CALL FOR TENDERS

2014CE16BAT035

Ex-post evaluation of Cohesion Policy programmes 2007-2013, focusing on the European Regional Development Fund (ERDF) and Cohesion Fund (CF)

Work Package Ten: Ex-post evaluation of Urban Development and Social Infrastructures

TENDER SPECIFICATIONS
# TABLE OF CONTENTS

1. INFORMATION ON TENDERING .......................................................... 4
   1.1 Participation ............................................................................ 4
   1.2 Contractual conditions ................................................................. 4
   1.3 Joint tenders ............................................................................ 4
   1.4 Subcontracting ......................................................................... 4
   1.5 Content of the tender ................................................................. 5
   1.6 Identification of the tenderer: legal capacity and status .......... 5

2. EVALUATION AND AWARD .......................................................... 6
   2.1 Evaluation steps ....................................................................... 6
   2.2 Exclusion criteria ..................................................................... 6
   2.3 Selection criteria ...................................................................... 6
   2.4 Award criteria ........................................................................ 8
   2.5 Technical offer .......................................................................... 9
   2.6 Financial offer ......................................................................... 9

3. TECHNICAL SPECIFICATIONS ..................................................... 10
   3.1 Overall purpose and context of this evaluation ....................... 10
   3.2 Specific context of this contract ................................................. 10
   3.3 Subject of the contract ............................................................... 11
   3.4 Scope of the contract ................................................................. 11
   3.5 Tasks ..................................................................................... 14
      3.5.1 Task 1: Distribution of investments and reported outputs .... 14
      3.5.2 Task 2: Analysis of Operational programmes and Annual Implementation reports and Survey of Managing Authorities ......................... 16
      3.5.3 Task 3: Survey of projects implementation bodies ............... 18
3.5.4. Task 4: Cross-task analysis and presentation of the final report .......... 19

3.6. Methodology ........................................................................................................... 20

3.7. Work organisation .................................................................................................. 20

3.8. Time schedule ........................................................................................................ 21

3.9. Deliverables ............................................................................................................ 21

3.10. Organisation of the study ..................................................................................... 22

3.11. Documentation for the tenderers ......................................................................... 23

4. CONTENT, STRUCTURE AND GRAPHIC REQUIREMENTS OF THE FINAL DELIVERABLES ................................................................. 23

4.1 Content .................................................................................................................... 23

4.2 Graphic requirements ............................................................................................... 24

ANNEX 1: DECLARATION OF HONOUR ....................................................................... 25

ANNEX 2: THEMES FOR WORK PACKAGES OF THE EX POST EVALUATION ................................................................. 26

ANNEX 3: 2012 ALLOCATION OF RESOURCES AT PROGRAMME LEVEL BY PRIORITY THEMES (CODES 61 AND 76-79) ................................................................. 27

ANNEX 4: BIBLIOGRAPHY ....................................................................................... 28

ANNEX 5: QUALITY CONTROL: OUTPUT QUALITY CRITERIA ....................... 30

ANNEX 6 – TEMPLATE FOR GRAPHIC REQUIREMENTS ...................................... 31
1. **INFORMATION ON TENDERING**

1.1 Participation

Participation in this tender procedure is open on equal terms to all natural and legal persons coming within the scope of the Treaties and to all natural and legal persons in a third country which has a special agreement with the Union in the field of public procurement on the conditions laid down in that agreement. Where the Multilateral Agreement on Government Procurement\(^1\) concluded within the WTO applies, the participation to the call for tender is also open to nationals of the countries that have ratified this Agreement, on the conditions it lays down.

1.2 Contractual conditions

The tenderer should bear in mind the provisions of the draft contract which specifies the rights and obligations of the contractor, particularly those on payments, performance of the contract, confidentiality, and checks and audits.

1.3 Joint tenders

A joint tender is a situation where a tender is submitted by a group of economic operators (consortium). Joint tenders may include subcontractors in addition to the joint tenderers.

In case of joint tender, all economic operators in a joint tender assume joint and several liability towards the Contracting Authority for the performance of the contract as a whole. Nevertheless, tenderers must designate a single point of contact for the Contracting Authority.

After the award, the Contracting Authority will sign the contract either with all members of the group, or with the member duly authorised by the other members via a power of attorney.

1.4 Subcontracting

Subcontracting is permitted in the tender but the contractor will retain full liability towards the Contracting Authority for performance of the contract as a whole.

Tenderers must give an indication of the proportion of the contract that they intend to subcontract.

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\(^1\) See [http://www.wto.org/english/tratop_e/gproc_e/gp_gpa_e.htm](http://www.wto.org/english/tratop_e/gproc_e/gp_gpa_e.htm)
During contract execution, the change of any subcontractor identified in the tender will be subject to prior written approval of the Contracting Authority.

1.5 Content of the tender

The tenders must be presented as follows:

Part A: Identification of the tenderer (see below)

Part B: Evidence for exclusion criteria (see section 2.2)

Part C: Evidence for selection criteria (see section 2.3)

Part D: Technical offer (see section 2.5)

Part E: Financial offer (see section 2.6)

1.6 Identification of the tenderer: legal capacity and status

The tender must include a cover letter presenting the name of the tenderer (including all entities in case of joint offer) and identified subcontractors if applicable, and the name of the single contact person in relation to this tender.

