



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
REGIONAL POLICY
Policy development
Evaluation

Brussels, 16.06.2010*004892
REGIO.C.4./JJC D(2010) 680171

Dear Sir/Madam,

Subject: Call for tenders by open procedure n° 2010.CE.16.B.AT.031 – Evaluation of the achievements of ERDF programmes over the longer term in 15 selected regions (from 1989-1993 programming period up to the present).

1. I enclose the call for tenders relating to the above mentioned contract.
2. If you are interested in this contract, you should submit a tender in triplicate in one of the official languages of the European Union.
3. Bids must be submitted
 - a) either by post or by courier not later than **13/08/2010**, in which case the evidence of the date of dispatch shall be constituted by the postmark or the date of the deposit slip, to the following address:

European Commission
Directorate-General for Regional Policy,
Evaluation Unit,
CSM 1 – 4/123
B – 1049 Brussels

- b) or delivered by hand to the following address:

European Commission
Directorate-General for Regional Policy,
Evaluation Unit,
CSM 1 – 4/123

Exact address :

avenue du Bourget, 1
B-1140 Brussels (Evere)
Belgium

not later than the end of working hours on **13/08/2010**. In this case, a receipt must be obtained as proof of submission, signed and dated by the official in the Commission's central mail department who took delivery. The department is open from 08.00 to 17.00 Monday to Thursday, and from 8.00 to 16.00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

4. Tenders must be placed inside two sealed envelopes. The inner envelope, addressed to the department indicated in the invitation to tender, should be marked as follows: **“Invitation to tender n° 2010.CE.16.B.AT.031 - not to be opened by the internal mail department”**. If self-adhesive envelopes are used, they must be sealed with adhesive tape and the sender must sign across this tape.

The inner envelope must also contain two sealed envelopes, one containing the technical specifications (*on paper plus a CD or DVD with a copy of those documents in electronic format -word or pdf-*) and the other the financial bid. Each of these envelopes must clearly indicate the content (“Technical” and “Financial”).

5. The specification, listing all the documents that must be produced in order to tender, including supporting evidence of economic, financial, technical and professional capacity and the draft contract are attached.
6. Tenders must be:
 - signed by the tenderer or his duly authorised representative;
 - perfectly legible so that there can be no doubt as to words and figures.
7. Period of validity of the tender, during which the tenderer may not modify the terms of his tender in any respect: 6 months from the date it was submitted.
8. Submission of a tender implies acceptance of all the terms and conditions set out in this invitation to tender, in the specification and in the draft contract and, where appropriate, waiver of the tenderer's own general or specific terms and conditions. It is binding on the tenderer to whom the contract is awarded for the duration of the contract.
9. Contacts between the contracting department and tenderers are prohibited throughout the procedure save in exceptional circumstances and under the following conditions only:

Before the final date for submission of tenders:

At the request of the tenderer, the contracting department may provide additional information solely for the purpose of clarifying the nature of the contract.

Any requests for additional information must be made in writing only to the attention of the Evaluation Unit, Regio-Directeur-C@ec.europa.eu.

Requests for additional information received less than five working days before the closing date for submission of tenders will not be processed.

The Commission may, on its own initiative, inform interested parties of any error, inaccuracy, omission or any other clerical error in the text of the call for tenders.

Any additional information including that referred to above will be sent simultaneously to all tenderers who have requested the specification and will be published at the internet address below.

Tendering documents are available on the website of Directorate General for Regional Policy at the following address: http://ec.europa.eu/regional_policy/tender/tender_en.htm (including any additional information referred to above).

Potential tenderers are requested to regularly verify the internet website.

After the opening of tenders

If clarification is required or if obvious clerical errors in the tender need to be corrected, the contracting department may contact the tenderer provided the terms of the tender are not modified as a result.

10. This invitation to tender is in no way binding the Commission. The Commission's contractual obligation commences only upon signature of the contract with the successful tenderer.

Up to the point of signature, the contracting authority may either abandon the procurement or cancel the award procedure, without the candidates or tenderers being entitled to claim any compensation. This decision must be substantiated and the candidates or tenderers notified.

11. You will be informed whether or not your tender has been accepted.
12. If your offer includes subcontracting, it is recommended that contractual arrangements with subcontractors include mediation as a method of dispute resolution.
13. If processing your reply to the invitation to tender involves the recording and processing of personal data (such as your name, address and CV), such data will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions and any personal data requested are required to evaluate your tender in accordance with the specifications of the invitation to tender and will be processed solely for that purpose by the European Data Protector Officer. Details concerning processing of your personal data are available on the privacy statement at the page http://ec.europa.eu/dataprotectionofficer/privacystatement_publicprocurement_en.pdf.
14. You are informed that for the purposes of safeguarding the financial interest of the Union, your personal data may be transferred to internal audit services, to the Court of Auditors, to the Financial Irregularities Panel and/or to the European Anti-Fraud Office (OLAF).

