viability of its Application</b>
Implementing Partner of UNDP	UNDP Bangkok Regional Hub- SDG Financing
Brief Description of the Required Services	<p>The goal of the assignment is to carry out a comprehensive mapping of carbon pricing instruments implemented by the governments across the project scoping countries in the Asian-Pacific region. Mapping is expected to include a review of the carbon pricing instruments adopted by the specific local piece of legislation and applied as part of the government policies. Moreover, data and contextual information with respect to the specific policy instrument, economic sector of application, associated revenues etc. will be collected. Finally, data collected will feed into an assessment of the shape, viability of the carbon pricing in the selected countries, A research entity is sought to design the data collection process, carry out the data collection, review and assessment of the collected information and comprehensive assessment of the use of carbon pricing in the selected countries including identification of specific gaps / barriers. The outputs of the consultancy should result in successful implementation of UNDP technical assistance and policy advisory support on carbon pricing mechanism to the relevant governments as part of the countries policies on climate change mitigation.</p> <p><i>(Detailed TOR attached as Annex 2)</i></p>
List and Description of Expected Outputs to be Delivered	<ol style="list-style-type: none"> <li>1. Inception report on the overall output delivery with methodology outline, literature / legislation review, review of data to be collected and proposal for interviews with local experts / policy makers and detailed workplan with indication of the project outputs.</li> <li>2. Final draft of detailed mapping of different types of carbon pricing instruments / mechanisms.</li> <li>3. Final draft of the research report covering the comparative assessment of the identified carbon pricing instruments assessing the economic, social, and environmental implications.</li> <li>4. Final draft of the research report assessing viability of the specific carbon pricing instruments.</li> <li>5. Workshop and final report</li> </ol> <p><i>(Detailed TOR attached as Annex 2)</i></p>
Person to Supervise the Work/Performance of the Service Provider	Selected entity will work under the supervision of Governance and Public Finance Specialist with guidance from the BRH's SDG Finance Advisor in UNDP Bangkok Regional Hub.
Frequency of Reporting	As indicated in the ToR attached as Annex 2
Progress Reporting Requirements	As indicated in the ToR attached as Annex 2
Location of work	<input type="checkbox"/> Exact Address/es <i>[pls. specify]</i> <input checked="" type="checkbox"/> At Contractor's Location

Expected duration of work	60 working days over 12 weeks
Target start date	1 November 2020
Latest completion date	31 January 2020
Travels Expected	No Travel required As indicated in the ToR attached as Annex 2
Special Security Requirements	<input checked="" type="checkbox"/> Others No travel required
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	As indicated in the ToR attached as Annex 2
Implementation Schedule indicating breakdown and timing of activities/sub-activities	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Names and curriculum vitae of individuals who will be involved in completing the services	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Currency of Proposal	<input checked="" type="checkbox"/> United States Dollars
Value Added Tax on Price Proposal	<input type="checkbox"/> must be inclusive of VAT and other applicable indirect taxes <input checked="" type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes
Validity Period of Proposals ( <i>Counting for the last day of submission of quotes</i> )	<input checked="" type="checkbox"/> 90 days  In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.
Partial Quotes	<input checked="" type="checkbox"/> Not permitted
Payment Terms	As indicated in the ToR attached as Annex 2
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	Governance and Public Finance Specialist with guidance from the BRH's SDG Finance Advisor in UNDP Bangkok Regional Hub.
Type of Contract to be Signed	<input checked="" type="checkbox"/> Contract for Professional Services
Criteria for Contract Award	<input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution)

	<input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is a mandatory criteria and cannot be deleted regardless of the nature of services required. Non acceptance of the GTC may be grounds for the rejection of the Proposal.
Criteria for the Assessment of Proposal	<p><b><u>Technical Proposal (70%)</u></b></p> <p><input checked="" type="checkbox"/> Expertise of the Firm (from past records of relevant projects on sovereign green bonds, green municipal bonds and/or climate change, energy and waste management sector) – 30%</p> <p><input checked="" type="checkbox"/> Methodology, Appropriateness to the Condition and Timeliness of the Implementation Plan (Its Appropriateness to the Condition and Timeliness of the Implementation Plan) - 40%</p> <p><input checked="" type="checkbox"/> Management Structure and Qualification of Key Personnel - 30%</p> <p><b><u>Financial Proposal (30%)</u></b></p> <p>To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.</p> <p>Financial Proposal must be submitted as a separate file encrypted with a password. None of the financial proposal data is disclosed in other documents of the submission. UNDP shall request password for opening the Financial Proposal only from the Proposers who pass the Technical Evaluation as per the criteria established and disclosed in the solicitation document. The Proposer shall assume the responsibility for not encrypting the financial proposal.</p> <p><b>IMPORTANT NOTE: The amount of the Financial proposal MUST NOT be mentioned anywhere in the submitted documents or in the e-tendering system, other than the Financial Proposal. Failure in compliance with the mentioned condition shall result in rejection of the offer.</b></p> <p><b>PLEASE DO NOT PUT THE PRICE OF YOUR PROPOSAL IN THE LINE ITEM IN THE SYSTEM. INSTEAD PUT "1" AND UPLOAD THE FINANCIAL PROPOSAL AS INSTRUCTED ABOVE</b></p>
UNDP will award the contract to:	<p><input checked="" type="checkbox"/> One and only one Service Provider</p> <p><input type="checkbox"/> One or more Service Providers, depending on the following factors :  <i>[Clarify fully how and why will this be achieved. Please do not choose this option without indicating the parameters for awarding to multiple Service Providers]</i></p>
Contract General Terms and Conditions	<p><input checked="" type="checkbox"/> General Terms and Conditions for contracts (goods and/or services)</p> <p>Applicable Terms and Conditions are available at:  <a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a></p> <p><i>Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.</i></p>
Annexes to this RFP	<p><input checked="" type="checkbox"/> Detailed TOR (Annex 2)</p> <p><input checked="" type="checkbox"/> Form for Submission of Technical Proposal (Annex 4)</p>

