

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

Conducting Training Needs Assessment, Developing Module and Guidebook for Training Officials from Public Sector Enterprises on Climate Change, Carbon Markets, Carbon Finance and Carbon Pricing	Project number/ cost centre:  17.9084.9-002.00
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**0. List of abbreviations**

AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
ToRs	Terms of reference

## 1. Context

According to India's second Biennial Update Report (BUR) to the United Nations Framework Convention on Climate Change (UNFCCC) India emitted 2607.49 million tonnes CO<sub>2</sub>e (excluding LULUCF) and 2306.3 million tonnes CO<sub>2</sub>e (including LULUCF) in 2014. Out of the total emissions, the energy sector accounted for 73% and Industrial Processes and Product Use (IPPU) accounted for 8%. To meet the Nationally Determined Contribution (NDC) target of reducing emission intensity of the economy by 33-35% by 2030 compared to 2005 requires efforts across sectors particularly in the industry. Perform Achieve and Trade (PAT) and Renewable Energy Certificates (REC) mechanism are some of the key mechanisms for reducing industrial emission intensity. Public Sector Enterprises (PSEs) are companies with not less than 51% of the paid-up share capital held by either central or state government. The sectors covered by PSEs include sectors like banking, insurance, petroleum, mining, power generation, power transmission, heavy engineering, aviation, storage and public distribution, shipping and trading, steel etc. Considering the significant presence of PSEs in the economy it is critical that these enterprises also contribute to climate action in India.

The 'Global Carbon Markets' Project commissioned by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) with Ministry of Environment, Forests and Climate Change, Government of India has objective of building capacity of public and private sector stakeholders on market mechanisms and climate finance. The project is partnering with Standing Conference of Public Enterprises (SCOPE) which is the apex body of Public Enterprises and has been working on the issue of climate change. The objective of the partnership is to build capacities of relevant stakeholders within the PSEs on issues related to climate change. As part of the capacity building efforts focusing on PSEs it is proposed to conduct a training needs assessment for staff at PSEs, followed by development and pilot implementation of a module for training them on climate change, carbon markets, carbon finance and carbon pricing.

The specific objectives of the work are as follows:

- i. Conducting training needs assessment of PSE staff on the topics including climate change, carbon markets, carbon finance and carbon pricing.
- ii. Development of training module for staff at PSEs on topics including climate change, carbon markets, carbon finance and carbon pricing
- iii. Pilot testing of the module for feedback and finalization of modules.
- iv. Publishing guidebook for developing and implementing climate change mitigation strategy for PSEs.

## 2. Tasks to be performed by the contractor

The contractor is responsible for providing the following services:

***Work Package 1: Conducting Training Needs Assessment of PSE staff on the topics including climate change, carbon markets, carbon finance and carbon pricing.***

The contractor shall do the following activities but not limiting to:

- Secondary research to determine the level of engagement of PSEs on issues related to climate change, carbon markets, climate finance and carbon pricing.

- Provide an analysis of comparison between the best in sector enterprise for activities related to climate change and engagement of PSEs
- Identify key departments and officials responsible for engagement of PSEs on issues related to climate change along with the climate change related topics for which there is a need for capacity building or training.
- Interview key officials from selected PSEs from major sector including petrochemicals, steel, heavy industry, banking, aviation etc. to identify the training needs.
- Organize Focused Group Discussions on the key topics and interesting modalities for training and capacity building on climate change issues.

***Work Package 2: Development of training module for PSEs on climate change, carbon markets, carbon finance and carbon pricing.***

The contractor based on inputs from the training needs assessment shall develop module on climate change, carbon markets, climate finance and carbon pricing for different levels of officials from PSEs. The module should have a shorter orientation section for decision makers or leadership teams and detailed deep dive section for officials with an operational role. The shorter module can also be used for training and capacity building across organization.

The contractor shall review training modules, handbooks, manuals etc. available for different sectors and types of enterprises on issues related to climate change to seek inputs.

