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REQUEST FOR PROPOSALS FOR PROVISION OF

TECHNICAL ASSISTANCE IN CONDUCTING ASSESSMENT, BASED ON GOOD GOVERNANCE INDEX ON LOCAL-SELF GOVERNMENTS PERFORMANCE AND CAPACITIES FOR APPLYING GOOD GOVERNANCE PRINCIPLES

Background

The Standing Conference of Towns and Municipalities (SCTM), within the project “Enhancing Good Governance at the local level”, is hereby seeking proposals for the provision of technical assistance in conducting assessment of local-self-governments performance and capacities for applying good governance principles.

The Project “Enhancing Good Governance at the local level” has been developed to provide continuous support to local self-governments to improve their capacities for developing, adopting and implementing good governance (GG) principles (efficiency and effectiveness, transparency, accountability, rule of law, participation, and equality and non-discrimination) in their everyday practice. Implemented by Standing Conference of Towns and Municipalities (SCTM), this project is part of the Swiss PRO Programme (“Enhancing Good Governance and Social Inclusion for Municipal Development”) which is funded by the Swiss Agency for Development and Cooperation (SCD) and implemented by the United Nations Office for Project Services (UNOPS).

The project aims to achieve two specific outputs through the implementation of corresponding activities listed hereunder:

- Output 1.1: Raised awareness and general capacities for implementation of good governance principles at local level.
 - Activity 1.1.1 Conduct Assessment, based on Good Governance Index, on LG performance and capacities for applying good governance principles
 - Activity 1.1.2 Creation of Knowledge and Information Hub on good governance at the local level
 - Activity 1.1.3 Capacity building of LGs for implementation of GG principles through regional and on-line trainings
 - Activity 1.1.4 Conducting a national competition for the best practice in implementing the principles of good governance in local government
- Output 1.2: Enhanced integration of GG principles in selected public affairs managed by LGs
 - Activity 1.2.1 Implementation of Municipal Support Packages in the area of efficiency, accountability and rule of law, transparency and participation in selected number of LGs



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The first output will be achieved through **general awareness rising and capacity building activities** (regional trainings, e-learning courses, peer-to-peer workshops, Knowledge and Information Hub), while the second objective will be accomplished through **direct tailor made support** that will be provided to 42 selected LGs in the form of *Municipal Support Packages* in the areas related to the principles of good governance such as:

- Improvement of efficiency and effectiveness of local administration and standardization of local administrative procedures;
- Enhancement of accountability and the rule of law through the support provided for development and implementation of local anticorruption plans;
- Implementation of participative decision-making processes, especially in budgeting and gender budgeting;

Municipal Support Package is a methodological tool developed by the SCTM, which represents tailor made consultancy support to selected LGs in specific areas of LG competences/services. The MSPs include provision of support to LGs in improving selected services, procedures and documents through training sessions, advisory support, ad hoc consultation and mentoring, as well as through implementation of the examples of best practice, peer-to-peer learning and networking with other LGs.

Purpose of the Assignment

The purpose of this assignment is to conduct assessment on performance of local governments and their capacities to apply good governance principles in their everyday practice. The assessment is to be carried out on a sample of 60 towns and municipalities through field visits and one-on-one interviews with relevant local interlocutors, using the **Good Governance Index (GGI)**, but also through desk researches and interviews with selected national stakeholders (Ministry of Public Administration and Local-Self-government, Anti-Corruption Agency, Office for Human and Minority Rights of the Government of Serbia, Commissioner for the Protection of Equality, Office for Cooperation with Civil Society and selected LG's representatives).

The Good Governance Index is one of the outputs of an on-going complementary project entitled "*Improvement of administrative efficiency and effectiveness at the local level*" implemented by SCTM and funded by the German International Cooperation through the GIZ project "Supporting Reform of Public Administration in Serbia". **It is an assessment tool, which aims to measure the performance of local governments in implementing local public policies and relevant legal requirements through the scope of the following good governance principles: (1) accountability (2) transparency, openness, and participation (3) equality and non-discrimination, (4) predictability, efficiency/effectiveness of local administration and (5) anti-corruption.** GGI is developed using the methodology of an existing SCTM on-line Performance Assessment Tool (<http://ucinak.skgo.org>), which is available to all LGs for evidence-based self-assessment, or assessment by external assessors. In regards to the structure of the GGI, each of the five good governance principle is divided in a number of topics and sub-topics/indicators, which are falling within the scope of LGs competences. In total, there are 26 thematic areas and 127 indicators. The indicators have been formulated as questions and each indicator is linked to the set of possible answers. In the process of assessment,



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an external evaluator will measure the level of advancement of LGs in applying good governance principles in specific areas by selecting one of the available answers which describes the best the level of fulfilment of the observed indicator. Each answer carries an appropriate number of points and is linked to appropriate sources of verification. The content of the Good Governance Index and Sample of the GGI is provided in the Annex-III.