	<input checked="" type="checkbox"/> Form for Submission of Financial Proposal (Annex 5)
Contact Person for Inquiries (Written inquiries only) <sup>1</sup>	<p><b>Mostaq Ahmed</b> Procurement Consultant <a href="mailto:mostaq.ahmed@undp.org">mostaq.ahmed@undp.org</a></p> <p>Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers.</p> <p>Requests for clarifications shall be submitted to UNDP by email to the address mentioned above until 3 days before submission deadline. Answers to clarifications will be uploaded to the Procurement Notices Website and on the eTendering platform.</p>
Required Documents that must be Submitted to Establish Qualification of Proposers (In "Certified True Copy" form only)	<p><input checked="" type="checkbox"/> Technical Proposal submission form as per the Template Annex 3;</p> <p><input checked="" type="checkbox"/> Password protected Financial proposal Annex 4;</p> <p><input checked="" type="checkbox"/> Company Profile, which should not exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured</p> <p><input checked="" type="checkbox"/> Certificate of Registration of the business, including, Articles of Incorporation, or equivalent document if Bidder is not a corporation;</p> <p><input checked="" type="checkbox"/> Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder;</p> <p><input checked="" type="checkbox"/> Latest Audited Financial Statement (Income Statement and Balance Sheet) including Auditor's Report for the past 3 years (2017, 2018 &amp; 2019);</p> <p><input checked="" type="checkbox"/> Document Establishing Eligibility &amp; Qualification of the Bidder</p> <ul style="list-style-type: none"> <li>• List of similar (field of carbon pricing, public finance, fiscal policy, climate finance, or relevant fields) projects completed in last five years with value, client name and contact details;</li> <li>• Statement of Satisfactory Performance from the Top Clients on similar works (field of carbon pricing, public finance, fiscal policy, climate finance, or relevant fields)</li> </ul> <p><input checked="" type="checkbox"/> Completed and signed CVs for the Proposed Key personnel;</p> <p><input checked="" type="checkbox"/> Any other documents to substantiate eligibility and qualification of the bidder as required in the Terms of Reference;</p>
eTendering submission	<p>Electronic submission through eTendering shall be governed as follows:</p> <ul style="list-style-type: none"> <li>• Electronic files that form part of the proposal must be in PDF format;</li> <li>• The Technical Proposal and the Financial Proposal files <b>MUST BE COMPLETELY SEPARATE</b> and each of them must be uploaded individually and clearly labelled;</li> <li>• The Financial Proposal file must be encrypted with a password so that it cannot be opened nor viewed until the password is provided. The password for opening the Financial Proposal should be provided only upon request of UNDP. UNDP will request password only from bidders whose technical proposal has been found to be technically responsive. Failure to provide the correct password may result in</li> </ul>

<sup>1</sup> This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.

	<p>the proposal being rejected;</p> <ul style="list-style-type: none"> <li>• <b>PLEASE DO NOT PUT THE PRICE OF YOUR PROPOSAL IN THE LINE ITEM IN THE SYSTEM. INSTEAD PUT "1" AND UPLOAD THE FINANCIAL PROPOSAL AS INSTRUCTED ABOVE.</b></li> </ul> <p>Detailed instructions on how to submit, modify or cancel a bid in the eTendering system are provided in the eTendering system Bidder User Guide and Instructional videos available on this link: <a href="#">eTendering guide</a></p>
Other Information <b>Documentation and rights over material</b>	UNDP will retain ownership of all materials relating to the project and requires a comprehensive handover, complete with documentation, which will enable continued editing and maintenance of the final report.

