



## Request for Proposals (RfP)

Consultancy services for a national situational assessment to support addressing plastic pollution through the End Plastic Pollution International Collaborative (EPPIC) initiative

**International Union for Conservation of Nature and Natural Resources**

**Regional Office for Mexico, Central America and the Caribbean**

**Country:** Costa Rica

**Name of the Project:** End Plastic Pollution International Collaborative (EPPIC)

**Budget Line:** P04599, PA04599.10, DR04599.60

**AOP Code:** TBC

*Interested Proposers are hereby invited to submit a technical and financial proposal for the aforementioned Consultancy Service Please read the information and instructions carefully because non-compliance with the instructions may result in disqualification of your Proposal from this Procurement.*

### 1. ABOUT IUCN

IUCN is a membership Union uniquely composed of both government and civil society organisations. It provides public, private and non-governmental organisations with the knowledge and tools that enable human progress, economic development and nature conservation to take place together.

Created in 1948, IUCN is now the world's largest and most diverse environmental network, harnessing the knowledge, resources and reach of more than 1,400 Member organisations and some 18,000 experts. It is a leading provider of conservation data, assessments and analysis. Its broad membership enables IUCN to fill the role of incubator and trusted repository of best practices, tools and international standards.

IUCN provides a neutral space in which diverse stakeholders including governments, NGOs, scientists, businesses, local communities, indigenous peoples organisations and others can work together to forge and implement solutions to environmental challenges and achieve sustainable development.

Working with many partners and supporters, IUCN implements a large and diverse portfolio of conservation projects worldwide. Combining the latest science with the traditional knowledge of local communities, these projects work to reverse habitat loss, restore ecosystems and improve people's well-being.

[www.iucn.org](http://www.iucn.org)  
<https://twitter.com/IUCN/>

### 2. REQUIREMENTS

2.1. A detailed description of the services to be provided can be found in Annex 1 (Terms of Reference)

### 3. CONTACT DETAILS

3.1. During the course of this RfP, from its publication to the award of a contract, you may not contact or discuss this procurement with any IUCN employee or representative other

than the following contact. You must address all correspondence and questions to the contact, including your proposal.

**IUCN Contact:** Dominique Finegan, Programme Officer, IUCN ORMACC, email [Domenique.finegan@iucn.org](mailto:Domenique.finegan@iucn.org). CC Jimena Paut, Administrative Assistant, IUCN ORMACC, email [Jimena.paut@iucn.org](mailto:Jimena.paut@iucn.org)

#### 4. PROCUREMENT TIMETABLE

4.1. This timetable is indicative and may be changed by IUCN at any time. If IUCN decides that changes to any of the deadlines are necessary, that will be informed.

DATE	ACTIVITY
08/07/2024	Publication of the Request for Proposals
18/07/2024	Deadline for submission of questions
22/07/2024	Deadline for submission of proposals to IUCN (“ <b>Submission Deadline</b> ”)
26/07/2024	Clarification and evaluation of proposals
29/07/2024	Planned date for contract award
12/08/2024	Expected contract start date

4.2. Send an email to the IUCN contact to register an email address to receive notifications or clarifications of this bidding process, bidders in turn will be able to confirm if they intend to submit a Proposal before the deadline indicated above.

4.3. IUCN reserves the right to issue responses to any question to all Bidders, unless the Bidder making the inquiry expressly requests, at the time of inquiry, that it be kept confidential. If IUCN considers the content of the question and/or the answer to be non-confidential, it will inform the Bidder, who will have the opportunity to withdraw the question.

4.4. At any time before the deadline for submitting Proposals, IUCN may amend the RFP and will send all Bidders who have notified their interest or, failing that, registered an email to receive notifications, and it will be disclosed in the media used. For this end.

4.5. If the amendment is substantial, IUCN may extend the deadline for submission of Proposals in order to allow Bidders a reasonable time to take the amendment into consideration in their proposals.