The implementation of this activity will identify the gaps existing between the current situation and the best practices the LGs should strive to achieve. The findings of the assessment will provide a baseline for the adjustment and fine-tuning the scope and the content of future capacity building activities within the project (regional trainings, workshops, Municipal Support Packages, good governance capacity development efforts, etc.). In other words, it will identify priority areas for improvements and will enable the Programme to design a tailor-made support to close the identified gaps and to raise LGs capacities in the most efficient and effective manner.

The following output is expected to be achieved through the accomplishment of this assignment: **“The assessment of local governments’ performance and capacities for applying good governance principles developed”**.

A second assessment of LGs capacities for applying GG principles, using the same approach and tools, will be made at the end of the project in order to measure the progress of LGs in applying GG principles and the impact of the intervention. This second assessment will be subject of another separate tender.

Scope of work

In line with the scope of the project activity, the applicant is required to:

- Assess the capacities of 60 local self-government units to apply good governance principles, based on the Good Governance Index and desk researches and interviews with relevant national and local stakeholders and to develop a comprehensive report, which will consist of identified gaps, and recommendations, which should enable fine-tuning future capacity building activities foreseen within the Programme.

The applicant shall be advised by the SCTM regarding all inputs relevant for the fieldwork, desk researches and interviews and development of the report.

All relevant already existing information and inputs provided by the SCTM will be taken into consideration and incorporated into the final output of the assessment.

This report is to be presented to and reviewed by the SCTM project team, as well as by the relevant Swiss PRO Programme personnel. The final report will be submitted to the SCTM for final approval.



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In accordance with the above mentioned, the applicant will be responsible for the implementation of the following tasks:

Main Tasks and Responsibilities of the applicant:

- Task 1: Participate in the introductory meeting with the project team of the Standing Conference of Towns and Municipalities and the team in charge of development of the Good Governance Index. The aim of the meeting is to introduce the applicant with the methodology used for the development of the GGI, its content and principles of functioning and to agree on the general approach and methods to be applied for the assessment. The GGI will be provided to the selected applicant in electronic form for the purpose of assessment.
- Task 2: Define the criteria and the methodology for the selection of the sample of 60 LGs in close cooperation with the SCTM project team and in consultation with relevant Swiss PRO Programme personnel. The representative sample of LGs should secure appropriate distribution of LGs in size and type as well as appropriate regional representation. The selected LGs must be willing to participate in the assessment, knowing that the results of the assessment are not to be publically available, and that the data gathered through the evaluation exercise will only serve to obtain a general overview of the situation in the area of good governance. If some of the preselected LGs decide not to participate in the assessment, the selected applicant, in close coordination with SCTM, shall secure participation of the next in line LG(s) as a replacement?
- Task 3: Elaborate Assessment Plan, which shall be approved by the SCTM.
- Task 4: Conduct the Good Governance Assessment using the GGI on a sample of 60 LGs. While conducting the assessment through the GGI, during the field visits to LGs, it would be necessary to check the LGs' answers via the sources of verifications provided for each indicator. The applicant shall take notes on the sources of verification used for verification of LGs answers and provide them as an annex to the Assessment report.
- Task 5: Conduct desk researches and interviews with relevant national stakeholders (Ministry of Public Administration and Local-Self-government, Anti-Corruption Agency, Ombudsman of Serbia, Commissioner for the Protection of Equality, Office for Cooperation with Civil Society, selected LG's representatives, etc.). SCTM representatives will participate at the meetings with national stakeholders. The fulfilled GGI per municipality, as well as the minutes of the meeting with relevant national stakeholders and local representatives are to be annexed to the final assessment report.
- Task 6: Perform an in-depth analysis of data and information gathered through the field visits, desk researches and interviews to properly identify existing gaps in selected LGs per each thematic area as outlined within the Good Governance Index. The findings of the assessment and accompanying recommendations, which will serve as a baseline for the adjustment of the content and the scope of future capacity building activities, are to be provided in a comprehensive Assessment Report. Also, applicant must



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provide relevant background documents and evidence to support conclusions and recommendations presented in the report (GGI fulfilled per LG, Notes on sources of verification per LGs, meeting minutes etc.).

- Task 7: Present the draft report to the SCTM and the relevant Swiss PRO Programme personnel and amend draft report based on feedback received.
- Task 8: Submit the Final Assessment Report after the reception of the final approval which will include introduction, scope of work and objectives, description of the process and methodology and presentation of the assessment results for each indicator with identified challenges, gaps, and recommendations for improvements.