Data of economic operators which are in one of the situations referred to in Articles 93, 94, 96(1)(b) and 96(2)(a) of the Financial Regulation¹ may be included in a central database and communicated to the designated persons of the Commission, other

¹ Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 (OJ L 248 of 16.09.2002), as amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006 (OJ L 390 of 30.12.2006)

institutions, agencies, authorities and bodies mentioned in Article 95(1) and (2) of the Financial Regulation. This refers as well to the persons with powers of representation, decision making or control over the said economic operators. Any party entered into the database has the right to be informed of the data concerning it, up on request to the accounting officer of the Commission.



Natalija Kazlauskienė
Director

SPECIFICATIONS

1. TITLE OF THE CONTRACT

Evaluation of the achievements of European Regional Development Fund (ERDF) programmes over the longer term in 15 selected regions (from the 1989-1993 programming period to the present).

2. OVERALL PURPOSE AND CONTEXT OF THIS EVALUATION

Since 1989² EU action through the Structural Funds under Article 175 of the TFEU³ (ex Article 159 TEC) has supported the achievement of the general objectives set out in Article 174⁴ (ex Article 158 TEC). In particular, the role of the Structural Funds, first under Objective 1, then under Convergence objective, has been to promote growth-enhancing conditions and factors leading to real convergence for the least-developed Member States and regions. Moreover, under Objective 2, the role of the Structural Funds was from 1989 to 2006 to support the economic and social conversion of areas facing structural difficulties. For the programming period 2007-2013 this Objective 2 has become the Regional competitiveness and employment objective, which aims to strengthen regions' competitiveness and attractiveness. In pursuing all these objectives, the European Union has aimed to contribute to the harmonious, balanced and sustainable development of economic activities, the development of employment and human resources, the protection and improvement of the environment, the elimination of inequalities and the promotion of equality between men and women.

As laid down in the respective regulations⁵, the above-mentioned objectives shall be pursued in the framework of a multiannual programming system organised in several stages comprising the identification of priorities, the financing, and a system of management and control. In order to ensure that programmes contribute effectively to the objectives set out in Article 175 they are monitored and evaluated. In particular to gauge their effectiveness Structural Funds programmes are the subject of ex-ante, on-going and ex-post evaluation.

² Council Regulation (EEC) No 2052/88 of 24 June 1988 on the tasks of the Structural Funds and their effectiveness and on coordination of their activities between themselves and with the operations of the European Investment Bank and the other existing financial instruments. *OJ L 185*, 15/07/1988 P. 0009 – 0020.

³ Treaty on the Functioning of the European Union.

⁴ Article 174: “*In order to promote its overall harmonious development, the Union shall develop and pursue its actions leading to the strengthening of its economic, social and territorial cohesion. In particular, the Union shall aim at reducing disparities between the levels of development of the various regions and the backwardness of the least favoured regions...*”.

⁵ See for instance Article 10 of Council Regulation (EC) No 1083/2006 of 11 July 2006, *OJ L 210/25*.

Specific context of this contract

After more than 20 years of implementation (for the EU15) of this reformed cohesion policy some concern has been raised about the effectiveness of the policy and academic studies reach widely differing conclusions⁶. In the public discourse on cohesion policy, the focus on results, effectiveness and performance has grown significantly in recent years. This study aims to feed this debate with strong empirical evidence on what has actually happened on the ground in cohesion policy over successive programming periods.

Since economic and social development in each region is the result not only of cohesion policy but also national policies and national and international contexts, cohesion policy by itself cannot fully explain regional success or failure. Therefore, it seems worthwhile to explore Structural Funds programme effects in order to examine their contribution and critical success factors. While some research has been made on specific programme effects in a given period, little has been done on their effects over successive programming periods. This kind of evaluation could shed some light on some issues that more normal evaluations cannot address. For instance, an evaluation of their effects throughout several programming periods should make it possible to capture some medium and long term effects which may not be perceived in one current period and overcome the often cited criticism that ex post evaluations are undertaken too soon. At the same time it could take into account the potential cumulative effect of successive Structural Funds programmes implemented in a region. For convergence regions these could be not only regional programmes but also national/pluregional programmes over several programming periods. This could lead to a more thorough assessment of Structural Funds achievements in the region.

After identifying the achievements, a further step could be to assess programme effectiveness⁷ in the meaning of "achievement of objectives". There are different kinds of objectives such as specific objectives which concern the results of an intervention relative to direct beneficiaries. A global objective corresponds to the aim of the intervention. Objectives may also be intermediate. Objectives which specify outputs to be produced are sometimes called operational objectives. As far as these objectives are stated in the form of quantified targets, programme effectiveness could be evaluated simply by comparing what has been obtained with what had been planned: outputs and results indicators are all that is needed. This task may not be so simple, however, as it depends crucially on the targets having been appropriately set. A further challenge is presented when objectives are of a qualitative nature and are stated in the form of descriptors.

When effectiveness is hard to assess because objectives are badly defined or when there are many unexpected effects, an alternative or complementary way of assessing programme's performance is to assess its utility. In this way programme achievements are compared against society's needs and to the socio-economic problems to be solved.