If applicable, the cover letter must indicate the proportion of the contract to be subcontracted.

In case of joint tender, the cover letter must be signed by a duly authorised representative for each tenderer, or by a single tenderer duly authorised by other tenderers (with power of attorney).

Subcontractors must provide a letter of intent stating their willingness to provide the service foreseen in the offer and in line with the present tender specification.

In order to prove their legal capacity and their status, all tenderers must provide a signed Legal Entity Form with its supporting evidence. The form is available on: http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm

The tenderer (or the single point of contact in case of joint tender) must provide a Financial Identification Form and supporting documents. Only one form per offer should be submitted (no form is needed for subcontractors and other joint tenderers). The form is available on: http://ec.europa.eu/budget/contracts_grants/info_contracts/index_en.cfm

Tenderers must provide the following information if it has not been included with the Legal Entity Form:
- For legal persons, a legible copy of the notice of appointment of the persons authorised to represent the tenderer in dealings with third parties and in legal proceedings, or a copy of the publication of such appointment if the legislation which applies to the legal entity concerned requires such publication. Any delegation of this authorisation to another representative not indicated in the official appointment must be evidenced.

- For natural persons, where applicable, a proof of registration on a professional or trade register or any other official document showing the registration number.

2. EVALUATION AND AWARD

2.1. Evaluation steps

The evaluation is based on the information provided in the submitted tender. It takes place in three steps:

(1) Verification of non-exclusion of tenderers on the basis of the exclusion criteria

(2) Selection of tenderers on the basis of selection criteria

(3) Evaluation of tenders on the basis of the award criteria

Only tenders meeting the requirements of one step will pass on to the next step.

2.2. Exclusion criteria

All tenderers shall provide a declaration on their honour (see Annex 1), duly signed and dated by an authorised representative, stating that they are not in one of the situations of exclusion listed in the Annex 1.

The model declaration to be inserted in Annex 1 is available on BUDGWEB: http://www.cc.cce/budg/imp/procurement/_doc/_doc/declaration_honour/declaration-honour-en.doc

The successful tenderer shall provide the documents mentioned as supporting evidence in Annex 1 before signature of the contract and within a deadline given by the contracting authority. This requirement applies to all members of the consortium in case of joint tender.

2.3. Selection criteria

Tenderers must prove their economic, financial, technical and professional capacity to carry out the work subject to this call for tender.

The evidence requested should be provided by each member of the group in case of joint tender. However a consolidated assessment will be made to verify compliance with the minimum capacity levels.
The tenderer may rely on the capacities of other entities, regardless of the legal nature of the links which it has with them. It must in that case prove to the Contracting Authority that it will have at its disposal the resources necessary for performance of the contract, for example by producing an undertaking on the part of those entities to place those resources at its disposal.

2.3.1. **Economic and financial capacity criteria and evidence**

In order to prove their economic and financial capacity, the tenderer (i.e. in case of joint tender, the combined capacity of all members of the consortium and identified subcontractors) should provide the following evidence:

- Copy of the profit & loss account and balance sheet for the last two years for which accounts have been closed,
- Failing that, appropriate statements from banks,
- If applicable, evidence of professional risk indemnity insurance;

If, for some exceptional reason which the Contracting Authority considers justified, a tenderer is unable to provide one or other of the above documents, he or she may prove his or her economic and financial capacity by any other document which the Contracting Authority considers appropriate. In any case, the Contracting Authority must at least be notified of the exceptional reason and its justification in the tender. The Commission reserves the right to request any other document enabling it to verify the tenderer's economic and financial capacity.

2.3.2. **Technical and professional capacity criteria and evidence**

a. **Criteria relating to tenderers**

Tenderers (in case of a joint tender the combined capacity of all tenderers and identified subcontractors) must comply with the following criteria:

- The tenderer must prove experience in the field of theory and practice of socio-economic analysis and evaluation with at least two projects delivered in this field in the last three years;
- The tenderer must have knowledge of fundamental features of cohesion policy;
- The tenderer must prove capacity to draft analytical reports in English;
- The tenderer must prove experience in data collection, data analysis and verification, statistical analyses and drafting reports and recommendations.
b. Criteria relating to the team delivering the service:

The team delivering the service should include, as a minimum, the following profiles:

**Project Manager:** At least 10 years' experience in project management, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution experience in project of a similar size and coverage (geographical scope at least half of the one subject to this call for tender), with experience in management of team of at least 5 people.

Language quality check: at least two members of the team should have native-level language skills in English or equivalent, as guaranteed by a certificate or past relevant experience.

c. Evidence:

The following evidence should be provided to fulfil the above criteria:

- List of relevant services provided in the past three years, with sums, dates and recipients, public or private. The most important services shall be accompanied by certificates of satisfactory execution, specifying that they have been carried out in a professional manner and have been fully completed;

- The educational and professional qualifications of the persons who will provide the service for this tender (CVs) including the management staff. Each CV provided should indicate the intended function in the delivery of the service.

2.4. Award criteria

The tender will be awarded according to the best-value-for-money procedure. The quality of the tender will be evaluated based on the following criteria. The maximum total quality score is 100 points.