#### 5. PRESENTATION OF THE PROPOSALS

5.1. The Bidder interested in submitting a Proposal must submit the following documents, in the order listed, placing:

##### A. ADMINISTRATIVE REQUIREMENTS

- a. Copy of identification document or passport (in case of being a foreigner)
- b. Copy of legal invoice for fees collection.
- c. Copy of resume

- d. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 4)
- e. Signed Declaration of Undertaking (Annex 5a)
- f. Human Resources Questionnaire filled and signed (Annex 6)

**FOR CONSULTANCY COMPANIES:**

- a. Copy of Certification of Incorporation
- b. Copy of identification document of the Legal Representative
- c. Copy of legal invoice for fees collection.
- d. Copy of resumes of the Consulting Team
- e. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 4)
- f. Signed Declaration of Undertaking signed by the Representative of the Consulting Company or, in the case of a Consortium or group of Consultants, signed by each member indicating that they have read and understood the content of the Declaration (Annex 5b)
- g. Human Resources Questionnaire filled and signed (Annex 6)

**B. TECHNICAL PROPOSAL:**

- i. The technical proposal must address each of the criteria listed below explicitly and separately, citing the reference number of the relevant criterion (Description column).

	Description	Information to provide	Relative importance (%)
1	Consultant qualifications and experience that is relevant for the achievement of the required tasks	Consultant CV Narrative description of consultant work experience that is relevant to the tasks within scope of this contract.	20%
2	Technical quality of the proposal	Clear, concise, and compelling description of how the consultancy will be conducted, including (but not limited to): problem statement, objectives, methodology, workplan and timetable, team (if applicable), budget, risk management, expected outputs, references.	60%
4	Feasibility and quality of the proposed workplan	Gannt chart detailing activities to be implemented and respective timelines, as well as delivery of technical products.	20%
<b>TOTAL</b>			<b>100%</b>

- i. IUCN will evaluate the technical proposals with respect to each of the criteria indicated in point i) and their relative importance.
- ii. Proposals in any other format will significantly increase the evaluation time and therefore such proposals may be rejected at the discretion of IUCN.
- iii. When resumes (CVs) are requested, these should be from the people who will perform the specified job. Persons submitted as part of the Proposal may only be replaced with the approval of IUCN.
- iv. In the event that a company or group of consultants applies, in addition to the above information, the following must be specified:
  - Responsible for consulting
  - Composition of the consulting team, specialty of each member.
  - Role and responsibility in the activities/products of each member in accordance with the TOR

**C. FINANCIAL PROPOSAL:**

**Signed by the Proposer, indicating the value of professional services in USD, in numbers and letters.**

- i. It will be considered that the prices presented include all the costs of fees, insurance, taxes, obligations and risks that must be considered for compliance with the Terms of Reference. IUCN will not accept charges beyond those clearly indicated in the Financial Proposal and that are eligible for the execution of the Contract.
- ii. The Bidder will have to assume the payments corresponding to taxes according to regulations in force in its country; You will have to have health and life insurance up to date; and will assume the bank charges by transfer.
- iii. If local or international trips must be made for the execution of this Contract, the costs will be paid by IUCN through reimbursement and will be governed by the IUCN per diem scale for food and lodging.
- iv. Travel expenses related to the execution of this Contract will not exceed the total amount of (AMOUNT) broken down as follows:

<b>Expense type</b>	<b>Maximum amount</b>
Surface Transportation	\$300

- v. For reimbursement of travel expenses, the Proposer must submit a financial report with original invoices/receipts (e.g., transportation, lodging, food and incidentals) to the IUCN Contact Person, in the currency of the Contract, so that the corresponding reimbursement can be processed.

- vi. Expenses related to vehicle maintenance, purchase of electronic equipment, cell phone expenses, consumption expenses or purchase of alcoholic beverages will be considered ineligible expenses.
- vii. Breakdown of the Financial Proposal.

For information purposes, it is recommended that the details of the financial proposal be broken down as follows:

	Description	Quantity	Unit price*	Total price*
1				
2				
3				

\*USD currency

5.2. Additional information not requested by IUCN should not be included in the proposal and will not be subject to evaluation.

## 6. SENDING

6.1. The Proposal must be submitted by email to the IUCN Contact (see Section 2). The subject heading of the email shall be [RfP Reference – Proposer name]. The Proposer name is the name of the company/organisation on whose behalf the proposal is being submitted, or the surname of the Proposer in case is bidding as a self-employed consultant. The proposal must be submitted in PDF format. The Proposer may submit multiple emails suitably annotated, e.g., Email 1 of 3, if attached files are too large to suit a single email transmission. You may not submit your Proposal by uploading it to a file-sharing tool (e.g. Dropbox, Google Drive, etc)

## 7. ELIGIBILITY

7.1. N/A

## 8. VALIDITY

8.1. The proposal must remain valid and capable of acceptance by IUCN for a period of 60 calendar days following the submission deadline.