## **DETAILS OF EVALUATION OF PROPOSALS**

### **Evaluation of Proposal:**

Prior to technical evaluation all proposals will be screened (Pass/Fail) based on the minimum eligibility criteria mentioned in the ToR

### **Minimum Eligibility criteria for the consultancy Firm:**

- Submission of signed and stamped Proposal (Technical & Financial) as per the Provided Template and Instructions;
- Acceptance of the UNDP General Terms and Conditions for contracts;
- Business Licenses – Registration papers;
- Written Self Declaration that bidder is not listed in the removed or suspended vendor list of the UN or other such lists of other UN agencies, nor are associated with, any company or individual appearing on the 1267/1989 list of the UN Security Council;
- Research experience in the field of carbon pricing, public finance, fiscal policy, climate finance, or relevant fields with minimum 5 years of experience in this area.
- Service provider should have experience working with Ministries of Finance, planning, and local governments in South Asia, South East Asia and Pacific countries would be considered as an advantage.
- Service provider should provide evidence of having developed a similar study / report during the last 5 years.
- Experience working with international organizations or UN agencies is an asset.

**Note: Necessary documentation must be submitted to substantiate the above eligibility criteria**

## **TECHNICAL EVALUATION CRITERIA**

<b>Summary of Technical Proposal Evaluation Forms</b>		<b>Points Obtainable</b>
1.	Bidder's qualification, capacity, and experience	300
2.	Proposed Methodology, Approach, and Implementation Plan	400
3.	Management Structure and Key Personnel	300
	<b>Total</b>	<b>1000</b>

<b>Section 1. Bidder's qualification, capacity and experience</b>		<b>Points obtainable</b>
1.1	<p>General Organizational Capability which is likely to affect implementation (i.e. Financial stability, loose consortium, holding company or one firm, age/ size of the firm, strength of project management support, project financing capacity, project management controls</p> <ul style="list-style-type: none"><li>• 1-3 years of experience in programmes / projects management. This includes 1-3 projects with a minimum project value of USD 10,000 in the profiles that the organization has successfully managed. Audit reports show disclaimer of opinion. (63 point)</li><li>• 4-6 years of experience with programmes / projects management. This includes 4-</li></ul>	90



	<p>6 projects (minimum project value of USD 30,000) in the profiles that the organization has successfully managed. Audit reports show qualified opinion. (75 points)</p> <ul style="list-style-type: none"> <li>• 7 or more than 7 years of experience with programmes / projects management. This includes more than 6 projects (minimum project value of USD 50,000) in the profiles that the organization has successfully managed. Audit reports show excellent scoring or unqualified opinion (90 points)</li> </ul>	
1.2	<p>Research experience in the field of carbon pricing, public finance, fiscal policy, climate change finance, or relevant fields with minimum 5 years of experience in this area</p> <ul style="list-style-type: none"> <li>• 5-6 years (63 points)</li> <li>• 7-8 years (75 point)</li> <li>• More than 8 years (90 points)</li> </ul>	90
1.3	<p>Service Provider should have experience working with Ministries of Finance, planning, and local governments in South Asia, South East Asia and Pacific countries would be considered as an advantage;</p> <ul style="list-style-type: none"> <li>• 1-2 years (40 points)</li> <li>• 3-4 years (55 points)</li> <li>• More than 4 years (70 points)</li> </ul>	70
1.4	<p>Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialized skills)</p> <ul style="list-style-type: none"> <li>• The service provider will subcontract third party (ies) to implement entire assignment. (0 points)</li> <li>• The service provider will partially subcontract to third party(ies) in some activity(ies) (10 points)</li> <li>• The service provider will solely implement this assignment (20 points)</li> </ul>	20
1.5	<p>Organizational Commitment to Sustainability (mandatory weight)</p> <ul style="list-style-type: none"> <li>• Organization is compliant with ISO 14001 or ISO 14064 or equivalent</li> <li>• Organization is a member of the UN Global Compact</li> <li>• Organization demonstrates significant commitment to sustainability through some other means for example internal company policy documents on women empowerment, renewable energies or membership of trade institutions promoting such issues</li> </ul>	30
<b>Total Section 1</b>		<b>300</b>

<b>Section 2. Proposed Methodology, Approach, and Implementation Plan</b>		<b>Points obtainable</b>
2.1	<p>Understanding of the requirements (overall presentation of the technical proposal): the bidder can explain clearly the approach and methodology to provide technical Assistant on Research on carbon pricing mechanisms and viability of its application</p> <ul style="list-style-type: none"> <li>• Understanding of the requirement but fail to explain the important aspects of the task <b>(60 points)</b></li> <li>• Well-structured technical proposal, showing understanding of requirement and addressing important aspects of the task <b>(80 points)</b></li> <li>• Comprehensive technical proposal, show in-depth understanding of requirement and addressing important aspects of the task with clear examples <b>(100 points)</b></li> </ul>	100