- **Quality of the proposed methodology** (50 points – minimum threshold 50%)

This criterion will assess the appropriateness of the methodology of the whole evaluation and of the specific methodology for each task including:

- data analysis – including additional data collection;
- arrangements and methodologies to carry out the survey, and
- quality of the survey templates.

- **Organisation of the work** (30 points – minimum threshold 50%)

This criterion will assess how the roles and responsibilities of the proposed team and of the economic operators (in case of joint tenders, including subcontractors if applicable) are distributed for each task. It also assesses the global allocation of time and resources to the
project and to each task or deliverable, and whether this allocation is adequate for the work. The tender should provide details on the allocation of time and resources and the rationale behind the choice of this allocation.

- **Quality control measures** (20 points – minimum threshold 50%)

  This criterion will assess the quality control system applied to the service foreseen in this tender specification concerning the quality of the deliverables, the language quality check, and continuity of the service in case of absence of the member of the team. The quality system should be detailed in the tender and specific to the tasks at hand; a generic quality system will result in a low score.

  Tenders must score above 50% for each criterion and sub-criterion, and above 50% in total. Tenders that do not reach the minimum quality thresholds will be rejected and will not be ranked.

  After evaluation of the quality of the tender, the tenders are ranked using the formula below to determine the tender offering best value for money. A weight of 70/30 is given to quality and price respectively.

\[
\text{score for tender } X = \frac{\text{cheapest price}}{\text{price of tender } X} \times \text{ price weighting (in absolute value)} + \frac{\text{total quality score (out of 100)}}{100} \times \text{quality criteria weighting (in absolute value)}
\]

2.5. **Technical offer**

  The technical offer must cover all aspects and tasks required in the technical specification and provide all the information needed to apply the award criteria. Offers deviating from the requirements or not covering all requirements may be excluded on the basis of non-conformity with the tender specifications and will not be evaluated.

2.6. **Financial offer**

  The price for the tender must be quoted in euro. Tenderers from countries outside the euro zone have to quote their prices in euro. The price quoted may not be revised in line with exchange rate movements. It is for the tenderer to assume the risks or the benefits deriving from any variation.

  Prices must be quoted free of all duties, taxes and other charges, including VAT, as the European Union is exempt from such charges under Articles 3 and 4 of the Protocol on the privileges and immunities of the European Union. The amount of VAT may be shown separately.

  The quoted price must be a fixed amount which includes all charges (including travel and subsistence). Travel and subsistence expenses are not refundable separately.
3. TECHNICAL SPECIFICATIONS

3.1 Overall purpose and context of this evaluation

The European Commission, Directorate-General for Regional and Urban Policy intends to undertake an ex post evaluation of cohesion policy programmes financed by the European Regional Development Fund (ERDF) and the Cohesion Fund (CF) during the period 2007-2013 in regions covered by the Convergence, Regional Competitiveness and Employment and European Territorial Cooperation objectives in 28 Member States.

The ex post evaluation is an important instrument to inform national and regional authorities, the general public, the European Parliament and other stakeholders involved about the outcomes of the 2007-2013 generation of cohesion policy programmes. The evaluation will examine the extent to which the resources were used, the effectiveness and the socio-economic impact. The evaluation shall identify factors contributing to the success or failure of programmes and identify good practice.

During the 2007-2013 programming period, a stronger focus on accountability for what has been achieved with Cohesion Policy resources has become apparent, stimulated by the publication of the ex post evaluation for the 2000-2006 period, the debate on the requirements for Cohesion Policy for the 2014-2020 period and the economic and financial crisis. This ex post evaluation will deepen the analysis undertaken on the 2000-2006 period, exploring in more depth the achievements of the policy and evaluating themes not covered before.

As required by the regulation, the ex post evaluation must be completed at the end of 2015. This is a particular challenge, as programmes are still being implemented until the end of 2015 (and final reports will not be received until March 2017). Results and interim results of the study will be used to improve programmes in the 2014-2020 programming period and will feed into debate on the future policy on economic and social cohesion after 2020.

3.2 Specific context of this contract

The understanding and practice of urban and integrated development varies substantially across MS, as do the interventions supported. The European Commission has only partial information on precisely what is supported in urban areas, whether it is part of integrated development strategies and the extent to which the objectives are economic, social environmental or a combination of the three. Social infrastructure tends to be supported primarily in urban areas, but information available to the European Commission on the governance and objectives of such interventions is again only partial. This is explained further in section 3.3 below on the scope of this evaluation.

The evidence from evaluations of urban development is highly variable and rather scattered. Many studies tend to focus either on implementation issues or on specific projects, thus making any attempt to draw conclusions on policy effectiveness difficult. The lack of impact

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2 Council regulation (EC) No 1083/2006 of 11 July 2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund
evaluations in this field is often due to the difficulties in data availability and the very nature of the interventions with unclear objectives against which to evaluate achievements.

The DG for Regional and Urban Policy has carried out a series of studies aiming to assess “integrated urban development”, including housing, smart and sustainable growth, financial engineering, social inclusion etc. The analyses are mostly in depth qualitative assessments of specific cases (where projects are often considered as the unit of analysis) rather than evaluations aiming to appraise the impact of the Structural Funds on a specific policy field.

