



Municipal Infrastructure Support Programme

An EU – funded project managed by the European Agency for Reconstruction



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ANNEX 1 EU/PCM LOGICAL FRAMEWORK basis

	INDICATORS - Objectively verifiable - Measurable - (SMART?)	SOURCES OF VERIFICATION	ASSUMPTIONS
OVERALL OBJECTIVE			
↑			
PROJECT PURPOSE			
↑			
RESULTS - Component 1 - Component 2 - Component 3	I	V	IV
↑	↑ III ↓		
ACTIVITIES - Component 1 - Component 2 - Component 3	II		



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MISP LOGICAL FRAMEWORK (Vršac 2 April 2008)

OVERALL OBJECTIVE	Objectively verifiable indicators	Sources of Verification	Assumptions
<p>Strengthened capacity in Serbia, as required by candidates for EU Membership, to develop and implement policy reforms on the decentralisation of local government leading to improved local governance, better management of municipal infrastructure services, and the capacity of municipalities to programme and absorb EU investment funds for new and rehabilitated assets.</p>	<p>Improved local governance including established PUCs for control of local municipal services;</p> <p>Enhanced management of municipal infrastructure services, including budgets;</p> <p>Improved management of environmental infrastructure programme;</p> <p>Absorb investment funds for new and rehabilitated infrastructure.</p>	<p>Legal, fiscal and administrative policies and legislation for local self government</p> <p>Data on infrastructure service levels and standards</p> <p>PUC and Municipality Annual Reports</p>	<p>National institutions and municipalities accept decentralisation policy showing willingness for improved relations and allocating appropriate human and financial resources.</p> <p>Municipalities provide appropriate human resources with willingness to learn about improved infrastructure programme management</p> <p>Funding from donors ready for implementation of model projects</p> <p>Future funds available to sustain momentum of initial changes for other short listed projects</p>
PROJECT PURPOSE	Objectively verifiable indicators	Sources of Verification	Assumptions
Enhanced management for	Management development programmes	Environmental reports	Local self-government reforms



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environmental, economic and social infrastructure services in the municipalities and enhanced investment in new and/or rehabilitated assets to achieve EC environmental standards, promote economic growth through business-related activities, achieve sustainable economic development and provide for social needs.	prioritised and implemented. Citizen satisfaction with improved social services Private sector satisfaction with improved economic support services Pipeline of Projects for EC/EAR support	Socio-economic data PUC annual reports Municipality annual reports Updated Pipeline of EC/EAR projects	are being implemented Fiscal decentralisation reforms are being implemented Investment prioritisation processes and projects accepted by national and local government
RESULTS	Objectively verifiable indicators	Sources of Verification	Assumptions
Three results in Component 1 (Policy Dialogue on PUC transformation)			
1.1 Better understanding amongst national and local government on the necessary legal, institutional, and fiscal reforms needed to promote decentralised municipal/PUC-managed infrastructure services	Agreement on Municipality-PUC Service relationship Working groups present proposals on different aspects of the reform Green Paper is prepared and wider discussions initiated	Government Annual Reports MoU on Performance Benchmarks	Municipalities and their Assemblies are committed to the longer term transformation of the PUCs. Incomplete transfer of assets to the municipalities does not prevent reforms to the management of the PUCs
1.2 Increased inter-municipal cooperation on provision of regional infrastructure services and the establishment of regional PUCs.	Inter-municipal cooperation agreements Regional PUCs formed Model agreements for Regional PUCs prepared and training implemented	Reports and minutes of meetings between municipalities	Regional and inter-municipal cooperation is sustained



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<p>1.3 Action Plan prepared for the transformation of PUCs in co-operation with the national stakeholders</p>	<p>Strategy for PUC transformation</p>	<p>Reports and Minutes of meetings Consultants reports PUC and Municipality reports</p>	<p>PUCs are prepared to accept performance improvement targets and implement the PUC transformation strategy</p>
<p>Three results in Component 2 (Improved Municipal Infrastructure Programming and project preparation)</p>			
<p>2.1 Enhanced capacities and capabilities of municipal and PUC staff for preparing infrastructure projects</p>	<p>Revised policies on Procurement and Budgeting responsibility agreed. PUC Staff training programmes executed Number of projects prepared</p>	<p>Training reports PUC/Municipality Reports</p>	<p>PUCs and municipalities have adequate staff for the Project</p>
<p>2.2 Prioritised municipal infrastructure projects meeting identified sector needs are adequately prepared for funding</p>	<p>Municipalities are capable of identifying and prioritising infrastructure investments for the next budget year List prepared of prioritised sector projects for EC/EAR funding; Data base of pipeline of projects upgraded as web-based tool – SLAP2.0</p>	<p>Identification and Prioritisation Manual Meeting minutes Consultants reports List of project documents</p>	<p>Staff available to carry out preparation and prioritisation processes</p>
<p>2.3 Feasibility Studies prepared and the Design and Tender Documents updated for selected projects (Indicative number of feasibility studies is between three and five)</p>	<p>3 to 5 municipal priority infrastructure projects prepared for financing / implementation. Updated design and tender documents of projects selected for financing</p>	<p>3 to 5 Feasibility studies for infrastructure projects Tender dossiers of projects selected for financing</p>	<p>Municipalities committed to timely implement all the steps required for project preparation Sufficient number of qualified municipal/PUC staff working along with the consultants</p>