## 9. WITHDRAWALS AND CHANGES

9.1. Proposers may freely withdraw or change their proposal at any time prior to the submission deadline by written notice to the IUCN Contact. However, in order to reduce the risk of fraud, no changes or withdrawals will be accepted after the submission deadline.

## 10. EVALUATION OF PROPOSALS

10.1. Completeness

IUCN will firstly check your proposal for completeness. Incomplete proposals will not be considered further.

10.2. Technical Evaluation

IUCN will evaluate technical proposals with regards to each of the following criteria and their relative importance:

10.2.1. *Scoring Method*

Proposals will be assigned a score from 0 to 10 for each of the technical evaluation criteria, such that '0' is low and '10' is high. Proposals that receive a score of '0' for any of the criteria will not be considered further.

#### 10.2.2. *Technical Score*

The score for each technical evaluation criterion will be multiplied with the respective relative weight and these weighted scores added together to give the proposal's overall technical score.

#### 10.3. Financial Evaluation and Financial Scores

The financial evaluation will be based upon the full total price submitted. Financial proposals will receive a score calculated by dividing the lowest financial proposal that has passed the minimum quality thresholds by the total price of your financial proposal.

**The proposals total score will be calculated as the weighted sum of the technical score and financial score.**

The relative weights will be:

**Technical: 70%**  
**Financial: 30%**

Subject to the requirements in Sections 4 and 7, IUCN will award the contract to the Proposer whose proposal achieves the highest total score.

### 11. **EXPLANATION OF PROCUREMENT PROCEDURE**

11.1. IUCN is using the Invitation Procedure for this procurement. This means that only invited bidders may submit a proposal. IUCN typically invites from four to six bidders to submit a proposal.

11.2. You are welcome to ask questions or seek clarification regarding this procurement. Please email the IUCN Contact (see Section 2), taking note of the deadline for submission of questions in Section 3.1. Late proposals will not be considered. All proposals received by the submission deadline will be evaluated by a team of three or more evaluators in accordance with the evaluation criteria stated in in this RfP. No other criteria will be used to evaluate proposals. The contract will be awarded to the Proposer whose proposal received the highest Total Score. IUCN does, however, reserve the right to cancel the procurement and not award a contract at all.

11.3. IUCN will contact all Proposers who submitted their proposal to inform them of the outcome of the evaluation. The timeline in Section 3.1 gives an estimate of when the contract award is expected to be completed, however this date may change depending on how long the evaluation of the proposals takes.

### 12. **CONDITIONS FOR PARTICIPATION IN THIS PROCUREMENT**

12.1. To participate in this procurement, the Proposers are required to submit a proposal, which fully complies with the instructions in this RfP and the Attachments.

12.1.1. It is responsibility of each Proposer to ensure the submission of a complete and fully compliant proposal.

12.1.2. Any incomplete or incorrectly completed proposal submission may be deemed non-compliant, and as a result will not be consider to proceed further in the procurement process.

12.1.3. IUCN will query any obvious clerical errors in a proposal and may, at IUCN's sole discretion, allow a Proposer to correct these, but only if doing so could not be perceived as giving an unfair advantage.

12.2. In order to participate in this procurement, the Proposer must meet the following conditions:

- Free of conflicts of interest
- Registered on the relevant professional or trade register of the country in which is established (or resident, if self-employed)
- In full compliance with its obligations relating to payment of social security contributions and of all applicable taxes
- Not been convicted of failing to comply with environmental regulatory requirements or other legal requirements relating to sustainability and environmental protection
- Not bankrupt or being wound up
- Never been guilty of an offence concerning professional conduct
- Not involved in fraud, corruption, a criminal organisation, money laundering, terrorism, or any other illegal activity.

12.3. Each Proposer shall submit only one proposal, either individually or as a partner in a joint venture. In case of joint venture, one company shall not be allowed to participate in two different joint ventures in the same procurement nor shall a company be allowed to submit a proposal both on its behalf and as part of a joint venture for the same procurement. A Proposer who submits or participates in more than one proposal (other than as a subcontractor or in cases of alternatives that have been permitted or requested) shall cause all the proposals with the Proposer's participation to be disqualified.

12.4. By taking part in this procurement, the Proposer accept the conditions set out in this RfP, including the following:

- It is unacceptable to give or offer any gift or consideration to an employee or other representative of IUCN as a reward or inducement in relation to the awarding of a contract. Such action will give IUCN the right to exclude you from this and any future procurements, and to terminate any contract that may have been signed with you.
- Any attempt to obtain information from an employee or other representative of IUCN concerning another bidder will result in disqualification.
- Any price fixing or collusion with other Proposers in relation to this procurement shall give IUCN the right to exclude you and any other involved bidder(s) from this and any future procurements and may constitute a criminal offence.