⁶ See "An Agenda for a reformed Cohesion Policy" and, in particular, some working papers written in the context of that report such as "*Cohesion Policy in the European Union: Growth, Geography, Institutions*" Report Working Paper of Thomas Farole, Andrés Rodríguez-Pose, Michael Storper London School of Economics. http://ec.europa.eu/regional_policy/policy/future/barca_en.htm

⁷ See Effectiveness in the Glossary of EVALSED Guide. http://ec.europa.eu/regional_policy/sources/docgener/evaluation/evalsed/glossary/index_en.htm

Thus evaluation examines programmes' contribution to meet the needs and to solve problems rather than what the programme planned to do.

3. SUBJECT OF CONTRACT

- **Subject:** to evaluate the achievements of ERDF programmes and their relevance over the longer term in 15 selected regions from 1989 (1991 in the case of Eastern Germany) up to the present and to answer the evaluation questions.
- **Scope:** All programmes financed totally or partially by the ERDF and when relevant projects financed by the Cohesion Fund implemented in 15 selected regions (currently Convergence Objective or Competitiveness Objective regions) from 1989 (1991 in the case of Eastern Germany) until now. The regional level of analysis will be NUTS⁸ 2 except in federal countries where the level of analysis could be NUTS 1.
- **Evaluation questions for each region:**
 - (1) What were the initial regional needs and problems and what has been their evolution?
 - (2) What was the explicit or implicit logic model of ERDF programmes of each programming period? What has been their evolution?
 - (3) What were the objectives of ERDF programmes of each programming period? What has been their evolution?
 - (4) What has ERDF support been spent on in each programming period? What has been the evolution?
 - (5) What are the reported achievements of each programming period? Can a judgement be made on overall achievements over the entire period?
 - (6) What have been the unexpected effects?
 - (7) What has been the effectiveness of ERDF programmes of each programming period? To what extent were objectives achieved? What explains programme effectiveness?
 - (8) What has been the utility of ERDF programmes? To what extent were needs and problems solved? What explains programme good / poor utility?
 - (9) What has been the overall contribution of ERDF programmes to EU and domestic regional policy?
 - (10) What has been the overall contribution of ERDF programmes to regional development?

⁸ Regulation (EC) No 1059/2003 of the European Parliament and of the Council of 26 May 2003 on the establishment of a common classification of territorial units for statistics (NUTS). OJ L154, 21.6.2003.

(11) What have been the complementarities and synergies of ERDF interventions with Cohesion Fund, ESF⁹, EAGGF¹⁰ Guarantee Section and FIG¹¹ interventions (where relevant) in these regions?

• **Overall evaluation questions for the group of selected regions:**

(12) What are the main findings: achievements, good / bad practices?

(13) What are the main lessons learnt on the effectiveness and the utility of ERDF interventions?

(14) What are the main recommendations for improving ERDF programme design, implementation, results based management, achievements?

3.1. TASKS

The objective of the study gives rise to a number of tasks to be undertaken by the contractor. The core tasks which must be undertaken are listed below.

Task 1: To develop a theoretical approach to be used in the following tasks. This requires:

- To review and to take stock of existing literature on the logic model / framework relevant for Structural Funds programmes, linking their contexts, assumptions, inputs, intervention logics, implementation chains and outcomes and results;
- To review and to take stock of existing literature on measuring programme performance: achievements, expected and unexpected effects of Structural Funds programmes in the short, medium and long term;
- To develop a method to evaluate achievements from several projects, measures, priorities, in order to have as comprehensive as possible a view of programme interventions over time;
- To develop a method to evaluate achievements from several programmes (which could in the case of Convergence regions involve ERDF regional and national programmes as well as some Cohesion Fund projects) in order to have a comprehensive view of all ERDF interventions;
- To draw up criteria to evaluate the success or failure of ERDF interventions in a given region.

Task 2: To carry out 15 regional case studies. This is the core task of this evaluation. Three pilot case studies will be carried out and will be reviewed before proceeding to the remaining 12 cases.

⁹ European Social Fund

¹⁰ European Agricultural Guidance and Guarantee Fund

¹¹ Financial Instrument for Fisheries Guidance

This implies:

Subtask 2.1: Context analysis and regional features: To present the regional socio-economic structure in its national socio-economic context:

- To describe and analyse regional characteristics and socio-economic context and regional needs and problems over time;
- To describe and to analyse national macroeconomic context and policy over time;
- To place the regional socio-economic evolution in the national and EU context;
- To analyse EU and domestic regional development policy and to identify the role of the ERDF in this context.

Subtask 2.2: Programme analysis. To identify and to analyse:

- Regional needs and problems over time;
- Programme goals, objectives, and targets;
- Financial allocations broken down by area of intervention;
- Expenditure broken down by area of intervention. Since expenditure codes have been modified in each programming period, the evaluator will need to develop a method to analyse allocations and expenditure by intervention area across all programming periods.