2.2	<p>Description of the approach / methodology: the bidder can explain clearly the approach / methodology of the technical proposal that meets or exceeds the requirements of the Terms of Reference.</p> <ul style="list-style-type: none"> <li>• Description of approach <i>moderately meets</i> the requirements of the ToR <b>(110 points)</b></li> <li>• Description of approach <i>meets</i> the requirements of the ToR <b>(130 points)</b></li> <li>• Description of approach <i>meets and exceeds</i> the requirements of the ToR <b>(150 points)</b></li> </ul>	150
2.3	<p>Details on how the different service elements shall be organized, controlled, and delivered. How comprehensive is the implementation plan?</p> <ul style="list-style-type: none"> <li>• Bidders provide <i>minimum</i> details on how different service elements shall be organized, controlled and delivered this assignment <b>(60 points)</b></li> <li>• Bidders provide <i>clear</i> details, showing an understanding of how different service elements shall be organized, controlled and delivered this assignment <b>(80 points)</b></li> <li>• Bidders provide <i>comprehensive details with examples</i> that demonstrate how different service elements shall be organized, controlled and delivered this assignment <b>(100 points)</b></li> </ul>	100
2.4	<p>Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement(s).</p> <ul style="list-style-type: none"> <li>• Bidders provide <i>basic</i> M&amp;E mechanism and/or tools that can be used to ensure appropriate implementation plan <b>(30 points)</b></li> <li>• Bidders provide <i>clear and well-integrated</i> M&amp;E mechanism and/or tools that can be used to ensure appropriate implementation plan <b>(40 points)</b></li> <li>• Bidders provide <i>excellent and well-integrated</i> M&amp;E mechanism and/or tools that can be used to ensure appropriate implementation plan <b>(50 points)</b></li> </ul>	50
<b>Total Section 2</b>		<b>400</b>

<b>Section 3. Management Structure and Key Personnel</b>		<b>Points obtainable</b>
3.1	<p>Composition and structure of the team proposed. Are the proposed roles of the management and the team of key personnel suitable for the provision of the necessary services?</p> <ul style="list-style-type: none"> <li>• No information of the team structure and/or absence of description of roles, short biography functions of key personnel as linked to the overall organization <b>(0 points)</b></li> <li>• Provided unclear information of team structure and/or limited description of the roles, short biography, functions of key personnel as linked to the overall organization <b>(15 points)</b></li> <li>• Provided information with comprehensive description on the team structure, short biography, roles/functions of key personnel as linked to the overall organization <b>(30 points)</b></li> </ul>	30
3.2	Qualifications of key personnel proposed	
3.2 a	<b>Team Leader / Fiscal Economist</b>	
	<p>Master's degree or equivalent in Climate Change, Public Finance, Education, Public Policy, Economics, Social Sciences or other related field is required;</p> <ul style="list-style-type: none"> <li>• Yes – relevant degree <b>(10 points)</b></li> <li>• No relevant degree – <b>(0 point)</b></li> </ul>	10

	<p>At least 7 years of research experience in carbon pricing, carbon markets, green finance, fiscal policies, climate policy assessment, climate change finance, poverty, gender or related legal frameworks.</p> <ul style="list-style-type: none"> <li>• 7-8 years <b>(15 points)</b></li> <li>• 9-10 years <b>(30 points)</b></li> <li>• More than 10 years <b>(45 points)</b></li> </ul>	45
	<p>Experience working with Ministries of Finance, planning, Economy, and local governments or major institutions for design and implementation of the climate change mitigation policies in Asia and Pacific is an advantage</p> <ul style="list-style-type: none"> <li>• 5-6 years <b>(15 points)</b></li> <li>• 7-8 years <b>(30 points)</b></li> <li>• More than 8 years <b>(45 points)</b></li> </ul>	45
3.2 b	<b>Senior Expert – Climate Policy Analyst (1 position)</b>	
	<p>Master's degree or equivalent in Climate Change, Public Finance, Education, Public Policy, Economics, Social Sciences or other related field is required;</p> <ul style="list-style-type: none"> <li>• Yes – relevant degree <b>(10 points)</b></li> <li>• No relevant degree – <b>(0 point)</b></li> </ul>	10
	<p>At least 5 years of research experience in carbon pricing, carbon markets, green finance, fiscal policies, climate policy assessment, climate change policy, climate change finance, poverty, gender, or related legal frameworks.</p> <ul style="list-style-type: none"> <li>• 5-6 years <b>(15 points)</b></li> <li>• 7-8 years <b>(30 points)</b></li> <li>• More than 8 years <b>(45 points)</b></li> </ul>	45
	<p>Experience working or provide advisory role to Ministries of Finance / Planning / Economy and local governments or with the major institutions responsible for design and implementation of the climate change mitigation policies, policy analysis in Asia and Pacific region is an advantage.</p> <ul style="list-style-type: none"> <li>• 3-4 years <b>(15 points)</b></li> <li>• 5-6 years <b>(30 points)</b></li> <li>• More than 6 years <b>(45 points)</b></li> </ul>	45
3.2c	<b>Junior Expert – Carbon Pricing Analyst (1 position)</b>	
	<p>Master's degree or equivalent in Climate Change, Public Finance, Education, Public Policy, Economics, Social Sciences or other related field is required;</p> <ul style="list-style-type: none"> <li>• Yes – relevant degree <b>(10 points)</b></li> <li>• No relevant degree – <b>(0 point)</b></li> </ul>	10
	<p>At least 3 years of research experience in carbon pricing, carbon markets, green finance, fiscal policies, climate policy assessment, climate change policy, or related legal frameworks.</p> <ul style="list-style-type: none"> <li>• 3-4 years <b>(15 points)</b></li> <li>• 5-6 years <b>(20 points)</b></li> <li>• More than 6 years <b>(55 points)</b></li> </ul>	25
	<p>Experience working with Ministries of Finance / Planning / Economy, local governments, or major institutions responsible for design and implementation of the climate change mitigation policies in Asia and Pacific region is an advantage.</p> <ul style="list-style-type: none"> <li>• 1 year <b>(10 points)</b></li> <li>• 2 years <b>(15 points)</b></li> <li>• More than 2 years <b>(20 points)</b></li> </ul>	20