3.3 Subject of the contract

The evaluation will establish the nature and objectives of co-financed investments in the fields of urban development and social infrastructures and assess the extent to which they were delivered through integrated strategies or not. In this connection, the key elements of integrated urban development are:

1) Integration across two or more policy areas;
2) A leading role for urban authorities in the management and implementation of the urban development agenda
3) Involvement of a wide range of stakeholders, including the benefitting communities.

Throughout the evaluation the three elements of integrated urban development will be addressed under the requirements of the different tasks.

The overall aim of the evaluation is to explore the rationale that guides investments in these fields and their potential and actual contribution to deliver growth and jobs.

3.4 Scope of the contract

The existing reporting system of the ERDF provides multi-faceted ways to reflect on the subject of this contract. In this section we explain the data available and the scope of the contract.

All programmes report annually on progress in project selection using the "categorisation system". This system comprises 86 priority theme codes (the most widely used element of

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4 Regulation EC N° 1828/2006, Article 11, requires the reporting of categorisation information in the Annual Implementation Reports (AIRs). The background reference documents on the use of the categorisation
the categorisation system) but also has information on "form of finance", "territorial dimension", "economic dimension" and "location".

During the period 2007-2013 support for urban development from the ERDF and CF can be identified in two main ways within the existing data exchange systems:

- Under the *priority theme* codes provided on adoption (or modification) of the programmes there are several codes that are closely linked to urban development. The main "urban" codes are:
  - "urban/municipal" waste, waste water and drinking water treatment, urban transport, and other network infrastructures;
  - integrated projects for urban and rural regeneration, rehabilitation of industrial sites; and
  - social infrastructures.

- In the annual implementation reports (AIR) on the programmes, data is reported on selected projects including in relation to the territorial dimension where a very large volume of selected projects are allocated to the urban code.

The starting point for analysis by the contractor will be:

- Investments in urban areas under "Code 61 - integrated projects for urban and rural regeneration". This code has a planned total allocation of more than EUR 10.6 billion ERDF. It may cover a wide variety of investment objectives across the range of smart sustainable and inclusive growth objectives.

- Investments in urban areas contributing to strategies for integrated urban development that are not categorized under code 61 (see tasks 2 and 3 on this point).

- Investment in urban areas in social infrastructures. More than EUR 17 billion from the ERDF is planned overall for investment by the end of the programming period in interventions in the fields of education infrastructures, health infrastructures, childcare infrastructures, housing and other social infrastructures.

In several of these investment fields the priorities are delivered by specialist sectorial bodies, in others there is a strong role for local municipal authorities. Both cases are of interest for this evaluation. Environmental investment in waste and water and urban transport investments will be explored in other work packages of the evaluation and tend not to be part of integrated urban development strategies. However, investments with an environmental purpose (i.e. brownfields regeneration) as well as investments aimed to ameliorate transport facilities in urban areas are often central part of strategies for integrated urban development. The analysis will account for this according to the requirements of task 2 below.

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system are: 1) Information Note COCOF 09/0008/00-EN of 18 May 2009 - [LINK](#) and 2) The questions and answers sheet (public SFC2007 webpage) updated in early 2012: [LINK](#). The raw data is provided in the excel tables on this webpage: [http://ec.europa.eu/regional_policy/impact/evaluation/data_en.cfm](http://ec.europa.eu/regional_policy/impact/evaluation/data_en.cfm)
EUR 270 bn of ERDF/CF is programmed in total. By end-2012, projects had been selected accounting for EU investments of EUR 237bn. EUR 100.5bn of the total sum allocated to projects is reported to be in “urban areas” under the territorial dimension (representing 40% of all project selection).

The "priority theme" codes that are directly linked to urban development and social infrastructures and exclusively financed the by ERDF under the Convergence, Regional Competitiveness and Employment and European Territorial Co-Operation Objectives are:

A. Integrated Urban Development under:

<table>
<thead>
<tr>
<th>Code 61</th>
<th>Integrated projects for urban and rural regeneration</th>
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<tbody>
<tr>
<td>Code 61</td>
<td>EUR m – EU support</td>
</tr>
<tr>
<td></td>
<td></td>
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<tr>
<td>Decided Amount</td>
<td>10 610 m€</td>
</tr>
<tr>
<td>Project selected amount (to end 2012)</td>
<td>9 372 m€</td>
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<td></td>
<td></td>
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Rural: 1 648 m€ - 18%
N/A: 414 m€ - 4%
Other: 2 413 m€ - 13.8%

