Terms of reference (ToRs) for the procurement of services below the EU threshold

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Study and Strategy on Community-based Climate Actions in ASEAN	Project number/ cost centre: 20.2023.8.001.00

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0. List of abbreviations

AMS	ASEAN Member States
AN	Contractor
ASEAN	Association of Southeast Asia Nations
ASCCR	ASEAN State of Climate Change Report
ASEC	ASEAN Secretariat
AVB	General Terms and Conditions of Contract for supplying services and work
CV	Curriculum Vitae
NDCs	Nationally Determined Contributions
TL	Team Leader
ToRs	Terms of reference

1. Context

The ASEAN countries are considered among the world's most vulnerable countries to the impacts of climate change[1]. Cambodia and Vietnam should concern to the impacts as rice yield in the Mekong River Delta is projected to decline by 6% - 12% and yields of other crops by 3% - 26% until 2050[2]. The rice yields could decline due to climate change by up to 50% by 2100 than that in 1990 in Indonesia, the Philippines, Thailand, and Vietnam[3]. Furthermore, the impact of slow-onset events such as droughts are consistent and becoming predominant on the agriculture sector. The agricultural drought caused 60% of the total losses, arising mostly from the various natural disasters ($86.5 billion) in the region, while 22.5% and 14.3% are due to flood and cyclone respectively[4].

The impacts of climate change could affect human livelihood in the region by threatening traditional livelihoods, exacerbating existing intra-state security threats, transforming territorial disputes and bilateral tensions, and straining already limited resources[5]. This can in turn incentivise inter-state competition for scarce resources and trigger large-scale migration, exacerbating old political tensions, giving rise to new ones, and causing difficulties for integration and multilateral initiatives within ASEAN. Most populations in ASEAN are concentrated along the seaboards and on flat fertile plains threatened by sea level rise. Loss of substantial territory due to sea level rise is a major threat for Indonesia, Myanmar, the Philippines, Thailand, and Vietnam. Loss of livelihoods may incentivise migration, both from within and outside the region. The population of ASEAN is projected to reach 770 million in 2040, according to the World Population Review, and this may further exacerbate possible migration-related and other tensions caused by climate change. While internal migration might be possible in some cases, most ASEAN member countries do not have sufficient fertile land to accommodate large influxes of people on a long-term basis[6].

Concerning the impacts, the ASEAN State of Climate Change Report (ASCCR)[7] provides an overall outlook and prioritizes specific adaptation and mitigation-related actions by 2030 and up to 2050, and which serve as the basis for ASEAN's transition pathway to reach its climate goal. ASEAN's broader climate goal consists of more specific goals for development,

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[1] Asia Development Bank and Potsdam Institute for Climate Impact Research. (2017). Recent regional climate change projections have consequences for human systems, particularly for developing countries in Asia and the Pacific. Retrieved from http://dx.doi.org/10.22617/TCS178839-2

[2] Teng, PPS, Caballero-Anthony M, Tian G. Impact of Climate Change on Food Production:

Options for Importing Countries. Policy Br. 2015. doi:10.13140/RG.2.1.3875.6567

[3] Redfern, S., Azzu, N., Binamira, J.S., Meybeck, A., Lankoski, J., Redfern, S., & Gitz, V. (2012). Rice in Southeast Asia: facing risks and vulnerabilities to respond to climate change.

[4] Rezaie, A.M., Rahman, M.F., Huq, S. (2021). ASEAN Development Outlook Report: Natural Disaster, Climate Change, Environment and Response. University of Cambridge

[5] Haakon Fossum Sagbakken, Indra Overland, Monika Merdekawati, Hoy-Yen Chan and Beni Suryadi. (2020). Climate Change, Security and Regional Cooperation in ASEAN. ASEANFocus, Retrieved from https://www.iseas.edu.sg/wp-content/uploads/2020/02/ASEANFocus-March-2020.pdf