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Two results in Component 3 (Implementation of two identified and three ongoing municipal / regional projects).			
3.1 Support in Tendering to Employer/Contracting Authority and Municipal PIU staff trained in Employer's Duties	Tendering process successfully finalised for two to four infrastructure projects Monitoring programme started; PIU training in FIDIC Conditions of Contract provided	Signed works contracts Successfully negotiated new contracts Monitoring and evaluation reports for on-going projects;	
3.2 Five Works Contracts monitored and successfully implemented, out of which two works contracts supervised.	Successful closure of ongoing and selected infrastructure projects Tender Evaluation Committees concluded; Contractor mobilised for commencement of new projects;	Successfully supervised two projects – on time, within budget and acceptable standard; Successfully carried-out duties by PIU of Employer under FIDIC Conditions Monitoring reports Supervisors reports Progress reports Final reports	Budgets for new projects available in time and Contracts for new projects successfully negotiated PIU receptive to on-the-job training in Contract Management and Administration
ACTIVITIES	Objectively verifiable indicators	Sources of Verification	Assumptions
<u>Component 1: Policy Dialogue on PUC Transformation</u>			



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Four activities related to Result 1.1			Senior government officials accept policy assistance for institutional development of municipal infrastructure
1.1.1 Conduct policy seminars on infrastructure services reform issues for top leaders,	Infrastructure policy seminars conducted with enthusiastic senior leaders in regional and local government;	Local government leaders 'champion' ideas on policy and enthusiastic about benefits inherent in reforms;	Critical number of municipalities willing to join the national debate about PUC transformation;
1.1.2 Make analysis of institutional reform requirements for different categories of PUCs in Serbia,	Succinct analysis of institutional reforms developed including categorising of different types of services and PUCs		SCTM enthusiastic about supporting, and sufficiently organised to facilitate the wider national debate;
1.1.3 Support organisation of Round Table Meetings on PUC Transformation with relevant stakeholders.	Round table discussions on decentralised policies and their detailed ramification with a wider stakeholder group;		Local leaders enthusiastic about benefits derived from local government reforms and willing to champion initiatives
1.1.4 Prepare draft Green Paper on the future development of the PUCs in co-operation with the main stakeholders.		Timely submission of draft ' Green Paper ' on options for transformation of PUCs with cost-benefit analyses	
Three activities related to Result 1.2			
1.2.1 Review policy issues and principles of inter-municipal cooperation for different infrastructure services.		Preliminary studies carried-out on potential regional projects;	Willingness of municipalities to cooperate;
			Future finance for high profile



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1.2.2 Review coordination and cooperation procedures and agreements between municipalities and provide recommendations, models.	Co-operation between municipalities on regional infrastructure services;		projects realistically and potentially available
1.2.3 Identify priority regional infrastructure projects.	Prepare register of (potential) regional projects and identify short list of projects suitable for funding (SLAP).	Several potential regional projects identified jointly by regional municipalities; Finance provided from local budgets for full feasibility studies as part of project preparation for funding	
Three activities related to Result 1.3:			Willingness of municipalities to cooperate, <i>and</i> ;
1.3.1 Support development of a National Strategy to transform the PUCs			SCTM willing to support the national Action Plan and manage follow-up actions
1.3.2 Support preparation of central-level regulatory requirements for PUCs within relevant Ministries			Senior government officials accept policy assistance for institutional development PUCs
1.3.3 Prepare Action Plan for next 3 years for transforming the PUCs with relevant stakeholders	Agreed agenda translated into a coherent strategic 'Action Plan' with participants agreed on cooperation on their actions	Action Plan timely issued and enthusiastically received; Participants deliver on agreed follow-up actions	Municipal and PUC officials are prepared to accept performance and support the reform



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Component 2: Improved Municipal Infrastructure Programming			Municipalities respond positively to institutional building
Three activities related to Result 2.1			
2.1.1 Review policies on Procurement & Budgeting and responsibilities of Municipalities for municipal infrastructure.			
2.1.2 Prepare Identification and Prioritisation Procedures.			
2.1.3 Train Municipal/PUC staff on infrastructure programming procedures.	Municipal and PUC staff trained in investment planning, procurement and budgeting of infrastructure projects; PUC staff trained in prioritizing projects for funding	PUC staff familiar with criteria tools for prioritizing projects for funding; Additional projects short listed for future funding	
Seven activities related to Result 2.2			
2.2.1 Prioritise municipal infrastructure projects for EC/EAR funding support for IPA 2008, 2009.	SCTM takes ownership of SLAP data base of municipal infrastructure projects and sets-up web based 'portal' for stakeholder wide access.		Senior government officials accept policy assistance for municipal infrastructure investment co-ordination
2.2.2 Support establishing transparent procedures for identification and prioritisation of municipal infrastructure			Senior municipal officials accept policy assistance for institutional development of