Subtask 2.3: Achievements. To collect data and analyse changes observed, taking account also of opinions of managers, operators and stakeholders on:

- Reported direct achievements by areas of intervention and policy measures implemented;
- Effects of intervention in different policy areas;
- Other direct but not reported achievements;
- Indirect and unexpected effects;
- Complementarities and synergies of ERDF interventions with Cohesion Fund, ESF, EAGGF Guarantee Section and FIFG interventions where relevant in the region.

Subtask 2.4: Assessing achievements against objectives

- To assess to what extent programme achievements met the objectives;
- To identify the objectives where the programmes succeeded and failed;
- To identify the key elements explaining programme success or failure in meeting objectives;

- Added value of the ERDF programmes.

Subtask 2.5: Assessing achievements against regional needs and problems

- To assess to what extent programme achievements tackled needs and problems and to identify the key elements explaining success or failure;
- To explore whether ERDF programmes perform, because of their specific (and for some heavy) procedures, better or not than the domestic regional programmes or national programmes implemented in the region;
- To evaluate the extent to which the observed changes in regional needs and problems can be imputed to ERDF programmes over time.

Task 3: To analyse programme achievements across all selected regions and to conclude on their effectiveness and utility:

- Based on the 15 case studies, to summarise the achievements of ERDF programmes over time, identifying critical success factors or significant weaknesses;
- To assess the extent to which effects of ERDF in a given region could be generalised to other regions;
- To conclude on the capacity of the logical framework approach, as expressed in programme objectives and their indicators, and the monitoring and evaluation systems to demonstrate programme achievements;
- To make recommendations with a view to improving the measurement of ERDF effects;
- To make recommendations with a view to improving ERDF programme design, implementation, results based management and achievements. These recommendations should be theory and evidence based and be sufficiently practical that they can be implemented in future programming periods.

3.2. METHODOLOGY

The study will require a specific methodological approach, which the tenderer should explain in the tender documentation. A combination of methodologies (see below the main suggested or compulsory methodological tools) will be used in the study. For each task, the tenderer will clearly identify the methods they plan to use. The tender documents should cite the relevant literature linked to the methods for each of the tasks, in order to demonstrate in each case that the methodology proposed is in line with the state of the art. The methodology will be refined and developed by the contractor in the light of the results of task 1 and the three pilot case studies. Overall the main methodological tools may be:

- Documentary review and desk research;
- Sourcing and analysing administrative data. This should include analysis of data quality and reliability;

- Surveys of operators and addressees about the most significant regional changes occurred because of ERDF programmes. The tender documents should discuss feasibility and methodological issues in this regard;
- Focus groups: to collect information and points of view from groups of experts (such as academics), policy makers, stakeholders, operators or beneficiaries about the ERDF contribution to regional development; to check hypotheses and analyses with groups of stakeholders, operators and beneficiaries; to prompt and validate various suggestions and recommendations. At least one focus group should be held in each region to debate the regional draft final report. (The Commission services reserve the right to participate at their own costs in these workshops);
- Semi-structured interviews with programme managers, intermediate bodies and enterprises; and
- Other methodological approaches as appropriate (to be specified by the in the tender documentation).

3.3. PROPOSAL OF 15 REGIONAL CASE STUDIES

A tentative list of regions is displayed in appendix I. The tender documentation should propose the 15 for evaluation on the basis of the tentative list and under the criteria of:

- To select around 6 regions “A Regions” (Regions that were Objective 1 from 1989 onwards -1991 in the case of Eastern Germany - and which are currently Convergence Objective);
- To select around 6 regions “B Regions” (Regions that were Objective 1 at least in one programming period but which are currently Convergence Phasing Out Objective, Competitiveness Phasing In or Competitiveness Objective);
- To select around 3 regions “C Regions” (Regions that had some areas eligible for Objective 2 from 1989 onwards - 1991 in the case of Eastern Germany - and which are currently Competitiveness Objective).

The tender will give reasons for the proposal. The definitive list will be decided by the Commission services with the successful tenderer after the signature of the contract taking due account of the proposal made in the tender.

3.4. TIME SCHEDULE

The study will be executed within eighteen months starting from the signature of the contract by the last party. The deliverables and their timing are specified below.

Reports and meetings required by the Terms of Reference

End Month	Output	Meeting
0		Kick-Off Meeting with DG REGIO
1	Inception Report	Meeting with Steering Group
4	First Intermediate Report	Meeting with Steering Group
7	Second Intermediate Report	Meeting with Steering Group
10	Third Intermediate Report	Meeting with Steering Group
14	Fourth Intermediate Report	Meeting with Steering Group
16	Draft Final Report	Meeting with Steering Group
18	Final Report	

Further the above mentioned meetings, the successful contractor will also attend meetings included in the following 3.5 and 3.6 points.

