



## **REQUEST FOR QUOTATION**

**21<sup>th</sup> May 2021**

**Ref.: Request for Quotation RFQ 606613 - Pillar Assessment of an entity requesting to be entrusted with implementation of the EU budget under indirect management**

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## **1. GENERAL INSTRUCTIONS**

The OSCE is seeking a qualified company to perform Services related to a Pillar Assessment of an entity requesting to be entrusted with implementation of the EU budget under indirect management (see Terms of Reference). This will be a one-time contract and not does carry expectations for a contract extension.

The OSCE has requirements defined in the Terms of Reference and kindly requests you to provide a quotation following the below mandatory forms and formats for the submission of Quotations.

### **GENERAL REQUIREMENTS FOR THE QUOTATION**

The Quotation should include (in separate electronic files-password protected) the:

- 1. Administrative Documents;**
- 2. Price Form;**
- 3. Technical Proposal;**

Additional information can be supplied on a separate page/file. Technical specification sheets, brochures, photos, if applicable.

Independently from the Price Form, you are welcome to provide a detailed break-down cost scheme in a free format to provide a better understanding on the total cost. If you are willing to require interim payments, the phases and percentages of payments shall be also indicated.

### **CLARIFICATIONS**

Please address any query to Laurence Roche, Procurement Officer, under [Laurence.roche@osce.org](mailto:Laurence.roche@osce.org) no later than 5 days before the closing date.

### **QUOTATION SUBMISSION**

Please submit the Quotation including supporting documents by Email (max. 4.8 MB per message) to [tenders-at@osce.org](mailto:tenders-at@osce.org) **by 09<sup>th</sup> June 2021 at 12:00 (CET-Vienna Time).** Quotations received after the designated time will be automatically rejected.

The subject line of the Bid Email should be as follows:

RFQ 606613 - Pillar Assessment of an entity requesting to be entrusted with implementation of the EU budget under indirect management
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The Quotation files – the Technical Proposal, the Administrative Documents and the Price Form - should be submitted in separate zip files, and attached to the Email, as follows:

1. Scan the documents as Adobe Acrobat PDF document
2. Compress the scanned PDF document using \*.zip format
3. The maximum size of zipped file should not exceed 18 000 KiloBytes

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4. The zipped files MUST be password protected with use of 8-16 symbols. Combination of letters and numbers should be used for password and should not look like Password1 or similar
5. Bidders SHOULD NOT send a password along with the submitted Quotation until they are requested to do so. The Procurement Officer will ONLY contact the bidders, which Quotation was received by the closing date for the password to open the files.

Quotation files that are submitted without password protection may be rejected for non-compliance.

**IMPORTANT NOTICE**

Any Contract or Purchase Order will be subject to the OSCE General Conditions of Contract (Services, which can be viewed at <http://www.osce.org/procurement>. Detailed “Instructions to Bidders – Request for Quotation” are also provided on this website.

This RFQ, including its Annexes and Attachments will form part of any Purchase Order or Contract entered into by the OSCE as a result of this RFP. By submitting a proposal, the Proposer agrees to accept all terms, as cited without modifications in the OSCE General Conditions of Contract (Services).

Payment terms: 30 days net.

Validity of the offer: 90 days minimum.

**TIMEFRAME**

The service under this RFQ are expected to be delivered during 10 months from the entry into force of a Contract or a Purchase Order (see Annex I: Terms of Reference), unless otherwise agreed.

**EVALUATION**

The Technical Proposals which pass all mandatory requirements should obtain at least 65%, from the Points System, to be considered technically acceptable. Any Contract or Purchase Order will be awarded to the bidder offering the least costly technically acceptable quotation.

**2. FORMS TO BE COMPLETED AND SUBMITTED SEPARATELY AS PART OF THE QUOTATION**

**1. ADMINISTRATIVE DOCUMENTS**

The application should include the following administrative documents:

<b>1. Completed and duly signed Vendor Registration Form (<a href="http://www.osce.org/procurement/74772">http://www.osce.org/procurement/74772</a>)</b>
<b>2. Copy of the company's registration document/license(s)</b>
<b>3. Company's Financial Statement for the last two years</b>

Company name: \_\_\_\_\_

Authorized representative's name and signature: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_