B. Social Infrastructures:

<table>
<thead>
<tr>
<th>Code 75</th>
<th>Education Infrastructure</th>
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<tbody>
<tr>
<td>Code 76</td>
<td>Health Infrastructure</td>
</tr>
<tr>
<td>Code 77</td>
<td>Childcare Infrastructure</td>
</tr>
<tr>
<td>Code 78</td>
<td>Housing Infrastructure</td>
</tr>
<tr>
<td>Code 79</td>
<td>Other social Infrastructures</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Codes 75-79</th>
<th>EUR m – EU support</th>
<th>Of which:</th>
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<tr>
<td></td>
<td></td>
<td>Territorial Dimension</td>
</tr>
<tr>
<td>Decided Amount</td>
<td>17 820 m€</td>
<td>N/A</td>
</tr>
<tr>
<td>Project selected amount (to end 2012)</td>
<td>17 472 m€</td>
<td><strong>Urban: 11 448 m€ – 65.5%</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Rural: 3 197 m€ - 18.3%</td>
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<tr>
<td></td>
<td></td>
<td>N/A: 414 m€ - 2.4%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Other: 2 413 m€ - 13.8%</td>
</tr>
</tbody>
</table>
These 6 priority codes therefore account for a total project selection of EUR 26.8 bn, of which the subset spent on urban territories is EUR 18.2 bn. With an ERDF/CF average of 40% of total allocations to projects reported to be in urban areas, the rate of 68% of total allocations in the 6 selected codes is particularly high. It also represents 18% of total project selection under the urban dimension.

This evaluation therefore takes as its starting point these priority theme codes for the following reasons:

- These six codes have a strong basis in urban areas with above average reporting of an urban territorial dimension;
- In relation to Code 61 there is relatively poor information on the nature and effectiveness of the investments undertaken in aggregate. The categorisation information does not shed much light on this "black box" and core indicators are likewise not very informative;
- In relation to social infrastructure investments, there has not been a dedicated evaluation of ERDF interventions;
- In many Member States there is a strong local component to provision or management of social infrastructure;
- The other priority theme codes with a significant urban dimension (environmental and transport infrastructures) have been the subject to previous evaluations and will be addressed by other packages of the ex-post evaluation of Cohesion policy 2007-2013.

The system for the categorisation of expenditures – in particular the "territorial" and "priority theme" dimensions considered above – is possibly not exhaustive or complete in identifying the integrated urban investments performed through ERDF support. Therefore, while the starting point for this evaluation is the urban allocations under code 61, but it will be the task of the evaluation to find out more precisely what is financed in urban areas, the underlying rationales (with particular reference to the effects on specific population groups, paying special attention to the most vulnerable), the effects and the extent to which interventions are or should or could be part of integrated urban development strategies. The evaluation should therefore also establish the extent of support to integrated urban development provided outside of code 61 in particular.

3.5. Tasks

3.5.1. Task 1: Distribution of investments and reported outputs

The contractor will perform an analysis of ERDF investments in the areas of urban development and social infrastructure based initially on the categorisation data explained above and the indicator data reported by Member States to the DG for Regional and Urban Policy.
The system of ERDF/CF core indicator reporting (41 indicators) was set out in working documents from 2007 and 2009. It has led to annual reporting at OP level (sometimes also at priority axis level) of cumulative figures for achieved outputs often in relation to initial target value. In relation to the subject matter of this contract, there are 6 relevant core indicators:

- Number of projects (education);
- Number of benefiting students (education);
- Number of projects (health);
- Number of projects ensuring sustainability and improving the attractiveness of towns and cities (urban development);
- Number of projects seeking to promote businesses, entrepreneurship, new technology (urban development);
- Number of projects offering services to promote equal opportunities and social inclusion for minorities and young people (urban development).

It is recognized that number of projects is of limited value for assessing the implementation or effects of policies. Work package zero of the ex-post evaluation 2007-2013 will gather and quality-assess physical data (common and programme specific output and result indicators) reported by Managing Authorities in their Annual Implementation Reports related to the themes of the evaluation. That work package will therefore provide updated and possibly new data during the implementation of this contract.

5  http://ec.europa.eu/regional_policy/information/evaluations/guidance_en.cfm#3

6 The 2012 values (checked for plausibility by DG REGIO) for the core indicators are published here: http://ec.europa.eu/regional_policy/sources/docgener/evaluation/data/core_indicator_air2012.xlsx
The assessment performed under Task 1 will answer the following questions:

- What is the distribution of investments in urban development and social infrastructures across programmes?
- What are the economic sectors benefiting most from investments that can be associated with urban development and social infrastructures?
- Are there specific target groups that can be identified as beneficiaries of the support? (e.g. deprived or marginalised groups)
- What is the ‘geographical’ and ‘territorial’ distribution across investments?
- Identify the nature of the financial support (use of grants vs. financial engineering instruments);
- Identify – where possible – other investments included as part of "integrated urban development strategies";

The contractor shall also comment on strengths and weaknesses in data reported, by highlighting significant gaps (e.g. between input and output indicators) that prevent a clear understanding of achievements.

### 3.5.2. Task 2: Analysis of Operational programmes and Annual Implementation reports and Survey of Managing Authorities

Based on information available at this point to the Commission 115 programmes invest more than EUR 22m ERDF in support to these policy areas. These programmes represent 95% of the total allocation of funds to urban development and social infrastructures.7

During this phase the contractor – through the analysis of Operational Programmes and their corresponding Annual Implementation Reports will explore the following issues:

- Logic of Intervention (Investment objectives)
- Governance;
- Main implementation bodies;
- Priority setting and project selection;
- Evidence on results and effects for the concerned priority axes;

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7 See footnote n. 4
In order to fill information gaps and deepen the insights for the requirements of task 2, the contractor will perform telephone or video-conference interviews with Managing Authorities for all 114 Operational Programmes.