	<p>Experience in research work, collecting data, information, evidence. Experience in designing research approach, ability to prepare concise reports on research findings, experience in processing quantitative indicators, results.</p> <ul style="list-style-type: none"> <li>• 1 year <b>(5 points)</b></li> <li>• 2 years <b>(10 points)</b></li> <li>• More than 3 years <b>(15 points)</b></li> </ul>	15
<b>Total Section 3</b>		<b>300</b>

**TERMS OF REFERENCE****Technical Assistance on Research on carbon pricing mechanisms and viability of its application****A. Background Information and Rationale, Project Description**

The impacts of climate change are disrupting national economies and affecting livelihoods, access to water and energy, transportation, agriculture, and ecosystems at an unprecedented scale. It is usually the poorest and the most vulnerable who are hit first and worst by storms, floods, droughts, wildfires, and rising seas. There is growing recognition that affordable, scalable solutions are possible – and that these solutions will enable all of us to leapfrog to cleaner and more resilient economies.

In 2015 the Paris Agreement as well as the 2030 Agenda and Sustainable Development Goals (SDGs), raised both political awareness and countries' own commitments to address climate change by limiting their GHG emissions. Paris protocol also aligns different streams of financial flows towards low emission and climate-resilient development namely climate and carbon finance. Stronger policies and public finance institutions promoting financing of sustainable activities are still needed to achieve the emission reduction at a required scale. Domestic and international finance from both public and private sources must be leveraged in order to succeed in controlling emissions and contributing to achieving the 1.5 C target.

While climate finance provides the means to the implementation of emission reduction projects, carbon pricing provides incentives to mobilize the most “cost-effective” mitigation options and additional source of climate finance raised through the carbon markets. Instead of abating emissions based on administrative choices the carbon price provides an economic signal to emitters allowing for flexibility in terms of who will undertake emission reductions. In this way, the overall environmental goal is achieved at lowest cost to the society.

Carbon pricing also brings about significant co-benefits including stimulation of economic growth or reduction of the local air pollution. The price signals serve as vehicle for redirecting investments into the low-emission technologies and contribute to more sustainable macro-fiscal frameworks.

Administration of carbon pricing can be straightforward as e.g. extending the existing system of fuel taxes or phasing out fuel subsidies. It does however require a functioning framework to manage the instrument design, redistributing fiscal revenues and measure the achieved results. Carbon pricing must also be integrated into broader countries fiscal strategies. It is important that the design of the carbon pricing scheme goes beyond economic efficiency and environmental integrity and also takes into the account equity concerns, offsetting any potential negative impacts e.g. on low-income households or competitiveness of local businesses.

Carbon pricing include policy instruments such as carbon taxes, emissions trading schemes, carbon offset mechanisms, results-based climate finance or internal carbon prices set by businesses (both public and private). Additional opportunities on carbon pricing are embedded in the Article 6 of the Paris Agreement offering countries opportunities to cooperate and benefit from international carbon markets.

Rapid increase of interest of countries' authorities across Asia – Pacific region to review the advantages and disadvantages of the use of market-based policy instruments to address climate change has been witnessed in many countries over the past five years. UNDP program in Asia-Pacific has responded to this increasing demand by supporting integration of climate change policies into the countries' public finance

management systems. UNDP's Governance of Climate Change Finance Program (GCCF), has provided support to country led budgetary reforms enabling public investments addressing issues such as climate change, gender equality, poverty, and human rights. The program has generated knowledge and understanding of how to integrate responses to climate change within the budgetary processes across the countries within the Asia-Pacific region.

The new 5-year Climate Finance Network (CFN) program will build on the foundations created during the Governance of Climate Change Finance program (GCCF) in Asia Pacific and will continue to broaden and deepen the use of climate and carbon finance in the region. The program will provide more in-dept technical support to the network countries Ministries of Finance and Planning and other relevant government agencies and line ministries responsible for climate change mitigation to facilitate integration of climate change mitigation policies in the Medium Term Budgetary Framework as well as to link it with existing climate change mitigation policies.