[6] ibid

[7] ASCCR (2021). *ASEAN State of Climate Change Report: Current status and outlook of the ASEAN Region Toward the ASEAN climate vision 2050*. Retrieved from https://asean.org/wp-content/uploads/2021/10/ASCCR-e-publication

adaptation, mitigation, and synergies between adaptation and mitigation. Together, they constitute ASEAN's climate vision toward 2050, and provide a pathway for its achievement by ASEAN Member States (AMS). The key actions to transform energy and land-use systems in line with the ASEAN climate vision 2050[8]:

- Raising ambition further after duly achieving the near-term milestone of the ASEAN Plan of Action for Energy; Cooperation (APAEC) 2016-2025 renewable energy (RE) target;
- Formulating a transition strategy toward achieving sustainable and net-zero systems of energy and land-use;
- Promoting multiple co-benefits through a clean energy transition;
- Tracking and fixing the inverse relationship between energy and emission intensity reductions; and
- Maximizing the synergies between mitigation and adaptation actions that involve land-use change.

There is a major concern on limitation of existence of robust aggregate data on vulnerability assessment and climate impacts within ASEAN region. There is still a gap amongst AMS to equip and manage the climate change and vulnerability data, resulting in limiting the results of regional climate change impacts assessment and other relevant research activities.

In responses to the climate change issues and needs, the AWGCC Action Plan (2021-2025) raises the needs for implementing climate change adaptation. The action plan already indicated a list of activities in the core theme (1) climate change adaptation. One of the proposed activities that should be implemented is "*Exchange experience and lesson learn on local community-based climate action. For example: Climate Village Program/Proklim in Indonesia*". This concept note focuses to endorse the proposed activity entitled "**ASEAN Community-Based Climate Action**". This activity requires a multi-stakeholder' engagement of party and non-party stakeholders[9]. The non-party stakeholders, which includes businesses, civil society organizations, and local communities, are playing an important role in the region's efforts to address climate change through community-based climate actions. Engagement with the non-party stakeholders is also essential for building broader support for climate action and ensuring that the benefits of climate action are shared across society.

By working together, governments, businesses, and civil society organizations can accelerate progress towards a low-greenhouse gas emissions and resilient future for Southeast Asia. Effective engagement of non-party stakeholders in climate action is crucial for creating a more inclusive, effective, and sustainable response to the impacts of climate change in the region. This involvement will also be able to create a regional knowledge management hub that not only unites the AMS, but also gathers ideas, policies, and comprehensive approaches within the region to teach each other from the existing best practices and actions relevant to NDC implementation. Therefore, to effectively engage these stakeholders, it will be important for

[8] ibid

[9] unfccc.intl. (2023). What Are Parties and Non-Parties Stakeholders?. Retrieved from https://unfccc.int/process-and-meetings/what-are-parties-non-party- stakeholder

ASEAN to develop clear and inclusive strategies for collaboration and action, especially through community-based climate actions initiatives.

2. Tasks to be performed by the contractor

In the agreed concept note of the conduct of action plan by all ASEAN Member States, the tasks that need to be carried out in the development of the documents of community-based actions on climate change across ASEAN countries are the following:

Task 1. Literature review and data collection of existing community-based action in ASEAN, including but not limited to:

- Undertake a stock-taking and rapid review of existing community-based climate actions and each approach undertaken by relevant institutions in ASEAN region.
- Undertake a stock-taking existing policies and regulations related to community-based climate action in ASEAN region.
- Undertake a stock-taking and communicate actively with relevant agencies on community-based climate actions to obtain related data and information on climate change impact across ten ASEAN countries.
- Create data inventory or database, including but not limited to all collected data/information, climate risks and vulnerabilities, and potential climate change impacts as well as achievements in the implementation of climate change adaptation from ten ASEAN countries.

This task is directed to deliver: A written report and summarized results in presentation slides on the reviews and database of community-based action for climate change in ASEAN.