<table>
<thead>
<tr>
<th>The analysis performed under the requirements of Task 2 will answer the following questions:</th>
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<tbody>
<tr>
<td>- Identify the nature of the activities and main beneficiaries of the financial support (e.g. services vs. infrastructure, public vs. private, etc.,);</td>
</tr>
<tr>
<td>- What is the programme trying to achieve in the areas of urban development and social infrastructures (also in relation to addressing the needs of different population groups)?</td>
</tr>
<tr>
<td>- What is the strategy to promote investments and justify actions in these specific sectors? And how can the demand side in the investigated sectors be characterised?</td>
</tr>
<tr>
<td>- What is the nature of the relation between Managing Authorities and the main projects implementation bodies (i.e. urban Authorities) in terms of delegation of tasks and involvement in the selection of operation?</td>
</tr>
<tr>
<td>- What are the main drivers of success and failure associated with these strategies and projects?</td>
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<tr>
<td>- What is the relationship between investments for integrated urban development strategies and investments in the different fields of social infrastructures?</td>
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<tr>
<td>- What is the role of ERDF support in supporting strategies for integrated urban development in comparison to other possible co-funding? And how much of the ERDF is supporting integrated urban development strategies?</td>
</tr>
<tr>
<td>- Are there linkages between ERDF support and ESF support in the areas of urban development and social infrastructures?</td>
</tr>
<tr>
<td>- What are the measures put in place to ensure financial sustainability of projects? And do selection criteria and processes take into account the future financial sustainability of projects?</td>
</tr>
<tr>
<td>- How are achievements captured and reported on (quantitatively or qualitatively)?</td>
</tr>
<tr>
<td>- What are the main changes (objectives) that Programmes are attempting to achieve and what results have been achieved (or are likely to be achieved) via the support to specific projects?</td>
</tr>
</tbody>
</table>

Findings from the analysis of the sampled programmes will be organized by the contractor and systematized in a format useful for their inclusion in the interim report and to inform the survey as in task 3.
Through the survey and additional contacts the contractor will identify 400 bodies responsible for implementing projects specified under the scope of the contract (i.e. intermediate bodies, municipalities, beneficiaries, etc…).

Based on the results of task 2 the contractor will revise the survey instruments for task 3.

### 3.5.3. Task 3: Survey of projects implementation bodies

Following the fulfillment of requirements for task 2, the contractor will carry out a survey of 400 of those responsible for implementing projects under the scope of the contract (i.e. intermediate bodies, municipalities, beneficiaries, etc…) – signaled by the Managing Authorities as part of task 2. The range of projects included in the survey must cover the policy fields that are subject of this contract, i.e. urban development, education infrastructures, health infrastructures, childcare infrastructures and housing infrastructures.

The survey will explore issues of:

- Strategy (including the desired change);
- Projects' financial sustainability;
- Contribution to Programme objectives and results

Survey instruments will be developed to answer at least the following questions:

- What is the project trying to achieve and in what way? What are the main changes (objectives) that interventions are attempting to achieve and what results have been achieved (or are likely to be achieved) via the support to specific projects?

- What is the socio economic objective focus of the project and the logic of intervention at the basis of the interventions carried out? Which are the identifiable targets groups (e.g. deprived or marginalized groups)?

- Do projects in the areas of urban development and social infrastructures address identified market failures?

- Do projects in the areas of urban development and social infrastructures benefit from simultaneous ERDF and ESF co-financing. What is the nature of the linkage between ERDF and ESF in these cases?

- In each of the sub sectors what are the most common measures of project output used by the projects?

- Is financial sustainability addressed? What are the measures put in place to ensure financial sustainability of projects?

- Are the supported projects contributing to economic growth and creating jobs? And in what ways? Can beneficiaries point to objective evidence in this regard?
The technical offer for this evaluation shall include:

- Methodologies for the administration of the surveys;
- Survey templates with a defined set of draft questions. This will be further refined by the successful contractor when task 2 is completed\(^8\);
- Adapted strategies to maximize the response rates.

A pilot of the survey will be undertaken immediately on submission of the interim report and the contractor should be able to inform the steering group of the outcomes of the pilot at its meeting on the interim report.

### 3.5.4. Task 4: Cross-task analysis and presentation of the final report

Taking into account the outcomes of the analysis undertaken for task 1, 2 and 3, the contractor will produce a final report including the overall findings of the analysis and the main implications for policies targeting urban development and social infrastructure.

At this stage of the study a systematic overview of concepts and assumed potentials to justify the specific delivery mode of integrated urban development is required. This includes the possible contribution of Cohesion Policy to the success of integrated strategies in urban areas.

Through the analysis as performed under this task, the contractor will answer the following questions:

- To what extent was the ERDF allocated to urban development investments through integrated strategies for urban development?
- How was integrated urban development organized in the programmes during 2007-2013 programming period? Are there "types" of strategies that can be detected?
- How was “social infrastructure” organized in Operational Programmes – and within strategies for urban development? Is it concentrated on identifiable target groups?
- What are the main rationales to justify public investment in integrated urban strategies and social infrastructures?
- What evidence is there of achievements of investments in sustainable urban development and social infrastructures?

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\(^8\) Survey questionnaires should be provided in different national languages during contract execution.
What are the main lessons for future policy development - in particular as to integrated urban development - that can be drawn from the Operational programmes considered in the analysis?