Telephone: \_\_\_\_\_

## 2. PRICE FORM

**Table 1 – Price form to complete.**

No.	Task/Deliverable (in accordance with the Terms of References)	Price, EUR (excl. the VAT)
1.	<b>Lump sum</b>	(Please complete) _____
2	<b>Detailed breakdown</b>	(Please complete separately) _____
<p><b>TOTAL COST</b><sup>1</sup> The costs shall cover <u>all expenses</u> for performing the services, including, but not limited to the cost of the remuneration of personnel and all other compensations, insurance and social charges as well as overheads, technical assistance, supervision costs, meals and coffee breaks, and any other costs incurred by the contractor’s personnel for the purpose of performing the services.</p> <p>The Lum sum should show <b>a detailed breakdown</b> separately identifying between the quantities (hours/days, etc.) and the sub-categories of costs (travel, work, etc.).</p> <p><u>IMPORTANT:</u> Please, provide on a separate sheet a breakdown of travel costs to the OSCE Secretariat in (the possibility to travel will depend upon national’s COVID-19 regulations).</p> <p>Independently from the Price Form, the Proposers are welcome to provide a detailed break-down cost scheme in a free format to provide a better understanding on the total cost. <b>If the Proposer is willing to require interim payments, the phases and percentages of payments shall be also indicated.</b></p> <p><b>Please note that no sub-contracting is allowed.</b></p>		<p>_____</p>

**Company name:** \_\_\_\_\_

**Authorized representative’s name and signature:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**Telephone:** \_\_\_\_\_

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<sup>1</sup> Please, indicate there the Net Value.

### 3. TECHNICAL PROPOSAL

The Technical proposal shall include the following filled in Tables:

**Table 1 - Mandatory Requirements –**

**Written Evidence shall be provided by the bidders that the mandatory requirements are met. Answering “Yes” in the below table is deemed NOT sufficient and may cause a disqualification of the bidder.**

**A. Standard and Guidance:**

No.	Mandatory Requirement	Bidder’s Response		Bidder’s Clarification (Mandatory)
		Please tick whichever is applicable		
		“Yes”	“No”	
1.	The Auditor must be governed by: The IFAC International Framework for Assurance Engagements and International Standard on Assurance Engagements (‘ISAE’) 3000 for Assurance Engagements other than Audits or Reviews of Historical Financial Information insofar as these can be applied in the specific context of this pillar assessment.	<input type="checkbox"/>	<input type="checkbox"/>	
2.	The Auditor must be governed by: The IFAC Code of Ethics for Professional Accountants, issued by IFAC’s International Ethics Standards Board for Accountants (IESBA), which establishes fundamental ethical principles for auditors with regard to integrity, objectivity, independence, professional competence and due care, confidentiality, professional behaviour and technical standards;	<input type="checkbox"/>	<input type="checkbox"/>	

**B. Requirements for the Auditor – General Principles**

No.	Mandatory Requirement	Bidder’s Response		Bidder’s Clarification (Mandatory)
		Please tick whichever is applicable		
		“Yes”	“No”	

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<p>1.</p>	<p>The auditor must be an independent external auditor who is a registered member of a national accounting or auditing body or institution which in turn is a member of the International Federation of Accountants (IFAC) and who is certified to perform audits.</p> <p>The auditor must be functionally independent of the entity concerned. Hence the internal auditor of an entity subject to assessment is not eligible to perform a pillar assessment.</p>	<p align="center">□</p>	<p align="center">□</p>	
<p>2.</p>	<p>The auditor confirms that s/he meets at least one of the following conditions:</p> <ul style="list-style-type: none"> <li>- The auditor and/or the firm is a member of a national accounting or auditing body or institution, which in turn is member of the International Federation of Accountants (IFAC).</li> <li>- The auditor and/or the firm is a member of a national accounting or auditing body or institution. Although this organisation is not member of the IFAC, the auditor gives a commitment to undertake this engagement in accordance with the IFAC standards and ethics set out in these ToR.</li> <li>- The auditor and/or the firm is registered as a statutory auditor in the public register of a public oversight body in an EU Member State in accordance with the principles of public oversight set out in Directive 2006/43/EC of the European Parliament and of the Council. This applies to auditors and audit firms based in an EU Member State<sup>2</sup>.</li> <li>- The auditor and/or the firm is</li> </ul>	<p align="center">□</p>	<p align="center">□</p>	

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<sup>2</sup> Directive 2006/43 of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts (amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253 EEC), as amended by Directive 2014/56/EU of the European Parliament and of the Council of 16 April 2014.