While the earlier project activities focused on the adaptation to climate change, the current program activities aim to strengthen and expand its work with the countries' authorities to improve their responsiveness to climate change mitigation. It will broadly look at and recommend the possible areas and sectors where further deployment of carbon taxation, market-based and carbon pricing instruments can provide the missing incentives / disincentives to deliver further emission reduction. The targeted support will examine the viability of alternative carbon pricing instruments in the selected countries taking into the account the country specific economic, social, and environmental conditions and resulting macroeconomic impacts. The project will also take a sector specific approach to review how current policies in place could benefit from carbon pricing, carbon taxation or sales of emission reduction credits or ITMOs on the international carbon markets as envisaged by Article 6 of the Paris Protocol.

Three countries will be selected based on the pre-determined set of criteria for the further assessment. Countries participating in the Climate Finance Network program include Afghanistan, Bangladesh, Cambodia, Fiji, India, Indonesia, Kyrgyzstan, Nepal, Pakistan, Philippines, Tajikistan, Thailand, Tonga, Uzbekistan, Vanuatu, and Vietnam. The report coming out from the proposed research work will draw on the research of existing literature (reports, impact assessments, academic studies) complemented by exchange and discussion with policy makers, representatives of private sector as well as civil society organizations. Results of the research are expected to:

- a) Generate an up-to-date review of evidence to serve as basis for the ongoing policy dialogue in the respective countries and to advise the relevant government agencies.
- b) Collect the available evidence to assess the viability of carbon pricing as major policy instruments to address climate change mitigation and share the lessons learned from each country experiences.
- c) The research also aims to contribute to countries' efforts to reduce their GHG emissions and support them to achieve their NDC targets, by sharing the lessons learned and experiences from participating countries.

## **B. Specific Objectives**

This assignment requires a complex mix of technical knowledge on economics, carbon pricing, climate change finance, substantive research skills. as well as experience working with key government institutions, preferably in Asia-Pacific region. The consultancy should result in successful implementation of UNDP technical assistance and policy advisory support to the relevant governments on design of carbon pricing mechanism as part of the countries policies on climate change mitigation.

## C. Scope

This is a home-based assignment. The consultant will be engaged to assist the Climate Finance Network for a period of 50 working days to carry out the following tasks:

- a) **Develop a workplan.** The workplan shall identify the sequence of specific tasks with respective timelines needed to meet the project goals. The workplan shall also include review of the relevant literature (official documents, guidelines, laws, academic literature) that will be used in the research, proposal for exchange / interviews with the indicative list of the key relevant stakeholders under regional program and proposal for an annotated structure of the study.
- b) **Conduct detailed mapping of the existing types of carbon pricing instruments** implemented in the three selected countries. The mapping should include a consistent classification of the carbon pricing instruments as identified in each of the countries covered, review the major design characteristics of each of the instruments with references to the specific legal norms, review of the key institutional stakeholders involved in the design or use of the policy instrument, detailed review of the economic sectors for which the instrument is applicable.
- c) **Carry out a comparative assessment of the identified carbon pricing instruments** including design, role of the institutions concerned, revenue use), impacts of the identified carbon pricing instruments on the relevant economic variables such as e.g. GDP, welfare, budgetary revenues, (un)employment and production levels across economic sectors, social implications and review the impacts on income distribution, distribution of the burden between different population groups with respect to gender, age, urban and rural populations. Potentially unwanted effects of the carbon pricing (e.g. carbon leakage, negative distributional impacts) schemes should also be addressed.
- d) **Evaluate the viability of the carbon pricing approach** within the country specific (economics, social, environmental, institutional) conditions, balancing out the economic impacts, contributions to the reduction of GHG emissions, existing institutional capacities of the countries under the investigation. Existence of any gaps, shortcomings of the implementation of the carbon pricing instruments should also be addressed.

## D. Deliverables and Schedules/Expected Outputs

Deliverable	Description	Target Due Dates	Review and Approvals Required
<b>Deliverable # 1</b> Inception report with workplan on delivery of the project outputs	Inception report and a workplan on delivery of the project outputs including timeline, review of the relevant literature (official documents, guidelines, laws, academic literature) that will be used in the research, proposal for schedules for further exchange / interviews with the key team members (in BRH and countries) and other relevant stakeholders under regional program and proposal for annotated structure of the study,	15 November 2020	Governance and Public Finance Specialist /SDG Finance Advisor