A seminar with Member States to discuss the findings of the evaluation and deepening the analysis for further policy orientation will be organised before the draft final report is submitted to the Commission (up to 40 participants). The evaluator will be responsible for the organisation and content of the seminar, including identifying participants, preparing the content of the seminars, leading discussions and writing up the event. The seminar will take place in Brussels. It will be organised by using support from Work Package 1 of the ex post evaluation (“Synthesis”) and the contractor of Work Package 1 will:

- cover travel and accommodation costs for participants from public authorities (maximum 1 night stay, train, flights economy class),
- cover travel and accommodation costs for participants not from public authorities (up to 2 nights, train, flights economy class), as well as a fee appropriate to the level of expertise.

3.6. Methodology

A combination of methods will be used in this evaluation, some of which have been signalled in the tasks description above. They include:

- Desk research;
- Analysis of data stored in the DG for Regional and Urban Policy's databases (SFC2007 and Infoview).
- Interviews with Member States, Managing Authorities and Intermediate Bodies where necessary;
- Survey methodology;
- Other methodological approaches as appropriate, to be specified in the tender documentation.

The tender documentation should outline how these methods will be combined to deliver the various tasks and answer the evaluation questions. Based on an overview of information published and listed in the bibliography, the tender should analyse the major difficulties inherent in carrying out this contract and outline strategies to overcome them.

3.7. Work organisation

As part of the tender documentation, the team to be involved in this evaluation should be identified, describing their skills and qualifications, quantifying the input of each member of the team in terms of days and explaining the distribution of tasks between the different team members involved. The tenderer must demonstrate that the teams have the capacity to work in all the languages of the EU. The tender documentation should already contain a first analysis of the Member States which will require the most intensive work with an indication of the reasons why. This analysis should be reflected in the distribution of days among team
members and tasks. The attention of tenderers is drawn to the need for strong co-ordination, guidance and quality control which will be needed for the successful delivery of this contract.

3.8. Time schedule

The duration of the tasks is 10 months, starting from the signature of the contract. The deliverables and their timing are specified below.

Reports and meetings required by the Terms of Reference

<table>
<thead>
<tr>
<th>End Month</th>
<th>Output</th>
<th>Meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td>Kick-Off Meeting with DG REGIO</td>
</tr>
<tr>
<td>Within 1 month</td>
<td>Inception Report</td>
<td>Meeting with Steering Group</td>
</tr>
<tr>
<td>Within 5 months</td>
<td>First Interim Report</td>
<td>Meeting with Steering Group</td>
</tr>
<tr>
<td>Within 9 months</td>
<td>Draft Final report</td>
<td>Meeting with Steering Group</td>
</tr>
<tr>
<td>Within 10 months</td>
<td>Final report</td>
<td></td>
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</tbody>
</table>

3.9. Deliverables

The deliverables of this study will be:

**Deliverable 1:** one methodological **inception report** covering all Tasks.  
**Deadline:** within 1 month after the signature of the contract.

**Deliverable 2:** one **interim report** presenting the results of Task 1 and task 2 including the proposed list for the survey sample.  
**Deadline:** within 5 months after the signature of the contract.

**Deliverable 3:** the **draft final report** responding to Tasks 1-4 of these specifications and organisation of one **validation seminar**. The draft Final Report should contain a synthesis report with chapters corresponding to each of the tasks.  
**Deadline:** within 9 months after the signature of the contract.

**Deliverable 4:** one **final report**.  
**Deadline:** within 10 months after the signature of the contract.

Besides the above mentioned deliverables, the contractor will submit a progress report of 2 pages maximum every month.

A hard copy and an electronic version of each 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 contractor 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 may be invited to present the results of the evaluation to the Member States and the Commission services (two meetings in Brussels). The travel costs for these presentations will be paid separately.

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 that Guide at


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

### 3.10. Organisation of the study

There will be a single contract with the Directorate General for Regional and Urban Policy for this evaluation.

As part of the **tender documentation**, the tenderer should identify the members of the core team and experts responsible for the Member State work. Effective planning of the fieldwork is essential and this should be reflected in the days allocated to the core team as well as the Member State experts. The person responsible for the quality of the content of each deliverable (including proper editing of the draft final report in terms of its content) should be identified. 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 team members involved. The tenderer should prove that their team has the capacity and knowledge to work in the fields of expertise required and in the languages which may be needed for the analysis and interviews.

The contractor will identify 2 Academic experts to give advice throughout the evaluation, comment on the deliverables, and participate in the seminar. These experts should have in depth knowledge of the areas of urban development and social infrastructures.

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

The contractor will be expected to attend a kick-off meeting plus three progress meetings with the Evaluation Unit of the Directorate General for Regional and Urban Policy in Brussels reviewing the progress of the study and resolving any problems arising. These meetings will be arranged according to needs arising.
3.11. **Documentation for the tenderers**

- List of themes to be covered by work packages in the 2007-2013 Ex post evaluation in Annex 2
- Current reporting of allocation of resources at programme level by priority themes (Codes 61 and 76-79) in Annex 3.
- Bibliography in Annex 4

The quality of the evaluation will be assessed by the Commission services using the quality criteria set out in Annex 5. The assessment of the quality will be published by the Commission.