3.5. DELIVERABLES

The deliverables of this study will be:

- **Deliverable 1:** one methodological inception report covering all Tasks.
Deadline: within one month after the signature of the contract.
- **Deliverable 2:** progress reports of 2 pages maximum.
Deadline: every month, except when another deliverable is due.
- **Deliverable 3:** the first intermediate report presenting the results of task 1 and a methodological approach for the regional case studies (including interview guides, questionnaires, etc.).
Deadline: within four months after the signature of the contract.
- **Deliverable 4:** the second intermediate report Task 2 pilots: 3 pilot regional case studies. The report will contain a chapter for each case study. Each case study report will have its own summary report with findings, lessons learnt, recommendations and answer the evaluation questions.
Deadline: within seven months after the signature of the contract.
- **Deliverable 5:** the third intermediate report Task 2: 3 further regional case studies. The report will contain a chapter for each case study. Each case study report will have its own summary report; findings, lessons learnt, recommendations and answer the evaluation questions.
Deadline: within ten months after the signature of the contract.

- **Deliverable 6:** the fourth intermediate report Task 2: the last 9 regional case studies. The report will contain a chapter for each case study. Each case study report will have its own summary report; findings, lessons learnt, recommendations and answer the evaluation questions. Of course work on those case studies should start immediately after the pilot stage.

Deadline: within fourteen months after the signature of the contract.

- **Deliverable 7:** the draft final report containing two parts, the first part following the structure of the final report (see below) and responding to Task 3 of these specifications and the second containing the revised and updated versions of all regional case study reports. Each case study report will have its own summary report; findings, lessons learnt, recommendations and answer the evaluation questions.

Deadline: within sixteen months after the signature of the contract.

- **Deliverable 8:** one final report. The Final Report should contain two parts plus a summary report. It will be written in such a way that the information provided is easily understood. The first part will contain the answers to the evaluation questions and a description of the context and goals, as well as the organisation and results of this evaluation. In particular it will contain a description of the tasks carried out and their results. The second part will contain a chapter for each case study.

Deadline: within eighteen months after the signature of the contract.

- **Deliverable 9:** three presentations at meetings in Brussels of the results of the evaluation to the Member States and the Commission services.

Deadline: The timetable for the presentations will be agreed during the course of the contract.

A hard copy and an electronic version of each interim report are required. For final reports three hard copies and an electronic version (three CD, Word format and PDF format or equivalent application compatible with MS Office) are required. The Commission will provide details for the layout of the reports.

The evaluator will provide presentation material for each of the reports in English (PowerPoint or equivalent application compatible with MS Office) for the use of Commission services.

All reports will be delivered in English. **Tenderers should note that a high standard of written English and capacity for clear and concise expression of complex ideas is required in all deliverables.** An executive summary of the final report specified above will be delivered in English, French and German.

The contractor should make provisions for the presentation of the results of the evaluation to the Member States and the Commission services (three meetings in Brussels).

The quality of the evaluation will be assessed by the Commission services using the quality criteria from the GUIDE to the evaluation of socio-economic development. These can be found in Part 2 of the GUIDE at

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/evalsed/index_en.htm

The assessment of the quality will be published by the Commission.

3.6. ORGANISATION OF THE STUDY

There will be a single contract with the Directorate General for Regional Policy for this evaluation. As part of the tender documentation, the evaluator should identify the members of the core team (experts responsible for tasks such as: horizontal tasks, support and coordination tasks of regional teams, report editing tasks, quality assurance tasks) and the members of each regional team to be involved (experts responsible mainly for carrying out task 2 in each region, with some flexibility in this depending on the regions finally selected). In this regard, the importance of effective planning and quality assurance of all deliverables is essential and this should be reflected in the days allocated to the core team as well as the regional experts (this is reflected in the award criteria for this contract). In addition the tender documentation should describe for each member of the team his/her skills and qualifications and quantify the input in terms of days and explain the distribution of tasks between the different evaluators involved. The tenderer has to prove that the teams have the capacity to work in the different fields and languages needed.

The Directorate General for Regional Policy will establish a steering group representative of the relevant Directorates of the Directorate General as well as other interested Directorates General. The evaluator will provide documentation for and attend six meetings of the steering group. It is anticipated that the meetings will take place in order to discuss the inception report, the interim reports and the final report.

The evaluator in consultation with DG REGIO will identify a maximum of 3 external experts in the fields concerned by the study who will provide additional expert input (written comments on major deliverables and oral comments in meetings) to the study. The evaluator should include in his tender the cost of 3 experts attending 4 meetings in Brussels during the course of the study.

The evaluator will be expected to attend a kick-off meeting plus five progress meetings with the Evaluation Unit of DG REGIO in Brussels reviewing the progress of the study and resolving any problems arising. These meetings will be arranged according to needs arising.

After the three pilot regional studies, the evaluator will organise a workshop with team members responsible for carrying out the remaining regional studies. This workshop will report and discuss the methodological lessons learnt, debate the methods to be used, and ensure horizontal and vertical coordination between, for instance, core team members and regional experts. The Commission will participate in this workshop.