The module should be developed using innovative approaches like Harvard case study method, pictures, comic book approach etc. The consultant should develop the following:

- Developing a pre-assessment survey to be completed by the participants in order to tailor the training to the specific needs and prior knowledge of the participants.
- Development of PPT presentations for the training module (also using existing training materials)
- Identification of country examples / case studies that can be used in presentations and exercises
- Developing training materials for participants (i.a. handouts, descriptions of and background material for group work) including for interactive and practical parts
- Developing a handbook and detailed moderation guide for the trainers including comprehensive and detailed description of methodology to be used for interactive elements and annotated PPT presentations

The topics to be included in the training should include but not limited to:

- A. Setting the Scene:
  - Introduction to climate change and need for mitigation.
  - UNFCCC, climate negotiations, Paris Agreement, Nationally Determined Contributions
  - Introduction to carbon pricing instruments for tackling climate change
  - Brief introduction on India's experience on market mechanisms
  - Introduction to GHG footprinting and example of GHG foot printing for different sectors.
- B. Carbon pricing Instruments

- Introduction to carbon pricing, different approaches for carbon pricing and how to implement carbon pricing.
- Sharing examples of companies and countries implementing different types of carbon pricing.
- Introduction to Carbon Tax and ETS (functioning, differences, benefits, challenges)
- Indirect pricing instruments (e.g. fossil fuel subsidy reform)
- Revenue use (different options to use the revenues incl. pros and cons of each option)
- Introduction to carbon finance and examples of carbon financing.
- Examples of carbon financing.
- Basic introduction of market mechanism for addressing environmental challenges with reference to carbon markets starting from Clean Development Mechanism (CDM) under Kyoto Protocol to current discussions under Paris Agreement
- Article 6 of the Paris Agreement and credit-based mechanisms
- Differences between Kyoto/CDM and Paris/Article 6
- In detail: Art. 6.2 & Art. 6.4 (objective, functioning, principles, rules and modalities, opportunities for developing countries)
- Art. 6 and NDC implementation - the transferring country perspective
- Art. 6 for ambition raising
- CORSIA and international shipping (status of negotiations, potential demand for credits)
- B. Cross-cutting issues
  - Carbon Pricing and long-term climate strategies
  - Global processes and initiatives on carbon pricing and Article 6
  - National offsetting systems and voluntary carbon markets
  - Regional approaches/ regional cooperation (e.g. cooperation on MRV systems in Latin America; West African Alliance on Carbon Markets)
  - Communication of carbon pricing to the general public
  - Case studies/ detailed country examples (including best practice examples for carbon tax and ETS and pilot projects for ITMO transfer)
  - Transfer to participant's own jurisdiction/ circumstances
  - Introduction to Voluntary Carbon Markets, past, current and future trends
  - Information on Verified Carbon Standard and Gold Standard as the two examples of functioning standards.
  - Linking with other environmental, social and economic co-benefits.

Note: Each section of the module should clearly define the learning goals and include relevant worksheets and activities for stakeholders so that the program is engaging and provides opportunity for learning by doing.

### ***Work Package 3: Pilot Implementation of training module.***

The contractor will organize pilot implementation of training module to seek feedback and finalize the modules.

There should be at least four training programs organized before finalization of the training module.

Feedback should be collated from stakeholders attending the training programs based on the module and revisions should be done before module finalization.

**Work Package 3: Develop guidebook for developing and implementing climate change mitigation strategy for PSEs.**

The contractor based on the training module will develop a guidebook for professionals in the PSEs to develop and implement climate mitigation strategy. The guidebook shall include but not limited to the following:

- i. Introduction to developing climate change mitigation strategy for companies different sectors.
- ii. Assessment of GHG emissions and setting up MRV processes.
- iii. Assessment of risks and opportunities due to climate change.
- iv. Identifying and evaluating options for reducing GHG emissions, setting GHG reduction goals and targets, alignment with Science Based Targets.
- v. Identifying and evaluating steps for mobilizing financing to reduce GHG emissions.
- vi. Engaging entire organization in implementation of climate change mitigation strategy.
- vii. Assessing and engaging with the international, national and local level policy landscape related to climate change.
- viii. Engaging with the stakeholders on climate change mitigation strategies.
- ix. Details of initiatives that companies can join to better implement the climate change mitigation strategy.

Certain milestones, as laid out in the table below, are to be achieved by certain dates during the contract term, and at locations:

<b>Milestone</b>	<b>Deadline/place/person responsible</b>
Submission of an inception report with secondary desk based research and inception meeting with GIZ and SCOPE	Week 2
Training need assessment interviews and report submission	Week 8
Development of training module and guidebook	Week 16
Pilot implementation of the draft training module and guidebook	Week 24
Final training module and guidebook	Week 28

Period of assignment: From 1<sup>st</sup> January 2020 until 30<sup>th</sup> July 2020.

### **3. Concept**

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

## Technical-methodological concept

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

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

The bidder is required to present and explain its approach to **steering** the measures with the project partners and its contribution to the results-based monitoring system.