### **13. CONFIDENTIALITY AND DATA PROTECTION**

13.1. IUCN follows the European Union's General Data Protection Regulation (GDPR). The information a Proposer submits to IUCN as part of this procurement will be treated as confidential and shared only as required to evaluate the proposal in line with the procedure explained in this RfP, and for the maintenance of a clear audit trail. For audit purposes, IUCN is required to retain the proposals in its entirety for 10 years after the end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

13.2. In the Declaration of Undertaking (Attachment 3) the Proposer needs to give IUCN express permission to use the information submitted in this way, including personal data that forms part of the proposal. Where a Proposer include personal data of employees (e.g. CVs) in the proposal, the Proposer needs to have written permission from those individuals to share this information with IUCN, and for IUCN to use this information as

indicated in 8.1. Without these permissions, IUCN will not be able to consider the proposal.

#### 14. COMPLAINTS PROCEDURE

14.1. If a Proposer has a complaint or concern regarding the propriety of how a competitive process is or has been executed, then please contact [sofiamariela.madriral@iucn.org](mailto:sofiamariela.madriral@iucn.org). Such complaints or concerns will be treated as confidential and are not considered in breach of the above restrictions on communication (Section 2.1).

#### 15. CONTRACT

15.1. The contract will be based on IUCN's template which terms of which are not negotiable.

#### 16. ANNEXES

- Annex 1**      *Specification of Requirements / Terms of Reference*
- Annex 2**      *Main areas of interest to be determined from the situation analysis*
- Annex 3**      *Proposed Table of Contents for Situational Analysis Report*
- Annex 4**      *Letter of Interest*
- Annex 5**      *Declaration of Undertaking (select 5a for companies or 5b for self-employed)*
- Annex 6**      *Human Resources Questionnaire*

### ATTACHMENT 1 TERMS OF REFERENCE

The Regional Office for Mexico, Central America and the Caribbean of the  
International Union for the Conservation of Nature

(IUCN-ORMACC)

REQUIRES

PROFESSIONAL CONSULTANCY SERVICES  
FOR

“National situational assessment to support addressing plastic pollution through the End Plastic Pollution International Collaborative (EPPIC) initiative in Costa Rica”

<b>Type of Contract:</b>	Professional Consultancy Services
<b>Period:</b>	3 months
<b>Availability:</b>	Immediate
<b>Person Responsible for Supervision:</b>	Domenique Finegan, Programme Officer, IUCN ORMACC

#### 1. BACKGROUND AND JUSTIFICATION

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EPPIC is an international public-private partnership led by the International Union for Conservation of Nature (IUCN) and three partners, The Ocean Foundation, Searious Business, and the Aspen



Institute, which together implement activities to catalyze actions and effective solutions that promote a circular plastics economy through partnerships and knowledge exchange.

With support from the United States Department of State, the initiative aims to expand public-private collaboration and to significantly reduce the environmental impact of plastic waste in Central America, Southeast Asia, and Sub-Saharan Africa. In Central America, the initiative is being implemented in Costa Rica, Honduras, and Guatemala through the IUCN's Regional Office for Mexico, Central America, and the Caribbean (ORMACC).

By strengthening enabling environments, raising public awareness, and promoting multi-stakeholder engagement to enhance circularity across the plastics lifecycle, EPPIC will maximize plastic circularity and prevent the release of plastic waste into the environment by utilizing science-based decision making to catalyze solutions, innovation, and investments that bridge government, Small and Medium Enterprises (SME), and stakeholder actions.

The three objectives of the initiative are:

- Increased knowledge on potential upstream, midstream, and end of life solutions to enable a just transition to circular approaches for plastic.
- Policy and regulatory framework is supportive of science-based solutions to enable a just transition to circular approaches for plastic.
- Science-based solutions and technologies to enable a just transition to circular approaches for plastic are implemented in target regions.

To support developing country specific engagement strategies, IUCN is seeking to commission a review of the status of plastic pollution interventions at a national level and develop a situation analysis of where EPPIC supported interventions can add value to existing and planned actions that are aligned with the goals of EPPIC. The situation analysis will be related to opportunities to address the three broad objectives noted above.