Task 2. Analysis of existing community-based actions in ASEAN with relevance to Nationally Determined Contributions (NDCs) implementation

This task is including but not limited to:

- Undertake analysis, both quantitative and qualitative, of the best practices of existing community-based climate actions, climate risks and vulnerabilities, climate policies and regulations that are relevant to NDCs implementation as well as aligned with climate adaptation plans.
- Undertake analysis to scale-up community-based climate approaches, including topics of option, steps, and methods/tools to be promoted and adopted amongst ten ASEAN countries.
- Undertake analysis of best practices of knowledge hub development related to community-based climate actions relevant to NDCs implementation and climate adaptation actions.

This task is directed to deliver: A written report and summarized results in presentation slides on assessment and analysis for (i) community-based action for climate change; (ii) legislative and policy review; and (iii) status of vulnerability and risk, including adaptation efforts.

Task 3. Facilitation of consultative process.

The task is to collect insights and validate collected data/information from desktop research from key stakeholders for the co-development of community-based action for climate change across ASEAN countries. The following workshops will cover the topics as laid out below:

Topic 1. Discussions on existing community-based action for climate change
Topic 2. Discussions on the implementation and adoption of community-based climate actions as part of NDC implementation
Topic 3. Discussion on the relevance of science, traditional ecological knowledge, and innovations when planning and conducting community-based climate actions
Topic 4. Discussions on strategic sectors, interventions, and priorities where community-based climate actions are needed
Topic 5. Capacity development plan for scaling up communities-based climate actions in the region
Topic 6. Development of monitoring and evaluation measures

This task is directed to deliver: a written report and summarized results in presentation slides on the workshop that incorporates workshops' activities, and integrated comments tracking matrix.

Task 4. Development of strategic plans and actions for adaptation on climate change in ASEAN with a focus on communities-led activities.

This task is including but not limited to:

- Develop a comprehensive strategic plans and actions for climate change adaptation in ASEAN based on findings from desktop research and workshops' insights and other relevant sources with a focus on communities-led activities.
- Develop a strategy of knowledge-hub platform which features community-based climate actions based on all collected data/ information.
- Deliver a draft and final report based on the input from related stakeholders, Ministry of Environment and Forestry, GIZ and Environmental Division, ASEC.

This task is directed to deliver: a final report and summarized results in presentation slides of the community-based action for climate change in ASEAN. The report contains 1) Compilation of featured examples and lessons learned, 2) Criteria of best practices, 3) Recommendations to set up knowledge hub on community-based climate actions, and 4) Potential collaboration to scale-up and stimulate more actions led by the community.

The timeline of achieving milestones, as laid out in the table below, are to be achieved during the contract term:

Milestones/process steps/partial services	**Timeline**
Task 1. Literature review and data collection	August 2023
Task 2. Analysis of existing community-based actions in ASEAN with relevance to NDC implementation	September 2023
Task 3. Facilitation of consultative processes	September 2023 – March 2024

Milestones/process steps/partial services	Timeline
Task 4. Development of strategic plan and actions, including recommendations on strategic hub	October 2023 – March 2024

Period of assignment: from 31 July 2023 until 30 April 2024. It includes revising inputs based on the feedback from all the national focal points of ASEAN Working Group of Climate Change.

3. Concept

In the tender, the tenderer is required to show *how* the objectives defined in Chapter 2 (Tasks to be performed) are to be achieved, if applicable under consideration of further method-related requirements (technical-methodological concept). In addition, the tenderer must describe the project management system for service provision.

Note: The numbers in parentheses correspond to the lines of the technical assessment grid.

Technical-methodological concept

Strategy (1.1): The tenderer is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1 Context) (1.1.1). Following this, the tenderer presents and justifies the explicit strategy with which it intends to provide the services for which it is responsible (see Chapter 2 Tasks to be performed) (1.1.2).

The tenderer is required to present the actors relevant for the services for which it is responsible and describe the **cooperation (1.2)** with them.

The tenderer is required to present and explain its approach to **steering** the measures with the project partners (1.3.1) and its contribution to the **results-based monitoring system** (1.3.2).