The bidder is required to describe the key **processes** for the services for which it is responsible and create a schedule that describes how the services according to Chapter 2 are to be provided. In particular, the bidder is required to describe the necessary work steps and, if applicable, take account of the milestones and contributions of other actors in accordance with Chapter 2.

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

## Project management of the contractor

The bidder is required to explain its approach for coordination with the GIZ project.

- The contractor is responsible for selecting, preparing, training and steering the experts (international and national, short and long term) assigned to perform the advisory tasks.
  - The contractor makes available equipment and supplies (consumables) and assumes the associated operating and administrative costs.
  - The contractor manages costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ.
- The contractor reports regularly to GIZ in accordance with the AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH from 2018

SCOPE & GIZ will support a consultant or group of consultants for this study. In case of group, it should not comprise of more than 5 individual members, including one identified as the lead. The lead consultant will coordinate and submit technical and financial reports to the SCOPE & GIZ at intervals identified in the agreement. Each consultant will submit technical and financial reports to the lead consultant who will in turn synthesize and ensure a coherent report is submitted. Each consultant will be expected to ensure accountability to the group and lead consultant.

The selected consultants will be required to ensure that they are fully guided by GIZ and SCOPE and both are informed of all meetings and progress.  
In derogation from GIZ AVB, the contractor makes contributions to reports to GIZ's commissioning party instead of submitting its own reports.

The bidder is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the bid; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

The bidder is required to describe its backstopping concept. The following services are part of the standard backstopping package; **No remuneration/fee to backstopping experts shall be borne by GIZ.**

- Service-delivery control
- Managing adaptations to changing conditions
- Ensuring the flow of information between GIZ and field staff
- Contractor's responsibility for seconded personnel
- Process-oriented technical-conceptual steering of the consultancy inputs
- Securing the administrative conclusion of the project
- Ensuring compliance with reporting requirements
- Providing specialist support for the on-site team by staff at company headquarters
- Sharing the lessons learned by the contractor and leveraging the value of lessons learned on site

#### **4. Personnel concept**

**4.1** The bidder is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 7), the range of tasks involved and the required qualifications.

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

##### **Team leader**

###### Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, in particular identifying the need for short-term assignments within the available budget, as well as planning and steering assignments and supporting local and international short-term experts
- Regular reporting in accordance with deadlines

###### Qualifications of the team leader

- Education/training (2.1.1): University qualification in Management, Finance, Economics, Climate Change, GHG accounting International Development/Relations, or a related field from a recognised and reputable institution;
- Language (2.1.2): Good business language skills in English
- General professional experience (2.1.3): 15 years of professional experience of working with large enterprises including PSEs on climate change, carbon finance, carbon pricing, carbon markets etc.;
- Specific professional experience (2.1.4): Knowledge and Experience of challenges facing PSEs related to engagement on climate change issues. 6 years of leadership/management experience and leading at least 1 program for PSEs.;
- Leadership/management experience (2.1.5): 6 years of management/leadership experience as project team leader or manager in a company
- Regional experience (2.1.6): 5 years of experience in projects in India
- Development Cooperation (DC) experience (2.1.7): 3 years of experience in DC projects



- Other (2.1.8): Demonstrable experience of working with Public Sector Enterprises on issues related to climate change, carbon markets, carbon pricing etc.;
- Profound experience in designing capacity development and institutional development strategies.
- 

## **Two Carbon Market and Climate Finance experts**

### Qualifications of expert the two experts

- Education/training (2.2.1): Advanced degree in Engineering, Management, Environmental Science, Economics, International Development/Relations, or a related field from a recognised and reputable institution;
- Language (2.2.2): English
- General professional experience (2.2.3): 5 years of professional experience in carbon markets and climate finance;
- Specific professional experience (2.2.4): 2 years of specific experience of working with public sector enterprises on climate change related issues with focus on carbon pricing, carbon markets, carbon financing etc..
- Leadership/management experience (2.2.5): 2 years of management experience
- Regional experience (2.2.6): India
- Development Cooperation (DC) experience (2.2.7): 2 years of experience in DC projects
- Other (2.2.8): Proven experience in conducting assessment of GHG emission reduction impact.
- Proven experience of training and capacity building activities. ;

### **Capacity Building Expert (Expert 4):**

- Education/training (2.2.1): Advanced degree in Management, Engineering, Environmental Studies, Communication, or a related degree from a reputable and recognized university/institution
- Language (2.2.2): English
- General professional experience (2.2.3): 5 years of professional experience incapacity building of stakeholders from public sector enterprises;
- Specific professional experience (2.2.4): Experience and knowledge in delivering programs related to capacity building of PSEs.
- Leadership/management experience (2.2.5): None
- Regional experience (2.2.6): India
- Development Cooperation (DC) experience (2.2.7): 1 years of experience in DC projects
- Other (2.2.8): Experience and knowledge in developing economic instruments for environmental conservation, emission reductions, etc.