The situation analysis as detailed in Annex 2 will serve as a baseline document to validate and refine the results and support prioritizing EPPIC interventions. It is proposed to use a life cycle approach to identify key hotspots considering potential impacts of plastic products across the value chain.

## **2. OBJECTIVES OF THE CONSULTANCY**

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### **2.1. General:**

- Comprehensively review the current state of plastic pollution interventions in Costa Rica, according to key topics identified in Annex 2, and provide actionable insights and recommendations that will inform and support EPPIC interventions at the national level.

### **2.2. Specific:**

- According to requirements stated in Annex 2, conduct a comprehensive desktop review to prepare a situational analysis to guide EPPIC interventions in Costa Rica.

- Design and conduct, in coordination with the IUCN, a stakeholder consultation process with key informants<sup>1</sup>.
- Systematize data from both the comprehensive desktop review and the stakeholder consultation into a comprehensive situational analysis report, according to IUCN standards and requirements, including technical inputs and recommendations for implementation of EPPIC at the national level.
- Socialize and validate the situational analysis report with the IUCN and key national informants and stakeholders.

### 3. EXPECTED DELIVERABLES

No.	Deliverable	Description
1	Desktop review of materials and information related to items listed in Annex 2.	Template for the desktop review will be provided by IUCN.
2	Draft situational analysis report.	Based on Table of Contents in Annex 3.
3	Final situational analysis report.	20 pages maximum, based on Table of Contents in Annex 3.

### 4. INTELLECTUAL PROPERTY

All Intellectual Property rights conceived or made by the Consultant / Consulting Firm in the course of providing the Services will belong to IUCN.

### 5. SCHEDULING AND TIMETABLE FOR DELIVERING PRODUCTS

#### 5.1. Activities and programming

Specific objectives	Activities	Month		
		1	2	3
According to requirements stated in Annex 2, conduct a comprehensive desktop review to prepare a situational analysis to guide EPPIC interventions in Costa Rica.	Develop review protocol: Finetune methodology, including search strategies and data extraction methods. Establish a timeline and assign responsibilities if working in a team.			
	Compile a list of relevant data sources, ensuring that these are credible, current, and relevant.			
	Review of relevant documents and extraction of data and information.			
	Identify any gaps, inconsistencies, or limitations in the existing literature, as well as areas where further research is required.			
	Analyze and synthesize information according to template provided by IUCN.			
Design and conduct, in coordination with	Map out relevant stakeholders, including civil society, government actors, private sector, experts, consumer groups,			

<sup>1</sup> At least 2 key informant interviews must be conducted per stakeholder group including civil society, government actors, private sector, experts, consumer groups, and other stakeholders to identify country priorities.

the IUCN, a stakeholder consultation process with key informants.	and other stakeholders to identify country priorities, ensuring a diverse representation of interests and perspectives.			
	Develop a consultation plan: Create interview guides, questionnaires, and discussion topics tailored to different stakeholder groups. Ensure materials are clear, concise, and aligned with the consultation objectives.			
	In close coordination with IUCN, contact stakeholders to inform them about the consultation process and invite their participation. Arrange individual interviews or focus group discussions (as relevant) with key informants.			
	Ensure accurate and comprehensive documentation of stakeholders' inputs.			
	Review and analyze the consultation data to identify key themes, trends, and insights.			
	Synthesize the information to integrate stakeholders' perspectives into the situational analysis.			
	Compile the consultation findings into the consultancy reports.			
Systematize data into a comprehensive situational analysis report, according to IUCN standards and requirements, including technical inputs and recommendations for implementation of EPPIC at the national level.	Create a structured framework for analyzing the data and information, conduct data analysis.			
	Synthesize the analysis results to highlight the most critical insights and conclusions.			
	Identify the main challenges, opportunities, and areas for intervention related to the project.			
	Draft the situational analysis report, incorporating technical input from experts as relevant, and including actionable recommendations for the implementation of the project.			
Socialize and validate the situational analysis report with the IUCN and key national informants and stakeholders.	In close coordination with IUCN, organize a workshop involving key stakeholders and informants to present key findings and recommendations.			
	Make relevant adjustments to the situational analysis reports, according to feedback received during the online workshop.			