The Commission will provide most of the following documentation or access to: Operational Programmes, evaluations and reports (usually available in the language of the Member State concerned only) from 2000 onwards. Many of these documents (in particular those of the early programming periods) will be only available in paper format and not electronically. Documentation from earlier programme periods available from the

Commission will be patchy and may only be accessible to the evaluator from Member States archives if available at all. Therefore the evaluator should take due account of the time needed for sourcing this documentation.

The Commission draws the attention of tenderers to the costs linked to the collection of primary data. Tenderers should specifically address this aspect in their offers and make practical suggestions.

4. PARTICIPATION IN THE TENDERING PROCEDURE

The competition is open to any physical person or legal entity coming within the scope of the Treaties and any other physical person or legal entity from a third country which has concluded with the European Union a specific agreement in the area of public contracts, under the conditions provided for in that agreement.

The Multilateral Agreement on Government Procurement (GPA) concluded within the WTO applies and the contract is open to nationals of States that have ratified this Agreement, under the conditions provided for therein. The GPA does not cover all contracts awarded by the EU Institutions. Appendix I to the GPA sets out which contracts are covered. The full text of the GPA and its appendices can be found on http://www.wto.org/english/tratop_e/gproc_e/gp_gpa_e.htm

As a rule subcontracting is allowed.

Consortia of economic operators are authorised to tender or be candidates.

5. DOCUMENTATION FOR TENDERERS

None.

6. VISITS TO PREMISES OR BRIEFING

Not applicable.

7. VARIANTS

Not authorised.

8. VOLUME OF CONTRACT

€1,300,000 maximum (lump sum, including fees, travel expenses and other costs).

9. PRICE

The attention of the tenderer is drawn to the following points in relation to the price:

- The price quoted must be fixed and not subject to revision.

- Under Articles 3 and 4 of the Protocol on the Privileges and Immunities of the European Union, the Union is exempt from all charges, taxes and dues, including value added tax; such charges may not therefore be included in the calculation of the price quoted; the VAT amount must be indicated separately.
- The price tendered must be all inclusive and expressed in euros, including for countries which are not part of the euro zone. For tenderers in countries which do not belong to the euro zone, the price quoted may not be revised in line with exchange rate movements. It is for the tenderer to select an exchange rate and assume the risks or the benefits deriving from any variation.
- The price quoted must include a separate estimate for travel and subsistence expenses. This estimate must be based on the standard Commission rules (published on Inforegio). It must include any travel necessary to meet the contracting authority, and represents, at all events, the maximum amount of travel and subsistence expenses payable for all services under the contract. These expenses must be included in the price quoted.
- The same principle applies to any specific expenditure incurred in the performance of the contract, such as the cost of translating reports into the languages indicated in the specification. These expenses must be included in the price quoted.
- Costs incurred in preparing and submitting tenders are borne by the tenderers and cannot be reimbursed.

10. TERMS OF PAYMENT

The Contractor shall submit requests for all payment, expressed in euros, to the Commission.

Payments under the contract shall be made as follows:

A first interim payment equal to 25 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the inception report.

A second interim payment equal to 20 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the second intermediate report.

A third interim payment equal to 20 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the third intermediate report.

A fourth interim payment equal to 15 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the fourth intermediate report.

Payment of the balance equal to 20 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of

the final report and the previous deliverables, and the organisation of the report's presentations.

11. CONTRACTUAL TERMS AND GUARANTEES

For the contractual terms, see the draft contract published on Inforegio.

Guarantee: Not applicable

12. CRITERIA

Exclusion criteria

A. Exclusion from participation in the procedure:

Tenderers are excluded from participating in a procedure if

- a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) they have been convicted of an offence concerning professional conduct by a judgment which has the force of res judicata;
- c) they have been guilty of grave professional misconduct proven by any means which the contracting authorities can justify;
- d) they have not fulfilled their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established, or with those of the country of the contracting authority or those of the country where the contract is to be carried out;
- e) they have been the subject of a judgement which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the European Union's financial interests;
- f) they have, following another procurement procedure or grant award procedure financed by the European Union's budget, been declared to be in serious breach of contract for failure to comply with their contractual obligations.

Evidence:

1. Tenderers shall provide *a declaration* on their honour*, duly signed and dated, stating that they are not in one of the situations described above.

* The model declaration on honour published with this call covers all exclusion criteria.

2. The tenderer to whom the contract is to be awarded shall provide, within 10 days preceding the signature of the contract, the evidence referred to in the following paragraph, confirming the declaration referred to in the previous paragraph.
3. The contracting authority will accept, as satisfactory evidence that the tenderer to whom the contract is to be awarded is not in one of the situations described in points a), b) or e), an extract from the judicial record or, failing that, an equivalent document issued by a judicial or administrative authority in the country of origin or provenance, showing that those requirements are satisfied.

The contracting authority will accept, as satisfactory evidence that the tenderer is not in one of the situations described in point d), a certificate issued by the competent authority of the Member State concerned.