The tenderer is required to describe the key **processes** for the services for which it is responsible and create an **operational plan** or schedule (1.4.1) that describes how the services according to Chapter 2 (Tasks to be performed by the contractor) are to be provided. In particular, the tenderer is required to describe the necessary work steps and, if applicable, take account of the milestones and **contributions** of other actors (partner contributions) in accordance with Chapter 2 (Tasks to be performed) (1.4.2).

The tenderer is required to describe its contribution to knowledge management for the partner (1.5.1) and GIZ and to promote scaling-up effects (1.5.2) under **learning and innovation**.

4. Personnel concept

The tenderer is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 6), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points in the technical assessment.

Team leader: Climate Change Impacts and Adaptation Expert

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor
- Staff management; coordinating and allocating activities to each expert and supporting staffs, preparing work plans, and other necessary preparations.
- Leading the team's internal discussions and help solve all team problems/problems, both technical and non-technical.
- Collecting and compiling data and information, including but not limited to climate risks and vulnerabilities and potential climate change impacts, and adaptation plans related to the implementation of climate change adaptation actions in ten ASEAN countries.
- Led the preparation of databases and information inventory of all stock-tacking data from all team experts in tabular form and stored in a spreadsheet format or other editable formats.
- Analysing all collected data and information, both quantitative and qualitative, that are relevant to NDCs implementation and climate adaptation plans in ASEAN region.
- Developing strategic and action plans to promote community-based climate actions based on result analysis to be adopted to ten ASEAN countries.
- Preparing presentation decks and presenting them in agreed meetings and avenues.
- Responsibility for regular correspondence and reporting in accordance with agreed timelines.
- Responsible for all forms of reports requested by the assignor in accordance with the scope of activities listed in the Terms of Reference.

Qualifications of the team leader

- Education/training (2.1.1): University degree (Master's or above) in Climate Change, Environmental Science/ Management, Economics, Public Policy, International Development, or similar relevant subjects
- General professional experience (2.1.3): at least 10 years of professional experience in the climate change sector within the related fields, including in developing climate change plans and actions, climate change policy, climate adaptation planning, strategy, and programme development.
- Specific professional experience (2.1.4): 7 years in managing projects, developing climate change policies and strategic plans, conducting economic analysis and climate fund assessment related to climate change adaptation plans, track-records with implementation of operational models/ database, strategic development of climate adaptation and community-based action plans.
- Leadership/management experience (2.1.5): at least 5 years of management/leadership experience as project team leader or manager in a company or research institution.
- Regional experience (2.1.6): at least 5 years of experience in projects in Southeast Asia (region) with ability to work within multicultural and multidisciplinary environment.
- Development cooperation (DC) experience (2.1.7): at least 3 years of experience in DC projects

Key expert 1: Environmental and/or Disaster Management Expert

Tasks of key expert 1

- Collecting and compiling data and information related to environmental health and/or disaster response and recovery measures as part of the implementation of climate change adaptation actions in ten ASEAN countries.

- Analysing all data and information related to environmental health and/or disaster response and recovery, both quantitative and qualitative, that are relevant to NDCs implementation and climate adaptation plans in ASEAN region.
- Providing analysis to advise how provided examples are related to the discussion of Loss and Damage as part of the strategic and action plans.
- Assisting the Team Leader in developing strategic and action plans based on result analysis of environmental health and disaster response & recovery for the implementation of climate change impacts and adaptation actions in ASEAN.
- Assisting the Team Leader in preparing and completing the presentation decks and final report.

Qualifications of key expert 1

- Education/training (2.2.1): University degree (Master's or above) in Environmental Science/ Management, Disaster Management, International Development or similar relevant subjects
- General professional experience (2.2.3): at least 5 years of professional experience in the environmental or disaster management sector, including in developing action plans, environmental policy and planning, strategy, and program development within the related fields.
- Specific professional experience (2.2.4): at least 5 years of experience in environmental policy and planning, environmental impact assessment, adaptation and disaster management
- Regional experience (2.2.6): at least 5 years of experience in projects in Southeast Asia (region) with ability to work within multicultural and multidisciplinary environment.

