

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

Compendium of Good practices and Innovative approaches in Localising Sustainable Development Goals based on National and International Case Studies	Project number/ cost centre: 16.2077.2-001.00
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0. List of abbreviations

AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
MoHUA	Ministry of Housing and Urban Affairs
RA	Research Associate
SDGs	Sustainable Development Goals
SUD-SC	Sustainable Urban Development in Smart Cities
ToR	Terms of Reference

1. Context

The Sustainable Urban Development- Smart Cities (SUD-SC) project is being jointly implemented by Ministry of Housing and Urban Affairs (MoHUA), Govt of India and GIZ. It supports the national ministry and the partner state governments of Kerala, Odisha and Tamil Nadu, in providing technical support for policy formulation, capacity building and training, and implementing pilot projects on issues related to governance, basic services, infrastructure, housing and Sustainable Development Goals (SDGs).

In line with the BMZ 2030 implementation initiative, the existing gaps in the partner states are being assessed in the focus areas of capacity building, policy, monitoring and finance and appropriate technical expertise is extended through work packages in consultation with the partners. One of the key challenges identified by the national and partner states is the localisation of SDGs at the sub-national context through capacity building, implementation and monitoring of SDGs. The Ministry of Housing and Urban Affairs (MoHUA) and the partner states of Tamil Nadu, Odisha and Kerala along with their respective Smart Cities of Coimbatore, Bhubaneshwar and Kochi have expressed their interest to promote cross-learning across Indian states and cities, and to identify good practices from India and across the globe to address their key challenges in localisation, implementation and monitoring of SDGs.

The main objective of the proposed work is to extend technical expertise by preparing a **compendium of good practices and innovative approaches in localising Sustainable Development Goals (SDG) based on National and International case studies**, where cities and municipalities have successfully integrated strategies for implementing and monitoring of SDGs. The compendium would be used as a knowledge product to respond to the needs of cities, located within different urban, social and economic context. Further, the compendium is expected to strengthen cross-learning across Indian states and foster partnerships among cities across the world.

2. Tasks to be performed by the contractor

In order to accomplish the objectives, where the contractor shall organise activities and deliver output in consultation with the GIZ project team, and the State governments of Tamil Nadu, Odisha and Kerala and Government of India.

The contractor is responsible for providing the following services:

Activities:

1. Identify key challenges faced by cities in localising SDGs (viz., conceptualisation, implementation, financing, capacity building among others) in discussion with key stakeholders and city authorities, nodal agencies, GIZ project team and urban experts.
2. Define good practices of localising SDGs and develop criteria for identifying good practices based on consultation with partners, experts and GIZ team through a one-day consultation workshop.

3. Based on the criteria and challenges identified through consultations with GIZ and state partners, identify at least 10 case studies, national and international (including 2 from Germany) illustrating good/innovative practices on localising SDGs by drawing parallels to the challenges. The short-listed cases to be presented to GIZ project team before finalisation.
4. Develop chapter structure and outline for the Compendium and finalise in discussion with GIZ team.
- 5) Develop a Draft Compendium of good/innovative practices covering national and international case studies on localising SDGs, including strategies/road map for implementation in Indian cities.
- 6) Disseminate the key learnings from the compendium and the recommendations at the proposed workshop
- 7) Incorporate Feedback, revise and submit final Draft
- 8) The selected firm is expected to provide monthly updates in the first week of every month through reports and participate in review meetings through online channels as per mutual agreements

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

S.No	Milestone	Timeline
1	<p>Inception report outlining the</p> <ul style="list-style-type: none"> • key findings of desk research • scope of work • work plan • timeline • deliverables • risks and coping strategies • travel plan among others for the assignment; • case analysis template and structure of reports/ 	4 th week from signing the contract
2	Workshop Consultation Report with shortlisted case studies	10 th week from signing the contract
3	<p>Draft Compendium Report: as per the agreed structure covering</p> <ul style="list-style-type: none"> • key challenges on SDG implementation • definition and criteria for good practices 	16 th week from signing the contract

	<ul style="list-style-type: none"> • proposed case studies and rationale • brief note on each of the cities identified, structure and outline of presentation of cases, strategies 	
4	<p>Workshop report: stating purpose, key activities agreed with the details of all participants, relevant photographs to be finalised based on GIZ templates</p> <p>The documentation to be duly supported with high resolution pictures. GIZ template and logo to be used appropriately</p>	20 th week from signing the contract
5	<p>Final Compendium: Submission of the finalised version of the compendium (soft copy) with</p> <ul style="list-style-type: none"> • at least 10 national and international case studies • a road map for implementing SDG at cities • list of recommendations for implementing and monitoring SDGs <p>as per mutually agreed template</p>	24 th week from signing the contract.

*GIZ shall be responsible to give inputs/comments/suggestions on all the deliverable/reports submitted by the selected bidder as per the aforesaid table

* During the period of contract, the selected bidder should not share the deliverables with third parties without the approval of GIZ

Period of assignment: From Aug-1, 2020 until January-31, 2021

Coordination and Reporting: The selected firm is expected to work in close coordination with the GIZ project team and with the partners and will report to the GIZ project team comprising of

- a) Senior Advisor, SDG & Governance, SUD-SC project
- b) Technical Expert, SDG & Governance, SUD-SC Project

3. Concept

In the bid, the bidder is required to show how the objectives defined 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.