## 5.2. Timetable for delivery of products:

Products	Expected date of delivery	Percentage of pay
Desktop review of materials and information related to items listed in Annex 2.	4 weeks after signature of contract by both parties	20%
Draft situational analysis report.	9 weeks after signature of contract by both parties	30%
Final situational analysis report.	13 weeks after signature of contract by both parties	50%

*- All products will be paid once delivered to IUCN's complete satisfaction.*

-Disbursements will depend on the availability of funds from the donor.  
 -The consultant / consulting firm must consider in the technical proposal the modification of some deliverables during the execution of the contract, if it is necessary, to adapt some results, without affecting the amount of the original contract.

## 6. TECHNICAL PROFILE

For the development of this consultancy, the following profile is required:

- Master’s degree in Environmental Science, Engineering, Environmental Management, or a related field.
- Minimum of 10 years’ experience in subjects related to plastic pollution and waste management.
- Proven experience in data collection.
- Strong proficiency in quantitative and qualitative research methods, data collection, analysis, and interpretation.
- Ability to engage and communicate effectively with diverse stakeholders, including government agencies, NGOs, private sector entities, and local communities.
- Skilled in preparing comprehensive technical reports, including situational assessments. Links to publications and other completed consultancies is an asset.
- Fluency in Spanish and English is required.

## 7. PERIOD AND COORDINATION

The period of the consultancy will be 3 months.

**Form of work (with Unit/Project):** in order to achieve the products, the consultant or consultant company will require to work closely with IUCN Programme Officer, Dominique Finegan, and IUCN Thematic Expert, Milena Berrocal. The consultant will also coordinate and facilitate consultations and meetings with relevant stakeholders for the formulation and validation of the consultancy deliverables.

### Annex 2. Main areas of interest to be determined from the situation analysis

Category	Subtopic	Relevant Information
Existing Initiatives addressing plastic pollution		
	Are there existing initiatives addressing plastic pollution	National, Regional, Global. Implementing Agency and focal points.
	Are there locally led initiatives by civil society, business or government that are potential mechanisms to deliver EPPIC in-country activities	e.g. existing grant programs, innovation funds, etc.
Current status of assessment of Plastic Pollution	Is there a formal assessment of the status of plastic pollution baselines	If yes, are they used in decision making

Category	Subtopic	Relevant Information
	available/planned (national, sectoral, regional or local level).	
	Having specific products/ sectors/geographies been identified as areas of concern. (may be based on anecdotal evidence)	
National Plans, Priorities, Targets and Indicators		
	Is there a national plan/ strategy in place or in development	
	Are there metrics to measure and track progress	
	Have private sector organizations developed specific actions policies to address their impact on a voluntary or regulatory basis	
	What are the key plastic related regulations developed or planned	
	What are the perceptions of enforcement of current regulations/plans related to plastic pollution	
	Is there a formal mechanism for ensuring environmental and social safeguards are integrated into policy and decision-making system	
	Within the plastic life cycle (production, use, disposal) where have current policy/regulatory interventions focused on?	
Current Status of Financing		
	Is there dedicated funding in the National Budget for addressing plastic pollution issues.	
	Are there funds or other financial instruments that have been established,	

Category	Subtopic	Relevant Information
	which could be an entry point for addressing plastic pollution.	
	Are there alternative financing mechanisms for addressing plastic pollution initiatives in operation.	
Stakeholder Profile of key Actors		
	Are there existing national working groups/committees chaired by government to address plastic pollution issues.	
	Are there ad-hoc or working groups/committees established by non-state actors (e.g. business sector, NGO, informal sectors, academia) to address plastic pollution issue.	
	Key Actors addressing plastic pollution issues.	Name, role and engagement
	What is current role of disadvantaged communities, women and the informal sector in participating in plastic pollution issues (formalized /informal).	
	The role of Small and Medium Enterprises in plastic value chains.	
Assessment of Capacity for implementation and monitoring		
	Are there institutions/facilities that support innovations, business incubation, for a circular plastic economy	
	Are there support services for SMEs available. Do they incorporate issues of	

Category	Subtopic	Relevant Information
	waste management and use.	
	How well are environmental and social safeguards recognized in implementing activities related to plastic pollution.	
	Are there limitations in Government Human Resources to manage plastic pollution issues.	
	Is there a mechanism for non-state actors to engage in national processes related to plastic pollution and in the negotiations for an ILBI on Plastic Pollution.	

