

Call for Bidding Process

The Swiss Confederation, represented by the Secretary of State for Economic Affairs of the Swiss Federal Council (SECO)

Project: Contracting the Service to Strengthen the Supervision Model for Market Conduct Management

Purpose	<p>Contracting of a legal entity that will be in charge of the consulting service for strengthening the Supervision Model of Market Conduct Management of the SBS, through the design of new processes and technological tools of supervision, as well as the proposal for change at the level of the organizational structure for supervision and team capacities, based on the comparative analysis concerning the best international supervision practices.</p> <p>The specific objectives are:</p> <ul style="list-style-type: none"> • Analyze the best international practices in adopting supervision processes and advanced tools for supervising MCM and identifying the gaps and opportunities for improvement in the SBS supervision model based on a comparative analysis. • Present a proposal for the adjustment or development of new processes and design technological tools for supervision in order to collect, store, validate and consolidate structured and unstructured data, as well as its interpretation, analysis and processing in order to determine risks and identify misconducts. • Present a proposal for changes in the organizational structure and in the development of capacities in the supervisory team in order to facilitate the adoption of new supervision processes and tools. • Formulate a plan of action to develop and implement the new processes and advanced tools for supervision, as well as the changes required in the organizational structure and the capacities of the team.
The Bidding Calling Entity	<p>Superintendency of Banking, Insurance and Private Pension Fund of Perú (SBS)</p>



Scheduled activities and deliverables

Scheduled Activities

Activity 1: Analysis of the Best International MCM Supervision Practices

- Gather information to establish a baseline on the situation of SBS current supervision model for MCM regarding the adoption of supervision tools and processes.
- Conduct a mapping of the best international practices in adopting advanced MCM supervision processes and tools and draw up a report that describes good practices identified, including a detailed analysis on at least three (3) of the principal supervisory authorities of MCM worldwide (e.g. Financial Conduct Authority — FCA of the UK). This activity shall consider SBS participation in the meetings held with other conduct supervision authorities as part of the enquiry process.
- Identify opportunities for improvement in the adoption of advanced MCM supervision processes and tools, based on the comparative analysis between the SBS supervision model and the best international practices.

Activity 2: Design of Required Changes and Formulation of an Action Plan

- Draw up a proposal of new processes or adjustments to the current processes and design at least three (3) technological supervision tools for gathering, storing, validation and consolidation of the structured and unstructured data, as well as its interpretation, analysis and processing to determine the risks and identify the misconducts.

Take into account that this activity includes the definition of indicators and estimated timelines to measure the effectiveness of the new processes and tools, as well as the delivery of a proposal of Terms of Reference (ToR) for hiring suppliers in order to implement the technological supervision tools.

- Design a proposal for changes in the organization structure and in the building of capacities of the supervisory team that will facilitate the transformation of the SBS Supervision Model for MCM and enable the adoption of the new process and tools proposed.
- Draw up a plan of action to develop and implement the new supervision processes tools, including the implementation of changes required in the organizational structure and the capacities of the supervisory team.

Deliverables

The following deliverables are the minimum required in each delivery and do not exclude other activities and information that the Successful Bidder estimates convenient to include:



Deliverable 1

A work plan that describes in detail the tasks, people in charge, and deadlines for the execution of the consulting activities, as well as the methodology to be used.

Deliverable 2

Report on the results of the analysis and collection of information on the current situation of the SBS Supervision Model for MCM regarding the adoption of advanced supervision processes and tools, including a map of the processes, tools and existing sources of internal and external information (data points) as well as an analysis of internal strengths and weaknesses in the adoption of the advanced tools.

Deliverable 3

Report on the analysis of international supervision models and practices and the identification of gaps and opportunities for improvement in the SBS Supervision Model for MCM, in order to adopt the advanced supervision processes and tools.

The report must include a detailed analysis of the supervision model and practices of at least three (3) of the world's principal MCM supervision authorities, which shall be suggested previously by the Successful Bidder and selected in coordination with SACMIF.

Deliverable 4

A report with a detailed description of the new processes and at least three (3) new technological supervision tools for the collection, storage, validation and consolidation of structured and unstructured data, as well as their interpretation, analysis and processing in order to determine the risks and identification of misconducts.

The report must include a proposal for changes in the organizational structure and the building of the team's supervision capacities in order to implement the new processes and supervision skills, with indicators and timelines to measure their effectiveness, as well as a proposal of Terms of Reference (ToR) for contracting technology suppliers, as well as other suppliers required for the development and implementation.