Where no such document or certificate is issued by the country concerned and for other cases of exclusion referred to in cases c) and f) above, it may be replaced by a sworn or, failing that, a solemn statement made by the interested party before a judicial or administrative authority, a notary or a qualified professional body in his or her country of origin or provenance.

These documents or certificates must be valid on the closing date for receipt of tenders, and in any case, they must have been delivered less than 12 months before this closing date.

Depending on the national legislation of the country in which the tenderer is established, the documents referred to in points 1 and 3 above must relate to legal persons and natural persons including, where considered necessary by the contracting authority, company directors or any person with powers of representation, decision-making or control in relation to the tenderer.

B. Exclusion from award of the contract:

No contract will be awarded to tenderers who, at the time when contracts are being awarded under this procedure:

- a. have a conflict of interest. The Commission must ensure that the tenderer does not, at the time of submitting a tender, have any conflict of interest in connection with this call for tenders, a conflict of interest possibly arising in particular as a result of economic interests, political or national affinities, family or emotional ties, or any other relevant connection or shared interest. The Commission reserves the right to assess whether a conflict of interest exists.

To that end tenderers are asked to state whether their payroll, staff or shareholders include:

- any former European officials, contract staff, temporary staff or auxiliary staff who have worked for the European Union in the last three years preceding this call for tenders;
- any European officials on leave;

- any former agents on secondment within the European institutions having worked to the European Union during three years preceding this call for tender;
- any former trainees who have completed a placement at the EC during the year preceding this call for tenders.

Tenderers are also asked to declare:

- that they have not made and will not make any offer of any type whatsoever from which an advantage can be derived under the contract;
 - that they have not granted and will not grant, have not sought and will not seek, have not attempted and will not attempt to obtain, and have not accepted and will not accept, any advantage, financial or in kind, to or from any party whatsoever, constituting an illegal practice or involving corruption, either directly or indirectly, as an incentive or reward relating to the award of the contract;
 - that they will inform the contracting authority, without delay, of any situation constituting a conflict of interest or which could give rise to a conflict of interest.
- b. have been guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the contract procedure or have failed to supply that information.

Evidence:

The contracting authority will accept, as satisfactory evidence that the tenderer is not in one of the situations described in points B. a) and b), a **declaration* on their honour** signed by the tenderer. However, the Commission reserves the right to verify the information.

C. Tenders submitted by consortia or groups of service providers – tenders involving subcontracting

Where the tender is submitted by a consortium or by a contractor intending to subcontract part of the work or have it performed by another economic operator, the exclusion criteria defined above have to be fulfilled by each economic operator involved in the tender.

Evidence:

In the case of tenders submitted by consortia or groups of service providers, every economic operator in the tender must provide a declaration on honour to prove that none of the exclusion criteria for participation or award of contracts applies to it.

* The model declaration on honour published with this call covers all exclusion criteria.

The tenderer to whom the contract is to be awarded shall provide, within 10 days preceding the signature of the contract, the evidence referred to above, confirming the declaration on honour for every economic operator part of the consortia or groups of service providers.

In the case of tenders involving subcontracting, the tenderer to whom the contract is to be awarded shall provide, within 10 days preceding the signature of the contract, the evidence referred to above for the exclusion criteria for participation or award of contracts, confirming the declaration on honour for every subcontractor for which the Commission will request it.

Selection criteria

Legal position – means of proof required

- a) Where the tenderer needs a specific authorisation or must be a member of a specific organisation in order to provide the services concerned in his country of origin, he must prove that he holds this authorisation or that he belongs to this organisation.
- b) The tenderer is required to furnish proof of his enrolment on the professional or trade register, or a sworn statement or certificate in accordance with the conditions laid down in the Member state in which he is established.

Economic and financial capacity – means of proof required

The tenderers must prove that they have the economic and financial capacity to carry out the tasks set out in the Tender Specifications throughout the duration of the contract.

Proof of financial and economic standing must be provided by one or more of the following:

- bank declarations;
- balance sheets or summarised balance sheets;
- a statement of general turnover or turnover relating to the services in question, covering the last three financial years.

Technical capacity – means of proof required

Technical capacity will be assessed on the basis of expertise, knowledge, efficiency, experience and reliability in the following areas:

- The theory and practice of socio-economic analysis and evaluation;
- Knowledge of fundamental features of cohesion policy;
- The drafting and presentation of analytical reports;
- The manipulation and analysis of data;
- Capacity to deliver texts of good quality in English.

Proof of the above may be furnished by means of:

- i) The educational and professional qualifications of the service provider or contractor and/or those of the firm's managerial staff and, in particular, those of the person or persons responsible for providing the services;
- ii) Main services provided over the past three years, together with details of values, dates and public or private recipients involved;
- iii) Tenderer's average annual manpower and number of managerial staff over the past three years;
- iv) Technical plant and equipment, office-automation and computer equipment available to the tenderer for performing the services;
- v) Company's study and research facilities;
- vi) Proportion of the contract which the tenderer may intend to subcontract.