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	<p>registered as a statutory auditor in the public register of a public oversight body in a third country and this register is subject to principles of public oversight as set out in the legislation of the country concerned (this applies to auditors and audit firms based in a third country).</p> <p>Where permitted by the underlying legal base (e.g. Erasmus), the auditor may be the Independent Audit Body as designated in accordance with Article 155(1) of the Financial Regulation.</p>			
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**C. Requirements for the Auditor – Qualifications, experience and team composition**

No.	Mandatory Requirement	Bidder's Response		Bidder's Clarification (Mandatory)
		"Yes"	"No"	
1.	<p>The auditor must employ sufficient staff with: (i) appropriate professional qualifications and suitable experience with IFAC standards, in particular the ISAE 3000 for Assurance Engagements other than Audits or Reviews of Historical Financial Information; and (ii) with experience in performing institutional or compliance assessments and/or performing systems audits or equivalent engagements of entities comparable in size and complexity to the entity in question.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
2.	<p>In addition, the engagement team <b>as a whole</b> shall have:</p> <p>Experience with institutional or compliance assessments and/or systems audits or equivalent engagements of EU funded programmes and projects funded by national and/or international donors and institutions. It is desirable that the leader of the fieldwork team i.e. either the manager (category 2) or the senior auditor (category 3) has</p>	<input type="checkbox"/>	<input type="checkbox"/>	



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	<p>experience with systems audits of EU funded external aid actions and / or other EU funded actions, and/or institutional or compliance assessments of organisations in the development aid sector and/or economic sector.</p> <p>Fluency in English</p>			
3	<p>The team of auditors required for this pillar assessment shall be composed of a category 1 auditor who has the ultimate responsibility for the assessment, and an engagement team composed of an appropriate mix of category 2-4 auditors. It is the responsibility of the auditor to propose and use an engagement team composed of an appropriate mix of auditors for this engagement.</p> <p>The Commission distinguishes four categories of auditors.</p> <p><b>Category 1 — Audit partner</b></p> <p>An audit partner shall be a highly qualified expert with a relevant professional qualification and assuming or having assumed senior and managerial responsibilities in public audit practice. That person should be a member of a national accounting or auditing body or institution, and must have at least 12 years' professional experience as a professional auditor or accountant in public audit practice. Experience with working with the recipient countries of EU external aid will also be taken into account. An audit partner, or another person in a position similar to that of a partner, is the person in the audit firm who is responsible for the audit and its performance, and for the report that is issued on behalf of the firm. The audit partner has the appropriate authority from a professional, legal or regulatory body and is authorised to certify accounts</p>			

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	<p>by the laws of the country in which the audit firm is registered.</p> <p>Category 2 — Audit manager          Audit managers should be qualified experts with a relevant university degree or professional qualification. They should have at least 6 years’ experience as a professional auditor or accountant in public audit practice including relevant managerial experience of leading audit teams.</p> <p>Category 3 — Senior auditor          Senior auditors should be qualified experts with a relevant university degree or professional qualification and at least 3 years’ professional experience in public audit practice.</p> <p>Category 4 — Assistant auditor          Assistant auditors should have a relevant university degree and at least 6 months’ professional experience in public audit practice.</p>			
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**D. Requirements for the Auditor – Curricula vitae (CVs)**

<b>No.</b>	<b>Mandatory Requirement</b>	<b>Bidder’s Response</b>		<b>Bidder’s Clarification (Mandatory)</b>
		<i>Please tick whichever is applicable</i>		
		<b>“Yes”</b>	<b>“No”</b>	
1.	The auditor shall provide the contracting authority with CVs of the partner or other person in the audit firm who is responsible for the pillar assessment and for signing the report, and also provide the CVs of the managers, senior auditors and assistant auditors proposed as part of the engagement team. CVs will include appropriate details on the type of engagements carried out by the staff, indicating capability and capacity to undertake the assessment, and will also	<input type="checkbox"/>	<input type="checkbox"/>	

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	include details on relevant specific experience. The contracting authority will examine the CVs before it signs an order form or other applicable contractual document for this engagement and reserves the right to reject them if they are not considered suitable for the requirements of the engagement.			
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**Table 2 – Engagement Team and Task Assignments**

No.	Name	Position	Task(s)
1.		<i>Senior-level Specialist</i>	
...			

**Table 3 – Check list of items to include in the technical project proposal**

No.	To include in the Technical proposal:
1.	Detailed description of the methodology and approach that will be undertaken to meet the objectives of the assignment. This should include the overall approach, the quality assurance process of products and standards applied.
2.	Outline of one example of conducted EU Pillar assessment in other international organization and provide contact information, if possible, for reference check.
3.	Timeline (please fill in Table 4 below).
4.	List potential risks, limitations and related mitigation strategy.
5.	Quality assurance framework.

**Table 4 - Timeline**

Outputs	Activity/timeline	Product/module	
<b>TOTAL</b>			

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**Company name:** \_\_\_\_\_

**Authorized representative's name and signature:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**Telephone:** \_\_\_\_\_