### 4. **CONTENT, STRUCTURE AND GRAPHIC REQUIREMENTS OF THE FINAL DELIVERABLES**

All studies produced for the European Commission and Executive Agencies shall conform to the corporate visual identity of the European Commission by applying the graphic rules set out in the European Commission's Visual Identity Manual, including its logo.\(^9\)

The Commission is committed to making online information as accessible as possible to the largest possible number of users including those with visual, auditory, cognitive or physical disabilities, and those not having the latest technologies. The Commission supports the [Web Content Accessibility Guidelines 2.0](http://www.w3.org/WAI) of the W3C.

For full details on Commission policy on accessibility for information providers, see: [http://ec.europa.eu/ipg/standards/accessibility/index_en.htm](http://ec.europa.eu/ipg/standards/accessibility/index_en.htm)

Pdf versions of studies destined for online publication should respect W3C guidelines for accessible pdf documents. See: [http://www.w3.org/WAI/](http://www.w3.org/WAI/)

#### 4.1 **Content**

**a. Final study report**

The final study report shall include:

- an abstract of no more than 200 words and an executive summary of maximum 6 pages, in English, French and German;
- the following standard disclaimer:

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\(^9\) The Visual Identity Manual of the European Commission is available upon request. Requests should be made to the following e-mail address: comm-visual-identity@ec.europa.eu
b. **Publishable executive summary**

The publishable executive summary shall be provided in both in English, French and German and shall include:

- the following standard disclaimer:

  “The information and views set out in this [report/study/article/publication…] are those of the author(s) and do not necessarily reflect the official opinion of the Commission. The Commission does not guarantee the accuracy of the data included in this study. Neither the Commission nor any person acting on the Commission’s behalf may be held responsible for the use which may be made of the information contained therein.”

- specific identifiers which shall be incorporated on the cover page provided by the Contracting Authority.

4.2 **Graphic requirements**

For graphic requirements please refer to the template provided in the Annex 6. The cover page shall be filled in by the contractor in accordance with the instructions provided in the template. For further details you may also contact [comm-visual-identity@ec.europa](mailto:comm-visual-identity@ec.europa)
ANNEX 1: DECLARATION OF HONOUR

See separate document
## Annex 2: Themes for Work Packages of the Ex Post Evaluation

<table>
<thead>
<tr>
<th>No.</th>
<th>Work package</th>
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<tbody>
<tr>
<td>0</td>
<td>Data collection and quality assessment</td>
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<tr>
<td>1</td>
<td>Synthesis</td>
</tr>
<tr>
<td>2</td>
<td>Support to SMEs: Increasing Research and Innovation in SMEs and SME Development</td>
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<tr>
<td>3</td>
<td>Financial Instruments for Enterprises</td>
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<td>4</td>
<td>Large enterprises</td>
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<td>5</td>
<td>Transport</td>
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<td>6</td>
<td>Environment</td>
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<td>7</td>
<td>Modelling the effects of transport projects</td>
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<tr>
<td>8</td>
<td>Energy efficiency in public and residential buildings</td>
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<tr>
<td>9</td>
<td>Tourism and Culture</td>
</tr>
<tr>
<td>10</td>
<td>Urban development and Social Infrastructures</td>
</tr>
<tr>
<td>11</td>
<td>European Territorial Cooperation</td>
</tr>
<tr>
<td>12</td>
<td>Delivery system</td>
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<tr>
<td>13</td>
<td>Geography of expenditure</td>
</tr>
<tr>
<td>14</td>
<td>Effect on macroeconomic aggregates</td>
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<tr>
<td>ANNEX 3: 2012 ALLOCATION OF RESOURCES AT PROGRAMME LEVEL BY PRIORITY THEMES (CODES 61 AND 76-79)</td>
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<td>See separate document</td>
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</table>
1. COMMISSION

2000-2006:

- Ex Post Evaluations of the 2000-2006 Programming period: 

2007-2013:

- Fostering the urban dimension: analysis of the Operational Programmes financed by the European Regional Development Fund 2007-2013, November 2008 

- Promoting sustainable urban development in Europe, achievements and opportunities, April 2009

- Sustainable urban development, implementation praxis of Art 8, April 2010

- The urban dimension of the ERDF in the 2007-2013 period: implementation and practise in five European cities, April 2010

- Housing investments supported by the European Regional Development Fund 2007-2013, housing in sustainable urban regeneration, September 2013

- Urban development in the EU: 50 projects supported by the European Regional Development Fund 2007-2013, March 2013

- Guidance:

- Strategic Report, 2013 and thematic fiche:

- Expert Evaluation Network Reports 2011-2013:
  http://ec.europa.eu/regional_policy/information/evaluations/index_en.cfm#1

  http://ec.europa.eu/regional_policy/information/evaluations/index_en.cfm#15
Health

ANNEX 5: QUALITY CONTROL: OUTPUT QUALITY CRITERIA

− Meeting needs as laid out in Terms of Reference
− Relevant scope and coverage
− Defensible design and methods
− Reliable data used
− Sound analysis
− Credible results that relate to analysis and data
− Impartial conclusions showing no bias and demonstrating sound judgement
− Clear report with executive summaries and annexed supportive data
See separate document