Award criteria

The contract will be awarded to the tender that is **most economically advantageous**. This will be determined in the light of the price and the quality of the tender. The successful tender will be the one providing a high level of quality (for which it will be given a mark) with the lowest ratio of total cost to the quality mark achieved. Tenders with a mark below 50% of available quality points will not be considered. The quality of the tender will be assessed as a function of the following criteria:

- Understanding of the Terms of Reference and appropriately expanding it to the tasks (20%)
- Appropriateness of the methodology (data collection, analysis, processing information in programming and evaluation documents, proposed methodology for the case studies, proposed implementation of compulsory methodology – e.g. focus group) (50 %)
- Quality of planning of human resources and work organisation, including co-ordination and quality assurance measures (30 %)

13. TENDERS

General comments

Tenderers must include in their replies

- all the information and documentation needed to enable the contracting authority to appraise tenderers/tenders on the basis of the exclusion, selection and award criteria;
- the price;
- any other information and documentation required in the tendering documents.

Tenders may be written in any of the official EU languages.

Tenders from the consortia of companies or groups of service providers must specify the role, qualifications and experience of each member or group, and submit all the applicable documents required in the tendering documents.

The previous provisions also apply to any subcontractors that may be involved in the tender.

In case of tenders involving subcontractors, a letter of intent must be supplied by each subcontractor stating its unambiguous undertaking to collaborate with the tenderer if he wins the contract and the extent of the resources that it will put at the tenderer disposal for the performance of the contract.

14. OPENING OF TENDERS

Tenders will be opened on 20/08/2010 at 10.00 at CSM1 09/22, DG Regional Policy, rue Père de Deken, 23, 1040 Brussels. Tenderers may be present at the opening of tenders. Each tenderer may take part or send a representative.

APPENDIX
TENTATIVE LIST OF REGIONS

26 “A” REGIONS

DE Germany, 5 regions: DE40 Brandenburg (DE41 Brandenburg-Nordost; Brandenburg-Südwest -phasing-out-); DE80 Mecklenburg-Vorpommern; DED Sachsen (DED1 Chemnitz; DED2 Dresden; DED3 Leipzig -phasing-out-); DEE Sachsen-Anhalt (DEE1 Dessau; DEE3 Magdeburg; DEE2 Halle -phasing-out-); DEG0 Thüringen

EL Greece, 8 regions: GR11 Anatoliki Makedonia, Thraki; GR14 Thessalia; GR21 Ipeiros; GR22 Ionia Nisia; GR23 Dytiki Hellada; GR25 Peloponnisos; GR41 Voreio Aigaio; GR43 Kriti

ES Spain, 4 regions: ES11 Galicia; ES42 Castilla-La Mancha; ES43 Extremadura; ES61 Andalucía

IT Italy, 4 regions: ITF3 Campania; ITF4 Puglia; ITF6 Calabria; ITG1 Sicilia;

PT Portugal, 3 regions: PT11 Norte; PT16 Centro; PT18 Alentejo

UK United Kingdom, 2 regions: UKK3 Cornwall and Isles of Scilly; UKL1 West Wales and The Valleys

28 “B” REGIONS

BE Belgium, 1 region: BE32 Hainaut

EI Ireland, 2 regions: IE01 Border Midlands and Western; IE02 Southern and Eastern.

EL Greece, 5 regions: GR12 Kentriki Makedonia; GR13 Dytiki Makedonia; GR24 Sterea Hellada; GR3 Attiki; GR42 Notio Aigaio

ES Spain, 4 regions: ES12 Asturias ES13 Cantabria; ES41 Castilla y León; ES52 Comunidad Valenciana

FR France, 2 regions: FR3 Nord Pas de Calais, FR83 Corse

IT Italy, 4 regions: IT71 Abruzzo; IT72 Molise, IT92 Basilicata, ITB Sardegna

NL Nederland, 1 region: NL23 Flevoland

AT Austria, 1 region: AT11 Burgenland

PT Portugal, 3 regions: PT13 Lisboa e Vale do Tejo; PT15 Algarve; PT3Madeira

FI Finland, 1 region: FI13 Itä-Suomi

UK United Kingdom, 4 regions: UKD5 Merseyside; UKE3 South Yorkshire; UKM Highlands and Islands; UKN Northern Ireland

21 “C” REGIONS

DE Germany, 4 regions: DE1 Baden-Wuerttemberg; DE2 Bayern; DEA Nordrhein-Westfalen; DEC Saarland

ES Spain, 3 regions: ES11 País Vasco; ES22 Navarra; ES51 Cataluña

FR France, 6 regions: FR41 Lorraine; FR52 Bretagne; FR61 Aquitaine; FR62 Midi-Pyrénées; FR71 Rhône-Alpes; FR82 Paca

IT Italia, 4 regions: IT11 Piemonte; IT2 Lombardia; IT51 Toscana; IT52 Umbria;

AT Austria, 1 region: AT22 Steiermark

UK United Kingdom, 3 regions: UKC North East England; UKD North West England; UKM1 North Eastern Scotland