Key expert 2: Human and/or Social Development Expert

Tasks of key expert 2

- Conducting and compiling data and information related to human and/or social development issues, including but not limited to human/ social development programme and approaches, gender equality, marginalised group, and any relevant field in related to the implementation of community-based climate actions in ten ASEAN countries.
- Analysing all data/ information related to human and/or social development issues, both quantitative and qualitative, that are relevant to NDCs implementation and climate adaptation plans in ASEAN region.
- Assisting the Team Leader in developing strategic and action plans based on result analysis of human and/or social development for the implementation of climate change impacts and adaptation actions in ASEAN.
- Assisting the Team Leader in preparing and completing the presentation decks and final report.

Qualifications of key expert 2

- Education/training (2.2.1): University degree (Master's or above) in Anthropology, Social Science/ Studies, Environmental Science/ Management, International Development, or similar relevant subjects
- General professional experience (2.2.3): at least 5 years of professional experience in the human and/or social development, social inclusion aspect, including in designing and implementing of policies and programmes within the related fields.
- Specific professional experience (2.2.4): at least 3 years of experience in capacity building and delivery of training; communications; monitoring, evaluation, and reporting.

- Regional experience (2.2.6): at least 3 years of experience in projects in Southeast Asia (region) with ability to work within multicultural and multidisciplinary environment.

Key expert 3: Economic and Business Development Expert

Tasks of key expert 3

- Conducting and compiling data and information on economic and business development related to climate change issues, including but not limited to regional economic conditions, partner engagement, local economic needs and opportunities, and any relevant aspect in related to the implementation of community-based climate actions and NDCs in ten ASEAN countries.
- Analysing all data and information on economic and business development, both quantitative and qualitative, including private and public investment or funds for the implementation community-based climate actions with relevancy to climate adaptation plans and NDCs implementation in ASEAN region.
- Providing analysis to advise how provided examples are related to the discussion of Loss and Damage as part of the strategic and action plans.
- Providing analysis and/or advise on business continuity plan relevant to the implementation of community-based climate actions and climate adaptation plans.
- Developing strategic recommendation actions on financing community-based climate actions, aligning with the implementation of climate adaptation plans and NDCs.
- Assisting the Team Leader in developing strategic and action plans based on result analysis of economic or business development for the implementation of climate change impacts and adaptation actions in ASEAN.
- Assisting the Team Leader in preparing and completing the presentation decks and final report.

Qualifications of key expert 3

- Education/training (2.2.1): University degree (Master's or above) in Economics, Public Policy, International Development, or similar relevant subjects
- General professional experience (2.2.3): at least 5 years of professional experience in international economic development, and business development in climate change sector including in developing policy or action plans, financial planning within relevant fields.
- Specific professional experience (2.2.4): at least 3 years of experience in policy design development and financial planning, partner engagement, business continuity plan development and/ or climate investment modelling in the context of community-based development, climate actions and relevant fields.
- Regional experience (2.2.6): at least 3 years of experience in projects in Southeast Asia (region) with ability to work within multicultural and multidisciplinary environment.

Short-term expert pool

Tasks of the short-term expert pool

- Creating a concept of database or information inventory for all relevant collected data/ information in the form of digital platform to be connected to the future knowledge-hub or relevant knowledge management platform.
- Conceptualise a scheme of data collection and information categorisation to synchronize with the future knowledge-hub or relevant knowledge management platform.