Deliverable	Description	Target Due Dates	Review and Approvals Required
	proposal annotated structure of the report.		
<b>Deliverable # 2</b> Report of mapping of different types of carbon pricing mechanisms.	A detailed mapping of the existing types of carbon pricing instruments in three countries selected, including a review the major characteristics (instruments' rate, base) of each of the instruments with references to the specific local legal norms, alignment of the instruments identified with specific policies and economic sectors, review of the key institutional stakeholders involved in the design of the instrument or are responsible for their management.	10 December 2020	Governance and Public Finance Specialist /SDG Finance Advisor
<b>Deliverable # 3</b> Research for viability of the carbon tax- Impact on environment and climate change	Comparative assessment of the identified carbon pricing instruments including design, role of the institutions concerned, revenue use), impacts of the identified carbon pricing instruments on the relevant economic variables such as e.g. GDP, welfare, budgetary revenues, (un)employment and production levels across economic sectors, social implications and review the impacts on income distribution, distribution of the burden between different population groups with respect to gender, age, urban and rural populations. Potentially unwanted effects of the carbon pricing (e.g. carbon leakage, negative distributional impacts) schemes should also be addressed.	31 December 2020	Governance and Public Finance Specialist /SDG Finance Advisor
<b>Deliverable # 4</b> 1. Evaluation of the viability of carbon pricing approach as part of the countries' policy response to climate change mitigation	Evaluation of the viability of the carbon pricing approach within the country specific (economics, social, environmental, institutional) conditions, balancing out the economic impacts, contributions to the reduction of GHG emissions, existing institutional capacities of the countries under the investigation. Existence of any gaps, shortcomings of the implementation of the carbon pricing instruments should also be addressed.	15 January 2021	Governance and Public Finance Specialist /SDG Finance Advisor



Deliverable	Description	Target Due Dates	Review and Approvals Required
2. Workshop and final report	Workshop for the CFN stuff / country teams and representatives of the countries under the scrutiny. The workshop should cover the key findings from i) the background assessment, ii) mapping of the carbon pricing instruments, iii) evaluation of the viability of carbon pricing in the selected countries, iv) conclusion and outlook for the future. Workshop can be organized online or on-site given the availability of resources and no travel restrictions in place. Final report will briefly review the project work, outline key findings, observations from the exchange and discussions during the workshop and provide outlook for the next steps.	31 January 2021	Governance and Public Finance Specialist /SDG Finance Advisor

#### **E. Key Performance Indicators and Service Level**

The performance of service will be evaluated based on the actual quality deliverables, the relevance to areas of scoping described, applicability of insights and knowledge obtained from the findings.

If the service provider does not meet the require service level, UNDP will not certify payments for the deliverable i.e. no payment will be made until UNDP certifies and accepts the deliverables. Eventually, if the deliverables are not met as per specifications, the contract may be terminated as per UNDP Procurement rules and regulations.

#### **F. Governance and Accountability**

The service provider is required to work closely with the relevant UNDP technical staff in the country offices. The overall assignment will be supervised and oversight by UNDP's Governance and Public Finance Specialist /SDG Finance Advisor of UNDP Bangkok Regional Hub.

#### **G. Facilities to be provided by UNDP**

UNDP will support the service provider in gaining access to relevant and needed information. If requires, the service provider will identify the need for the meetings and will conduct the consultation meetings in collaboration with UNDP.

The service provider will have sole responsibility for all logistical, administrative and maintenance support necessary to its personnel for the duration of the contract with no responsibility on the part of UNDP. This shall include the following:

- The welfare of its staff including payment of salaries, medical insurance, medical and casualty evacuation in the event of a security breakdown.
- Arrangements for logistics across all aspects of the assignment including in-country transportation for its operations, accommodation, and any visa requirements.
- Security for all its personnel and assets. Neither the UNDP nor its national partners shall provide security facilities or be liable for any individual and material damage.

- Ensure adequate communication with UNDP.

The service provider should identify any additional technical support cost that will be deployed during the missions must be included in the financial proposal.

#### H. Expected duration of the contract/assignment

The period of the assignment (Phase 1) will be for 12 weeks starting from 01 November 2020 to 31 January 2021 with total number of working days are 60 days.

#### I. Duty Station

This assignment will be home based with no travel required.

#### J. Price and Schedule of Payments

Deliverables/ Outputs	Payment (% of total contract amount)
1. Inception report with workplan on delivery of the project outputs	10%
2. Report of mapping of different types of carbon pricing mechanisms.	25%
3. Research for viability of the carbon tax- Impact on environment and climate change	25%
4. Evaluation of the viability of carbon pricing approach as part of the countries' policy response to climate change mitigation	40%
5. Workshop and final report	

#### K. Professional Qualifications of the Successful Contractor and its key personnel

Following requirements apply with respect to qualifications and working experiences on the members of the research team. As a minimum the team must have a team leader and two (senior and junior) analysts.

##### **Service Provider**

- Study or research experience in the field of carbon pricing, public finance, fiscal policy, climate finance, or relevant fields with minimum 5 years of experience in this area.
- Service provider should have experience working with Ministries of Finance, planning, and local governments in South Asia, South East Asia and Pacific countries would be considered as an advantage.
- Experience working with international organizations or UN agencies is an asset.
- Flexibility and openness to accommodate clients' needs.
- Excellent command of spoken and written in English.

##### **Team Leader / Fiscal Economist**

- Master's degree or equivalent in Climate Change, Public Finance, Public Policy, Economics, Social Sciences or other related field is required;
- At least 7 years of research experience in carbon pricing, carbon markets, green finance, fiscal policies, climate policy assessment, climate change finance, poverty, gender, or related legal frameworks.