Methodology:

Background Work:

To get a better understanding of the nature of SDG projects and interventions at State level in all the 3 States of Tamil Nadu, Kerala and Odisha, the firm needs to conduct a short desk research during the inception phase with inputs from GIZ project team.

Consultation Phase:

The firm is expected to conduct consultation meetings with the State Partners to map out challenges in implementing, monitoring and localising SDGs. At least 3-4 challenges to be identified from each state. The challenges identified through the consultation meetings should form the basis for identifying appropriate good practices in localising SDGs.

Case Study Framework:

The firm in consultation with GIZ team needs to evolve the criteria for good practice and identify suitable case studies preferably from South Asia, Germany and India based on the findings from the previous phase, and develop a suitable template to capture the best practice and the way it addresses the challenges identified by state partners in localising SDGs.

Documentation Phase:

The ten case studies shortlisted in consultation with GIZ team are to be appropriately documented in the framework, identified with complete details in the compendium, and to be finalised through the following steps:

- i. Submission of draft compendium as per GIZ design template
- ii. Consultation with partners, contributing cities and institutions
- iii. Presentation of the final Compendium incorporating all comments and suggestions
- iv. Proof reading

Dissemination Phase:

Based on the challenges identified from partners and the learnings from the case studies, a set of targeted and state-specific recommendations for localising SDGs are to be developed and disseminated through a proposed workshop.

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**).

Other specific requirements

As GIZ promotes gender equality at all levels, and inclusion of aspects related to gender equality, use of a specific study method or building in gender strategy shall be encouraged.

Any change in experts during the course of contract, must be approved by GIZ

4. Personnel concept

Eligibility requirements of the firm

- 10 years of experience working with the Government of India, bilateral, multilateral and international organisations on issues related to urban development including governance, planning, sustainability amongst others
- 10 years of experience in conducting assessments for government, bilateral, multilateral and international organisations
- The firm should have regional working experience in India
- Average annual turnover of the last 3 financial year should be at least to the value of 70,000 Euros
- The firm should have at least 10 full-time employees

The bidder is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter [67](#)), 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 (German 'Diploma'/Master) in Urban Development/Urban Planning/Economics/Social Science and allied fields
- Language (2.1.2): Good business language skills in English.
- General professional experience (2.1.3): 20 years of professional experience in urban development and sustainability issues
- Specific professional experience (2.1.4): 10 years of working with government, bi-lateral and multi-lateral organisations on urban development projects
- Leadership/management experience (2.1.5): 10 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 South Asia (region), of which 3 years in projects in India (country)
- Development Cooperation (DC) experience (2.1.7): 5 years of experience in DC projects
- Other (2.1.8): Proven knowledge of SDGs and related programmes and projects of Govt of India

Expert 1 & 2 (Research Associates – 2 Nos)

Tasks of expert 1&2

- Desk research on the current status of SDGs and their implementation in partner states
- Supporting in the development of criteria for identifying good and innovative practices in localising SDGs
- Supporting the identification of suitable case studies
- Supporting the analysis of case studies with the challenges from the partners
- Supporting the compilation of compendium and recommendations
- Supporting the documentation of all meetings, reviews and events

Qualifications of expert 1&2

- Education/training (2.2.1): Masters in Urban Development/Urban Planning /Economics/Social Science and allied fields
- Language (2.2.2): Good business language skills in English.
- General professional experience (2.2.3): 10 years of professional experience in urban development and sustainability issues
- Specific professional experience (2.2.4): 5 years of working with government, bi-lateral and multi-lateral organisations on urban development projects
- Regional experience (2.2.6): 3 years of experience in projects in different states in India
- Other (2.2.8): Proven knowledge of SDGs and related programmes and projects, of Govt of India

Soft skills of team members

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

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

5. Costing requirements

Assignment of personnel

Team leader: Assignment within India for 40 expert days

Expert 1: Assignment within India for 80 expert days

Expert 2: Assignment within India for 80 expert days

Travel

The assignment requires travel only within India. 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.

Personnel	Travel sectors	Travel details	No. of trips	No. of days
Team Leader	Delhi, Cities of	Round trips for Team Leader and 1 Research Associate to	5	10
Expert 1 RA 1	Tamil Nadu, Odisha, and Kerala	a) partner States of Tamil Nadu, Odisha, Kerala for 3 consultations / workshops b) to Delhi for 1 review/ Brainstorming c) 1 for Dissemination workshop	5	10
Expert 2 RA2				

* Any travel to be undertaken by the contractor/bidder under the contract must be in consensus/approval from GIZ person responsible for the project.

Workshops:

The cost of workshops for stakeholder consultation and dissemination will be borne by GIZ

The contractor implements the following workshops:

- 3 consultations workshops / meetings with 3 state partners (if situation is not conducive for conducting physical workshops / meetings, virtual means to be explored)
- 1 dissemination workshop

Inputs of GIZ or other actors

GIZ and/or other actors are expected to make the following available:

- Overview of stakeholders working with the SUDSC Project
- Communication with the implementing partners will be established
- Workshops logistics

6. 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.

The complete bid shall not exceed 10 pages (excluding CVs and company documents).

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. The CVs submitted shall not exceed the personnel requirement articulated in Chapter 4. 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.

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 afore-mentioned 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.

Prior to award of the contract, the selected bidder will make a brief presentation to GIZ in the presence of the project team proposed to be part of the assignment. Under the present circumstances where physical presence is not possible, it can be done through virtual platforms.