Qualifications of the short-term expert pool

- Education/training (2.6.1): 1 expert with university qualification (Bachelor/Master (preferrable)) in IT, Data Science, Information Systems, Data Management, or similar relevant subjects
- General professional experience (2.6.3): 1 expert with 3 years of professional experience in the IT, Data Science, and/or Data Management sector
- Specific professional experience (2.6.4): 1 expert with 3 years of professional experience in Data analysis, Data solution and architecture, User Experiences (UX) and relevant fields
- Regional experience (2.6.5): 1 expert with 2 years of experience in ASEAN (region) with ability to work within multicultural and multidisciplinary environment.

Please note that good business language skill in English (equal with C1-level in the Common European framework of reference for language) is a minimum requirement for being eligible candidates for all team leader and members to participate in the tender.

The tenderer must provide a clear overview of all proposed experts, short-term experts, and their individual qualifications.

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Socio-cultural skills
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Soft skills are not evaluated.

5. Costing requirements

Assignment of personnel and travel expenses in consideration of personnel and travel expenses, total of expert days is 160 days. Within the expert days, there are travel costs that are covered by GIZ, as follows:

- International return flights: Economy class; two times of in-person workshop programmes with each workshop only three experts (TL and 2 Key Experts) allowed to travel; Potential locations of the workshop are Bangkok, Thailand; Jakarta, Indonesia; – final designated countries will also follow ASEAN decision)
- Overnight accommodations: 24 days - two experts (TL and 2 Key Experts)
- Numbers of per-diem: 24 days - two experts (TL and 2 Key Experts)

Per-diem and overnight accommodation allowances are reimbursed as a lump sum up to the maximum amounts permissible under tax law for each country as set out in the country table in the circular from the German Federal Ministry of Finance on travel expense remuneration (downloadable at https://www.bundesfinanzministerium.de).

Accommodation costs which exceed this up to a reasonable amount and the cost of flights and other main forms of transport can be reimbursed against evidence.

All business travel must be agreed in advance by the officer responsible for the project.

Sustainability aspects for travel

GIZ would like to reduce greenhouse gas emissions (CO_2 emissions) caused by travel. When preparing your tender, please incorporate options for reducing emissions, such as selecting the lowest-emission booking class (economy) and using means of transport, airlines and flight routes with a higher CO_2 efficiency. For short distances, travel by train (second class) or e-mobility should be the preferred option.

If they cannot be avoided, CO_2 emissions caused by air travel should be offset. GIZ specifies a budget for this, through which the carbon offsets can be settled against evidence.

There are many different providers in the market for emissions certificates, and they have different climate impact ambitions. The Development and Climate Alliance (German only) has published a list of standards (German only). GIZ recommends using the standards specified there.

Specification of inputs:

Fee days	**Number of experts**	**Number of days per expert**	**Total**	**Comments**
Designation of TL/key expert/short-term expert pool				
Travel expenses	**Quantity**	**Price**	**Total**	**Comments**
Overnight allowance in country of assignment				
Transport	**Quantity**	**Price**	**Total**	**Comments**
International flights				Travel to the place of service delivery
Domestic flights				Flights within the country of assignment during service delivery
CO_2 compensation for air travel	**12**	**40**	**480**	A budget is earmarked for settling carbon offsets against evidence.
Travel expenses (train, car) • •				Travel within the country of assignment, transfer to/from airport etc.

6. Requirements on the format of the tender

The structure of the tender must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 4) should be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). The tender must be legible (font size 11 or larger) and clearly formulated. It must be drawn up in English (language).

The complete tender must not exceed 10 pages (excluding CVs). If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment. External content (e.g., links to websites) will also not be considered.

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 4 pages each. They must clearly show the position and job the proposed person held in the reference project and for how long. The CVs can also be submitted in English (language).

Please calculate your financial tender based exactly on the parameters specified in Chapter 5 Quantitative requirements. The contractor is not contractually entitled to use up the days, trips, workshops, or budgets in full. The number of days, trips and workshops and the budgets will be contractually agreed as maximum limits. The specifications for pricing are defined in the price schedule.

7. Annexes

- Concept note prepared by Lead country Indonesia entitled '**ASEAN COMMUNITY-BASED CLIMATE ACTION**'