Milestones and Timing

The task will be implemented in the following stages:

	Activity	Deliverables	Responsible party	Deadline
1.	Participating in the introductory meeting with SCTM project team and the team in charge of GGI.	A meeting aiming to introduce the applicant with the GGI and the expected outputs, held.	Applicant and SCTM	April 20 th 2018
2.	Defining criteria and methodology for the selection of the sample of 60 LGs in close cooperation with the SCTM project team and the selection of LGs.	60 LGs selected.	Applicant SCTM and relevant Swiss PRO personnel	April 26 th 2018
3.	Developing the Assessment Plan and detailed Content of the report (work methods) which shall be approved by the SCTM.	Assessment Plan and Content of the report (work method) developed, presented and approved by the SCTM.	Applicant	April 26 th 2018
4.	Performing the assessment using the GGI on a sample of 60 LGs	Relevant data from 60 LGs collected. GGI fulfilled in sample LGs.	Applicant	June 8 th 2018
5.	Desk researches and interviews with local and national stakeholders	Meeting with national stakeholders held and meeting minutes drafted	Applicant and SCTM	June 8 th 2018
6.	Analysing the data and information gathered through the field visits, desk researches and interviews addressing existing gaps and	Assessment report and annexed supporting background documents, drafted.	Applicant	June 22 th 2018



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	providing recommendations for improvements.			
7.	Presenting the draft report to the SCTM and amending the draft report based on feedback received.	Draft report presented and amended in accordance with SCTM and Swiss PRO comments and suggestions.	Applicant	June 22 th 2018
8.	Final report submitted to the SCTM project team	Final version of the report updated, submitted and approved by the SCTM project team.	Applicant	June 27 th 2018
TOTAL				10 weeks

All the working documents, meeting minutes and other outputs should be prepared in Serbian language.

Initial meeting and subsequent regular consultations and coordination with SCTM project team will be carried out over the entire period of the assignment.

The SCTM will supervise the completion of the tasks. In this regards, SCTM will instruct the applicant on how to use the Good Governance Index in the process of assessment, provide inputs for the selection of LGs, approve the Assessment Plan (work method), review and provide comments on the draft assessment report and approve the final report, after consulting the Swiss PRO Programme.

Financial Arrangement

The amount of the subcontract will not exceed 2,865,930.00 RSD (please note that costs for VAT cannot be paid by the project). Expenditures relating to logistics (hotel, food, transport, etc.) are integral part of the financial proposal and cannot be charged separately. Payment will be done in two instalments, 40% upon the conclusion of the Contract, and the remaining 60% upon completion, submission and approval of the final report.



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Qualifications

A potential applicant should be a professional services company/agency/organization/consortium with the following characteristics:

- Proven experience in working with the LGs (provide a list of references for at least 3 relevant projects/activities implemented in the last 5 years);
- Experience in writing methodologies, conducting researches, analysis and analytical reports (provide a list of references for methodologies/analysis/report developed in last 5 years);
- Minimum annual turnover of 3.000.000 RSD for the year 2016 (provide balance sheet for 2016);
- 3 years of official registration within the APR in the required line of business (provide the Certificate of registration);
- Experience in the field of good governance is an advantage;

If applicable, please provide consortium agreement. This agreement should state the leading company/institution which will be responsible for signing and implementing the contract with SCTM. Also, the agreement should have a clause indicating that the members of the consortium will not hold SCTM responsible in case of internal disputes. In case of consortium, please provide brief presentation of each member together with the list of relevant references/experience.

The potential applicants shall provide the signed CVs of a team of minimum 5 experts with the competencies as listed below:

The Expert No.1, **Team Leader** shall meet at least the following requirements:

Education:

- University degree in law, economy, social, organisational or political sciences.

Professional Experience:

- At least 5 years of professional experience in project management as manager/team leader;
- At least 5 years of professional experience in working with LGs;
- Experience in writing methodologies, conducting analysis and analytical reports;
- Experience in working with LG in the good-governance areas;
- Excellent communication and presentation skills;
- Fluency in both Serbian and English languages.

The Experts No. 2 to No.5 - **Expert for assessment of LG capacities** in the area of good-governance shall have the University degree in law, organizational or political sciences or other relevant field.