	<p>Additionally, the report must be accompanied by a plan of action that specifically identifies the activities, those responsible, resources and timelines for the development and implementation of the new processes, tools and other changes required for the transformation of the SBS Supervision Model for MCM.</p>
Monitoring and reporting	<p>The Deputy Superintendence of Market Conduct and Financial Inclusion (SACMIF) will coordinate the service's execution, approve the deliverables, and issue its approval regarding the provision made by the contractor.</p>
Deadline for Execution of Works	<p>The deadline for the execution of the consultancy is 240 days. The execution of the service will begin the following day after the signing of the contract.</p>
Budget	<p>US\$315,000.00 (Three Hundred and Fifteen Thousand U.S. Dollars) which include all the necessary concepts to develop the service, considering all the applicable taxes and expenses that are applicable in Peru.</p>
Bidding Team	<p>The Bidding Team must consist of two (2) professionals in economics, business administration, engineering, accounting, law or sociology, preferably with a master's degree in business administration, finance or banking. In addition, professionals must not have maintained an employment relationship with the SBS during the three (3) years prior to the date of presentation of bids, which will be corroborated by reviewing their resume and verification by the Human Resources Management Unit of the SBS.</p>
Determination of Total Score and Qualification Criteria	<p>Evaluation will be carried out only concerning the admitted proposals and will be carried out based on the technical evaluation, assigning the scores considered in the qualification criteria, with a maximum score of 100 points. The total score will be the result of the sum of the scores obtained in each of the components that make up the bid.</p> <p>A list will be established with the technical proposal with the highest score occupying the first place, and so on. Then, the economic proposal will be opened and if the amount is equal to or less than the Project Budget, it will be awarded to the winning bidder.</p> <p>In the event of a tie in the qualification of the technical proposals, it will be awarded to the lowest economic proposal. In the event of a tie, it will be</p>



	<p>awarded to the offer that has been registered first in the reception process at the address coopint@sbs.gob.pe</p> <p>The technical evaluation will be in charge of a Bidding Committee who will evaluate the experience of the bidder and the equipment proposed for the provision of the service. The criteria to be evaluated are the following:</p> <p>Bidder Experience</p> <p>At least five (5) years in the market of strategic consultancy services regarding financial supervision and regulation matters, counseling different regulators and supervisory authorities in the design and development of technological supervision tools and in implementing change management and digital transformation processes.</p> <p>Expertise in the specialty</p> <p>Experience in the execution at least three (3) consultancy and/or advisory services similar to the purpose of the current bid calling provided to different regulatory entities and supervisory authorities, during the three (3) years prior to the date of presentation of bids. Consultancy and/or similar advisory services are considered to be those carried out in matters of consumer protection and market conduct regarding regulations of financial institutions, such as the implementation of processes and technological tools for the supervision of MCM, as well as training and implementation of supervisory teams for the digital transformation processes.</p> <p>Team proposed for the provision of the service: the professional profile and years of experience of the proposed personnel will be evaluated.</p> <p>The experience of the proposed personnel will be accredited through the presentation of a simple copy of proofs or certificates, as well as a simple copy of contracts and their respective conformity or any other documentation that, convincingly demonstrate the experience of the proposed staff.</p> <p>All documents must contain, at a minimum, employer data, start and end date of work or contract term, functions or position, and other data that allow the corresponding verification, otherwise the proposal will not be admitted.</p>
Required Information	<p>According to the Bases, the consulting firm must present:</p> <ul style="list-style-type: none"> • Technical proposal • Economic proposal <p>Forms</p>



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Confederación Suiza

Departamento Federal de Asuntos Económicos DFAE
Secretaría de Estado para Asuntos Económicos SECO



SUPERINTENDENCIA

DE BANCA, SEGUROS Y AFP

República del Perú

Timeline for the Selection Process	Nº	Actividad	Date
	1	Call for Bids	August 8, 2022
	2	Registration of Bidders Sent request to coopint@sbs.gob.pe	From August 09 to August 26, 2022
	3	Submission of questions and objections to the Terms Send questions to coopint@sbs.gob.pe	From August 09 to August 19, 2022
	4	Answers to questions and objections of the Terms	August 31, 2022
	5	Consolidation of questions and objections to the Terms	September 01, 2022
	6	Electronic submission of proposals Send proposals to coopint@sbs.gob.pe	From September 01 to September 23, 2022
	7	Qualification and evaluation of proposals	From September 23 to September 28, 2022
	8	Awarding of the Contract	After receiving SECO's No Objection
About the Bidding Process	<p>The Superintendency of Banking, Insurance and Private Pension Funds of Peru (SBS) invites bidders to participate in this International Public Bidding Process called within the framework of the financing received from the Swiss State Secretariat for Economic Affairs (SECO) through the Agreement signed between the Government of the Republic of Peru and the Swiss Federal Council regarding the Second Phase of the Master Plan SBS Institutional Strengthening Program, signed on December 16, 2020.</p> <p>The bidding will be carried out following the procedures established in the aforementioned Agreement and will be conducted by the Public Bidding Committee LPI No. 002-2022-SBS/SECO. The bases can be requested, prior to registration at the email address coopint@sbs.gob.pe</p>		