## **Annex 3. Proposed Table of Contents for Situational Analysis Report**

### **1. Existing Initiatives Addressing Plastic Pollution**

#### 1.1 Overview of Existing Initiatives

- National Initiatives
- Regional Initiatives
- Global Initiatives

#### 1.2 Implementing Agencies and Focal Points

#### 1.3 Locally Led Initiatives

- Civil Society Initiatives
- Business Initiatives
- Government Initiatives
- Grant Programs
- Innovation Funds

### **2. Current Status of Assessment of Plastic Pollution**

#### 2.1 Formal Assessments of Plastic Pollution

- Availability and Planning
- Use in Decision Making

#### 2.2 Localized Assessments by Non-State Actors

- Business Groups
- Community Members

#### 2.3 Identification of Areas of Concern

- Specific Products
- Specific Sectors
- Specific Geographies
- Anecdotal Evidence

### **3. National Plans, Priorities, Targets, and Indicators**

#### 3.1 National Plans and Strategies

#### 3.2 Metrics for Measuring and Tracking Progress

#### 3.3 Private Sector Actions and Policies

- Voluntary Actions
- Regulatory Actions

#### 3.4 Key Plastic-Related Regulations

- Developed Regulations
- Planned Regulations

#### 3.5 Perception of Enforcement



### 3.6 Integration of Environmental and Social Safeguards

### 3.7 Focus Areas within the Plastic Life Cycle

- Production
- Use
- Disposal

## **4. Current Status of Financing**

### 4.1 National Budget Allocation

### 4.2 Established Funds and Financial Instruments

### 4.3 Alternate Financing Mechanisms

## **5. Stakeholder Profile of Key Actors**

### 5.1 National Working Groups/Committees

- Government-Chaired Groups

### 5.2 Non-State Actor Groups/Committees

- Business Sector
- NGOs
- Informal Sectors
- Academia

### 5.3 Key Actors in Plastic Pollution

- Names, Roles, and Engagement

### 5.4 Role of Disadvantaged Communities, Women, and Informal Sector

- Formalized Participation
- Informal Participation

### 5.5 Role of Small and Medium Enterprises in Plastic Value Chain

## **6. Assessment of Capacity for Implementation and Monitoring**

### 6.1 Institutions and Facilities Supporting Innovations

- Business Incubation

### 6.2 Support Services for Small to Medium Enterprises

- Potential intervention areas

### 6.3 Recognition of Environmental and Social Safeguards

### 6.4 Government Human Resources Limitations

### 6.5 Engagement Mechanisms for Non-State Actors

- National Processes
- ILBI on Plastic Pollution

## 7. Recommendations for implementation of EPPIC at the national level

### ANNEX 4: LETTER OF INTEREST

Fill in the information in blue

[Place and date]

TO: [IUCN]

The undersigned, [name of the professional], after having examined the Terms of Reference for the Contracting of the Professional Consulting Services for (name of the consultancy) and offers to perform these services in accordance with the call for date \_\_\_\_\_.

The attached Financial Proposal is for the total sum of [amount in letters and figures], which includes all taxes required by law.

The period of time in which the signatory of this document agrees to provide the services is from the date of signing the contract, until the date of termination thereof, without price variation, unless modifications are made resulting from contract negotiations.

The undersigned declares that all the information and statements made in the submitted proposals are true and that any misinterpretation contained in them may lead to disqualification.

Cordially,

Signature \_\_\_\_\_

Full name of the proposer or legal representative \_\_\_\_\_

## ATTACHMENT 5a – SELF-EMPLOYED PROPOSER

### DECLARATION in relation to RfP < Consultancy Service >

I, the undersigned, hereby confirm that I am self-employed and able to provide the service independent of any organisation or other legal entity.

Full name (as in passport):

Home or Office (please delete as appropriate) Address (incl. country):

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favourable. I acknowledge that IUCN is required to retain my Proposal in its entirety for 10 years after then end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

I further confirm that the following statements are correct:

1. I am legally registered as self-employed in accordance with all applicable laws.
2. I am fully compliant with all my tax and social security obligations.
3. I am free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. I agree to declare to IUCN any real or perceived emerging conflicts of interests I may have concerning IUCN. I acknowledge that IUCN may terminate any contracts with me that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. I have never been convicted of grave professional misconduct or any other offence concerning my professional conduct.
6. I have never been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. I acknowledge that engagement in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with me with immediate effect.
8. I am not included in the UN Security Council Sanctions List, EU Sanctions Map, US Office of Foreign Assets Control Sanctions List, or the World Bank listing of ineligible firms and individuals. I agree that I will not provide direct or indirect support to firms and individuals included in these lists.
9. I have not been, am not, and will not be involved or implicated in any violations of Indigenous Peoples' rights, or injustice or abuse of human rights related to other groups or individuals, including forced evictions, violation of fundamental rights of workers as defined by the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, child labour, sexual exploitation, sexual abuse, or sexual harassment.