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Following professional experience will be assessed for the Experts No.2 to No.5:

- Professional experience in working with local self-governments and knowledge of local self-government system in Serbia;
- Experience in working with state and/or local level institutions in the good-governance areas such as (1) accountability (2) transparency, openness, and participation (3) equality and non-discrimination, (4) predictability, efficiency/effectiveness of local administration and (5) anti-corruption.
- Experience in development/implementation of assessments, studies and similar activities;

Within the team of 5 proposed experts, the applicant should clearly identify **the Lead expert for development of the Assessment report**, since the CV of aforementioned Expert will be additionally assessed against:

- Experience in writing methodologies, conducting analysis and analytical reports;
- Experience in working with LG in the good-governance areas;

Evaluation and selection of proposals

Proposals will be examined and evaluated by the SCTM evaluation commission in 3 steps.

Step 1: Opening & administrative checks

The following will be assessed:

- Submission deadline. If the deadline has not been met, the proposal will automatically be rejected.
- Administrative compliance of the proposal. If proposal does not have all the required documentation and if its format does not comply with the format specified within this Request for proposals, the proposal will be automatically rejected.

Step 2: Eligibility of Applicant

- Proposals of the applicants with annual turnover less than 3.000.000 RSD for the year 2016 will be rejected;
- Proposals of the applicants who are less than 3 years officially registered within the APR will be rejected.

Step 3: Evaluation of technical and financial proposal

For the evaluation of technical proposal the following evaluation grid will be used:



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Section	Description	Maximum score
Methodology of work (provided within the Section 1 of Annex I)	Evaluation against requirements defined in the sections Scope of work and Milestones and timing of this Request for proposals	20
Professional experience of the Team leader (provided within the Section 2 of Annex 1 and CV)	Evaluation against requirements defined in Section Qualifications of this Request for proposals	14
Professional experience of the Lead expert for development of Assessment report (provided within the Section 2 of Annex 1 and CV)	Evaluation against requirements defined in Section Qualifications of this Request for proposals	10
Professional experience of the Experts for assessment of LG capacities (provided within the Section 2 of Annex 1 and CVs)	Evaluation against requirements defined in Section Qualifications of this Request for proposals	36 (4x9)
Experience of the applicant in working with the LGs (provided within the Section 3 of Annex I)	Evaluation of relevant references	5
Experience in writing methodologies, conducting researches, analysis and analytical reports (provided within the Section 4 of Annex I)	Evaluation of relevant references	5
Financial proposal (provided within the Annex II)	Score for tender X = (cheapest price / price of tender X) * 10	10
Maximum total score		100

Obligatory elements of the proposal

Applicants who meet the requirements of this assignment should submit their proposals which shall include following documentation:

- **Cover letter** indicating availability for this assignment in the required period of assignment (free format, signed and stamped).
- **Technical proposal** in the format provided within the Annex-I.
- **Curriculum vitae** (in Europass format and signed by experts) of at least 5 local consultants/experts (including Team leader) that clearly spell out their qualifications and experience in line with the specified requirements for this assignment. The potential



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applicants can propose more experts (i.e. bigger team), based on knowledge and experience. Under the Section II of the Technical proposal, the proposed team's structure with clearly indicated functions (e.g. Team Leader, Lead expert for development of Assessment report, Expert for assessment of LG capacities, etc.) must be submitted. All members of the team may be assigned by the applicant to perform field visits to LGs. However, only the CVs of five first-listed experts will be evaluated.

- **Financial proposal** in the format provided within the Annex-II (the submitted proposal should be in RSD excluding VAT, signed and stamped).
- **Supporting documents:** Certificate of registration and Balance sheet for 2016.

Submission of the proposal

Proposal must be submitted, no later than **13th of April 2018, 15:00**, in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) to the address below:

Stalna konferencija gradova i opština-Savez gradova i opština
Makedonska 22/VIII
11000 Beograd
For the attention of: Mr Ivan Milivojevic, Project Manager.

Proposal shall be submitted in one original and one copy in A4 size, each bound, marked "original" and marked "copy" in English.

Technical and financial proposal, including annexes and other supporting documents, must be submitted in one sealed envelope bearing:

- the full name and address of the applicant
- Subject: "Reply to OPEN REQUEST FOR PROPOSALS – ASSESSMENT OF THE GOOD GOVERNANCE AT THE LOCAL LEVEL"
- and the words "Not to be opened before the tender opening session" and "Ne otvarati pre zvanične sednice za otvaranje ponuda"

All submissions later than the submission date or through other means other than explained above will not be accepted. Any alteration or withdrawal of the submitted proposal has to be done under the same conditions as above before the submission deadline.

For additional information please contact andrea.guduric@skgo.org.



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List of Annexes

- Annex-I : Technical proposal
- Annex-II : Financial proposal
- Annex-III : Content of the Good Governance Index (GGI) and Sample of the GGI