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projects' financing in co-ordination with the relevant sector Ministries.			municipal infrastructure.
2.2.3 Assist SCTM to prepare the web based SLAP2.0 pipeline of municipal infrastructure projects and to mark the projects according to agreed grading system	SCTM updates SLAP data base – SLAP2.0 designed to assist in prioritising projects for funding, including selection by sector, project maturity, etc	Software updated to agreed criteria meeting global objectives; Web-based portal access to SLAP data base fully operational and considered a really useful and 'user-friendly' tool	SCTM have resources from collective of municipalities to resource work of mutual interest
2.2.4 Support organisation of regular quarterly co-ordination meetings between relevant sector ministries, donors and SCTM			
2.2.5 Based on agreed sector programming principles and identification and prioritisation procedures prepare a short list of projects for future funding.			
2.2.6 Prepare feasibility studies for prioritised infrastructure projects to agreed standards.	Feasibility Studies (FSs) for a sufficient number of projects to satisfy the financial institutions – developed with full cost-benefit analyses;	Sound Feasibility Studies demonstrating affordability of the proposed projects within the strict benchmarked guidelines	Sufficiently matured projects are prepared by municipalities and PUCs; Projects are viable – ie affordable even with cut-backs – the affordability index is



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			within the benchmarked guidelines?
2.2.7 Update design and tender documents for selected projects to agreed standards	Design and Tender Documentation updated to incorporate changes justified by the FS		
<u>Component 3 :Implementation of two identified and three ongoing municipal / regional projects.</u>			
<u>Five activities related to Result 3.1</u>			
3.1.1 Assist the Employer / Contracting Authority in launching tenders for Works Contracts and providing clarifications in clarification meetings and for written requests for clarifications.	Tenders duly issued for enquiry to Tenderers; Clarifications made to requests from Tenderers;	Enquiry documents issued on time; Clarification issued to Tenderers in timely manner; Tenders received from sufficient number of Tenderers;	Existing FS available Existing Design and TD available Access to information and sites is feasible At least 3 Compliant tenders received
3.1.2 Provide qualified experts to participate to Tender Evaluation Committees as voting members.	Consultant provides voting Procurement Experts to Tender Evaluation Committee		Contracts are concluded
3.1.3 Assist the Employer in contract negotiations with the successful tenderers and in the contract award	Contract negotiation with successful Tenderers	Contract negotiations leading the award of Contracts	Works commence without mishap



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procedures.			Municipalities provide adequate staff to be trained
3.1.4 Monitor and provide assistance to the Employer / Contracting Authority in works contracts' management (ongoing projects in Subotica, Indjija and Regional Eastern Serbia Road M25 rehabilitation project)	Regular monitoring reviews carried-out of projects' progress, performance and conformity with objectives. Report on monitoring and progress issued	Assessment of works contracts' content, progress and quality; Contribution to updating of Operational Plan; Support timely disbursement of EU resources	Technical component of Works Contracts technically and contractually satisfactory
3.1.5 Provide assistance in preparing the evaluation reports and other required documents		Prepare progress Reports and keep information in the Common Relex Information System (CRIS); Records kept of projects' progress, the results achieved and constraints encountered; PIU staff training feedback on monitoring procedures positive	
<u>Three activities related to Result 3.2</u>			
3.2.1 Supervise the two Works contracts in compliance with FIDIC and applicable construction Law. Provide the required expertise to secure	Project delivered on Time, within Budget and to Specification (EU standards);	Prepare regular project reports; Timely disbursements of financial	



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<p>implementation of the works in compliance with the contracts and within time and budget frames. Prepare the reports and other documentation required under FIDIC and by the EC procedures.</p>	<p>Health, Environment and Safety standards set high with no lost time accidents during Construction</p>	<p>payments</p>	
<p>3.2.2 Carry out contract administration and management duties throughout the duration of the assignment to secure smooth and timely implementation, proper supervision and control of the Project. For this purpose the Consultant shall establish clear lines of responsibility and procedures for each activity in the construction process.</p>	<p>Good control of contracts resulting in smooth and timely implementation of contracts; Client's expectations exceeded in terms of standard of contractors' workmanship</p>	<p>Works Contract 'Taking-Over Certificate' issued in timely manner; Contract paperwork including as-built drawings as compiled by the Works Contractor satisfactorily and timely delivered to client.</p>	
<p>3.2.3 Act as the Supervisor/Consultant under the Serbian Construction Law. The Supervisor shall be fully responsible for implementing all requirements of the Serbian legislation with regard to the Supervision of the Works, the procurement and issuing of construction documentation</p>	<p>Comply with all legal Serbian statutes and procurement requirements</p>	<p>Manage sites for the highest possible Health, Environment and Safety standards and; Provide official construction reporting documentation mandatory under Serbian Construction law</p>	