- Experience working with Ministries of Finance, planning, Economy, and local governments or major institutions for design and implementation of the climate change mitigation policies in Asia and Pacific is an advantage
- Experience on reporting, writing, and editing manuscripts of UN and other international development partners is preferable.
- Excellent English communication skills, both written and oral.

***Senior expert – Carbon pricing analyst***

- Master's degree or equivalent in Climate Change, Economics, Public Policy, Social Sciences or another related field is required;
- At least 5 years of research experience in carbon pricing, carbon markets, green finance, fiscal policies, climate policy assessment, climate change policy, climate change finance, poverty, gender, or related legal frameworks.
- Experience working or provide advisory role to Ministries of Finance, Planning, Economy , local governments or with the major institutions responsible for design and implementation of the climate change mitigation policies, policy analysis in Asia and Pacific region is an advantage.
- Experience working with UNDP or other UN family or an international organization is an asset
- Excellent written and spoken English skills.

***Junior Expert – Carbon Pricing Analyst***

- Master's degree or equivalent in Climate Change, Economics, Public Policy, Social Sciences or another related field is required;
- At least 3 years of research experience in carbon pricing, carbon markets, green finance, fiscal policies, climate policy assessment, climate change policy, climate change finance, poverty, gender, or related legal frameworks.
- Experience working with Ministries of Finance, Planning, Economy, local governments, or major institutions responsible for design and implementation of the climate change mitigation policies in Asia and Pacific region is an advantage.
- Experience in research work, collecting data, information, evidence. Experience in designing research approach, ability to prepare concise reports on research findings, experience in processing quantitative indicators, results.
- Experience working with UNDP or other UN family or an international organization is an asset
- Excellent written and spoken English skills.

The professional qualification above is the minimum requirement. Service provider can propose the number of key technical personnel which more than indicated in this ToR.

## FORM FOR SUBMITTING SERVICE PROVIDER'S TECHNICAL PROPOSAL<sup>2</sup>

*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>3</sup>)*

[insert: Location].

[insert: Date]

To: [insert: Name and Address of UNDP focal point]

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP dated [specify date], and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions:

### A. Qualifications of the Service Provider

*The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of UNDP by indicating the following :*

- a) *Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;*
- b) *Business Licenses – Registration Papers, Tax Payment Certification, etc.*
- c) *Latest Audited Financial Statement – income statement and balance sheet to indicate Its financial stability, liquidity, credit standing, and market reputation, etc. ;*
- d) *Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references;*
- e) *Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.*
- f) *Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.*

### B. Proposed Methodology for the Completion of Services

*The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.*

<sup>2</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>3</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

**C. Qualifications of Key Personnel**

*If required by the RFP, the Service Provider must provide :*

- a) Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;*
- b) CVs demonstrating qualifications must be submitted if required by the RFP; and*
- c) Written confirmation from each personnel that they are available for the entire duration of the contract.*

*[Name and Signature of the Service Provider's  
Authorized Person]  
[Designation]  
[Date]*

## FORM FOR SUBMITTING SERVICE PROVIDER'S FINANCIAL PROPOSAL<sup>4</sup>

*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>5</sup>)*

[insert: Location].

[insert: Date]

To: [insert: Name and Address of UNDP focal point]

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP dated [specify date], and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions:

### A. Cost Breakdown per Deliverable\*

	<b>Deliverables</b> <i>[list them as referred to in the RFP]</i>	<b>Percentage of Total Price (Weight for payment)</b>	<b>Price (Lump Sum, All Inclusive)</b>
<b>Deliverable#1</b>	Inception report with workplan on delivery of the project outputs	10%	
<b>Deliverable#2</b>	Report of mapping of different types of carbon pricing mechanisms.	25%	
<b>Deliverable#3</b>	Research for viability of the carbon tax-Impact on environment and climate change	25%	
<b>Deliverable#4</b>	1. Evaluation of the viability of carbon pricing approach as part of the countries' policy response to climate change mitigation 2. Workshop and final report	40%	
<b>Total</b>		<b>100%</b>	

\*This shall be the basis of the payment tranches

<sup>4</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>5</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

B. **Cost Breakdown by Cost Component** *[This is only an Example]:*

Description of Activity	Remuneration per Unit of Time	Total Period of Engagement	No. of Personnel	Total Rate
<b>I. Personnel Services</b>				
1. Services from Home Office				
a. Team Leader / Fiscal Economist				
b. Key Expert – Climate Policy Analyst				
c. Junior expert – Carbon Pricing Analyst				
<b>II. Out of Pocket Expenses</b>				
2. Local transportation				
3. Data validation				
4. Data dissemination				
5. Interview				
6. Others (i.e. software) (please specify)				
<b>III. Other Related Costs</b>				

*[Name and Signature of the Service Provider's*

*Authorized Person]*

*[Designation]*

*[Date]*