### Soft skills of team members

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

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

## **Short-term expert pool with minimum 1, maximum 3 members**

### Qualifications of the short-term expert pool

- Education/training (2.6.1): Advanced degree in Management, Engineering, Environmental Science, Economics, International Development/Relations, or a related field from a recognised and reputable institution;
- Language (2.6.2): Environmental and management experts with very good language skills in working with development of training modules, good language skills in English
- General professional experience (2.6.3): 2 experts with 10 years of experience and excellent knowledge on development of training programs for companies particularly Public Sector Enterprises.
- Specific professional experience (2.6.4): 1 expert with 10 years of recognized expertise in assisting companies develop and implement climate change mitigation strategy;
- Regional experience (2.6.5): 2 experts with 5 years of experience in India
- Development Cooperation (DC) experience (2.6.6): 2 experts with at least 2 years of experience in DC

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

## **4.2 Required Qualification / experience for the consulting agency**

The Agency should have the following administrative and financial requirements for conducting the assignment:

- Average annual turnover for the last three financial years should be at least 100,000 Euro.
- Number of employees as at 31.12.2018 should be at least 10 persons.
- Agency must have handled at least 3 projects on development of training manuals, training needs assessments with a focus on climate change, carbon markets and climate finance.

The Agency should have the following experiences for conducting the assignment:

- Minimum 5 years of technical expertise in consulting on development of training manuals and conducting training needs assessment for climate change, carbon markets, carbon pricing and climate finance
- Minimum 5 years of experience in carbon markets, climate finance, climate change mitigation, development of climate change mitigation strategies for corporates.
- Minimum 5 years experience in collaboration with public sector enterprises on climate change and sustainable development, excellent understanding of their emission profile of PSEs.
- Minimum 5 years of experience in conducting trainings on climate change and carbon markets, developing guidebooks/manuals on climate change mitigation strategies

## **5. Costing requirements**

### **Assignment of personnel**

Team leader:	Assignment in country of assignment for 20 expert days
Carbon Market Experts (2 & 3):	Assignment in country of assignment for 70 expert days
Capacity Building Expert (Expert 4):	Assignment in country of assignment for 40 expert days
Short-term expert pool:	Total 10 expert days

### **Travel**

The bidder is required to calculate the travel by the specified experts and the experts it has proposed based on the places of performance stipulated in Chapter 2 and list the expenses separately by daily allowance, accommodation expenses, flight costs and other travel expenses.

### **Workshops, training**

The contractor implements the following workshops/study trips/training courses:

- 4 training programs or workshops in different regions of the country for PSEs.

## **6. Inputs of GIZ or other actors**

SCOPE & GIZ will support a consultant or group of consultants for this study. In case of group, it should not comprise of more than 5 individual members, including one identified as the lead. The lead consultant will coordinate and submit technical and financial reports to the SCOPE & GIZ at intervals identified in the agreement. Each consultant will submit technical and financial reports to the lead consultant who will in turn synthesize and ensure a coherent report is submitted. Each consultant will be expected to ensure accountability to the group and lead consultant.

The selected consultants will be required to ensure that they are fully guided by SCOPE and SCOPE is informed of all meetings and progress. SCOPE will facilitate coordination with PSE stakeholders, as needed. The consultant is required to make a request for SCOPE & GIZ participation in meetings or interviews, at least 7 days in advance.

## **7. Requirements on the format of the bid**

The structure of the bid must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 3) is to be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). It must be legible (font size 11 or larger) and clearly formulated. The bid is drawn up in English (language).

The complete bid shall not exceed 30 pages (excluding CVs).

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 of

each expert shall not exceed 4 pages. The CVs 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).

If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment.

Please calculate your price bid based exactly on the aforementioned costing requirements. In the contract the contractor has no claim to fully exhaust the days/travel/workshops/ budgets. The number of days/travel/workshops and the budget amount shall be agreed in the contract as 'up to' amounts. The specifications for pricing are defined in the price schedule.

As the contract to be concluded is a contract for works, please offer a fixed lump sum price that covers all applicable costs (fees, travel expenses etc.). The price bid will be evaluated based on the specified lump sum price. For our internal costing and any further commissions, please also provide the daily rate which the prices are based on. A breakdown of days is not required.