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<Date and Signature>

## ATTACHMENT 5b - For Consulting Companies

### DECLARATION in relation to RfP <name of the Consultancy Service>

I, the undersigned, hereby confirm that I am an authorised representative of the following organisation:

Registered Name of Organisation (the "Organisation"): \_\_\_\_\_

Registered Address (incl. country): \_\_\_\_\_

Year of Registration: \_\_\_\_\_

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favourable. I acknowledge that IUCN is required to retain the Proposal in its entirety for 10 years after then end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

Where the Proposal includes Personal Data as defined by the European Union's General Data Protection Regulation (GDPR), I confirm that the Organisation has been authorised by each Data Subject to share this Data with IUCN for the purposes stated above.

I further confirm that the following statements are correct:

1. The Organisation is duly registered in accordance with all applicable laws.
2. The Organisation is fully compliant with all its tax and social security obligations.
3. The Organisation and its staff and representatives are free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. The Organisation agrees to declare to IUCN any real or perceived emerging conflicts of interests it or any of its staff and representatives may have concerning IUCN. The Organisation acknowledges that IUCN may terminate any contracts with the Organisation that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. None of the Organisation's staff has ever been convicted of grave professional misconduct or any other offence concerning their professional conduct.
6. Neither the Organisation nor any of its staff and representatives have ever been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. The Organisation acknowledges that engagement by itself or any of its staff in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with the Organisation with immediate effect.
8. The Organisation is a going concern and is not bankrupt or being wound up, is not having its affairs administered by the courts, has not suspended business activities, is not the subject of proceedings concerning those matters, or in any analogous situation arising from a similar procedure provided for in national legislation or regulations.
9. The Organisation complies with all applicable environmental regulatory requirements or other legal requirements relating to sustainability and environmental protection.
10. The Organisation is not included in the UN Security Council Sanctions List, EU Sanctions Map, US Office of Foreign Assets Control Sanctions List, or the World Bank listing of ineligible firms and individuals. The Organisation agrees that it will not provide direct or indirect support to firms and individuals included in these lists.
11. The Organisation has not been, is not, and will not be involved or implicated in any violations of Indigenous Peoples' rights, or injustice or abuse of human rights related to other groups or individuals, including forced evictions, violation of fundamental rights of workers as defined by the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, child labour, sexual exploitation, sexual abuse, or sexual harassment.

\_\_\_\_\_  
<Date and Signature of authorised representative of the Proposer>

< Name and position of authorised representative of the Proposer >

ATTACHMENT 6: HUMAN RESOURCES QUESTIONNAIRE

**HR Questionnaire for Consultancy Contracts**

Consultant / Company Name \_\_\_\_\_

Country of Residency \_\_\_\_\_

**Required Checks**

	Yes	No
Are payments linked to deliverables?	<input type="checkbox"/>	<input type="checkbox"/>
Does the consultant have official invoices?	<input type="checkbox"/>	<input type="checkbox"/>

**Required documents**

	Yes	No
Professional insurance/medical insurance policy statement, valid during the project's execution term	<input type="checkbox"/>	<input type="checkbox"/>
Civil responsibility policy: should include at least coverage for physical injuries and/or death of third persons, and coverage for damages to others' property	<input type="checkbox"/>	<input type="checkbox"/>

***The Consultant understands that, in case of answering NO to any of the previous questions, it is his/her responsibility to assume any legal implication or cost that is derived from it to the detriment of IUCN.***

**Other Assignments**

Name other organizations for which the consultant has previously worked for: \_\_\_\_\_

Previous assignments with the IUCN (please indicate the last three):

- 1.
- 2.
- 3.

Are you currently working on a consulting with IUCN? If so, please specify the name of the consultancy, the person responsible for the consultancy and the end date.

***For Self-Employed Consultants:***

**Is the Consultant part of one of IUCN Commissions?**

Yes \_\_\_\_\_ No \_\_\_\_\_

If so, please indicate which of the following Commissions:

- World Commission on Protected Areas
- International Law Commission
- Species Survival Commission
- Commission on Ecosystem Management
- Commission on Education and Communication
- Commission on Environmental, Economic and Social Policy

***For Consultant Companies:***

Is the Company/Organization an IUCN Member?

Yes  No

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

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