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**Competitive Multiple Framework Service Contracts  
for the provision of *Studies assessing the impact of other European Union policies on  
economic, social and territorial cohesion (Lot 2)*  
Framework Contracts Nr 2014CE16BAT007 / 2014CE16BAT008 / 2014CE16BAT009**

**Service Request Nr 2017CE16AAD011**

**SPECIFICATIONS**

**1. TITLE OF THE REQUEST FOR SERVICES**

Ex post evaluation of the European Union Solidarity Fund 2002-2016

**2. BACKGROUND**

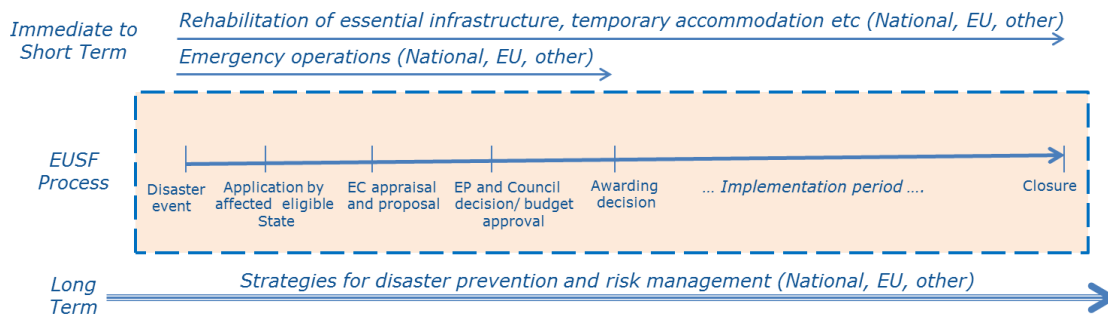
The European Union Solidarity Fund (EUSF) is a financial instrument created to provide assistance to countries affected by natural disasters such as flooding, earthquakes, forest fires etc. As a clear expression of European Solidarity, financial assistance from EUSF is open to EU Member States and to candidate countries formally engaged in accession negotiations to the EU.

The EUSF was established in response to the serious floods in Central Europe in 2002 based on the provisions of Council Regulation (EC) No 2012/2002, as amended by Regulation (EU) No. 661/2014. The comprehensive reform of the EUSF in 2014 has enhanced the instrument by including a number of new provisions intended to improve and simplify procedures, introduce clear criteria for the classification of regional disasters, re-define the scope, introduce advance payments, and strengthen disaster prevention and risk management strategies.

The objective of EUSF support is to help ease the financial burden of costs incurred with disaster response and recovery operations needed in countries affected by major or regional disasters. The diagram in Figure 1 illustrates the context and the scope of EUSF interventions in case of the occurrence of natural disasters in eligible States, including EU Member States and accession countries.

The EUSF assistance covers emergency operations such as: the rehabilitation/reconstruction of essential infrastructure, the provision of temporary accommodation and emergency services for affected population, the securing of prevention infrastructure, the protection of cultural heritage, and cleaning up operations. The EUSF does not aim to cover all losses associated with natural disasters and the beneficiary country is only entitled to use the assistance to finance public emergency operations undertaken in order to minimise non-insurable damage.

Figure 1: Context and scope of EUSF intervention



The EUSF can provide financial solidarity support to Member States and eligible accession countries under the following circumstances:

- It can be mobilised in the event of a major disaster which is defined as an event resulting in total direct damage exceeding three billion euros (in 2011 prices) or 0.6% of the country's gross national income (GNI), whichever is the lowest amount.
- Financial assistance can be provided also for regional disasters which are defined as smaller scale events for which the eligibility threshold is damage in excess of 1.5% of the region's gross domestic product (at NUTS 2 level). In such cases, for the outermost regions the threshold is at 1% of regional GDP.
- Financial support from the Fund can be provided also to EU Member States affected by a major disaster in an eligible neighbouring country.

The EUSF is funded from the EU budget but outside the MFF<sup>1</sup> such that the support can be mobilized for unforeseen events such as crisis and emergency situations. In the event of an eligible disaster, the Fund is mobilised by a decision of Parliament and the Council and the necessary appropriations are raised through the adoption of an amending budget. Prior to 2014, the maximum annual allocation of the Fund was one billion euros in current prices. With the 2014-2020 MFF, however, this has been set to a maximum of 500 million euros (in 2011 prices), with the possibility to carry forward the unspent allocation from year n to year n+1.

The revision of the EUSF in 2014 encourages the beneficiary States to plan for and put in place disaster prevention and risk management strategies. The States receiving financial assistance from EUSF are now required to report on preventive measures taken or proposed in order to limit future damage and on the state of implementation of relevant EU legislation on disaster risk prevention and management.

The purpose of the ex-post evaluation is to assess the implementation and performance of the EUSF over the period 2002-2016. The evaluation will assess also the synergies between the reformed EUSF instrument and other EU policy instruments and, if applicable, other international instruments in contributing to strengthened measures for the prevention and management of disasters in EU Member States and accession countries which received EUSF support during the period 2014-2016.

The ex-post evaluation is intended to enhance policy learning and ensure transparent communication on the implementation and performance of the instrument. The evaluation results will be disseminated to the general public, national and regional

<sup>1</sup> Multiannual Financial Framework. Details at : [http://ec.europa.eu/budget/mff/introduction/index\\_en.cfm](http://ec.europa.eu/budget/mff/introduction/index_en.cfm)

authorities, the Council, the European Parliament, the Court of Auditors, as well as to stakeholders interested in the activities and the performance of the EUSF.

Since the establishment of EUSF in 2002 and until the end of 2016, the Commission has received 126 applications for EUSF financial support. Of these, 75 EUSF applications were approved for disaster events (including floods, forest fires, earthquakes, storms and drought) in 24 European countries, amounting to a total of EUR 3.9 billion. The list of all EUSF interventions approved during the period 2002-2016 can be consulted online at: [http://ec.europa.eu/regional\\_policy/sources/thefunds/doc/interventions\\_since\\_2002.pdf](http://ec.europa.eu/regional_policy/sources/thefunds/doc/interventions_since_2002.pdf).

The main legislative references for the EU Solidarity Fund are the following:

- Council Regulation (EC) No 2012/2002 of 11 November 2002 establishing the European Union Solidarity Fund <sup>2</sup>
- Regulation (EU) No 661/2014 of the European Parliament and of the Council of 15 May 2014 amending Council Regulation (EC) No 2012/2002 establishing the European Union Solidarity Fund <sup>3</sup>
- Council Regulation (EU, Euratom) No 1311/2013 of 2 December 2013 laying down the multiannual financial framework for the years 2014-2020<sup>4</sup>
- Inter-institutional Agreement of 2 December 2013 between the European Parliament, the Council and the Commission on budgetary discipline, on cooperation in budgetary matters and on sound financial management<sup>5</sup>.

### 3. DESCRIPTION OF THE CONTRACT

#### 3.1 Objectives and scope of the evaluation

The overall objective of the ex-post evaluation is to assess the implementation and performance of the EU Solidarity Fund over the period 2002-2016. The evaluation will also assess the synergies between the EUSF support and other EU policy instruments and, if applicable, other international instruments in contributing to strengthened measures for the prevention and management of disasters in EU Member States.

A. The **first objective** of the evaluation is to provide an analysis of the approval, implementation and closure (where applicable) of all EUSF interventions since the establishment of the Fund in 2002 and until end-2016. The evaluation will look also at the rejected applications for EUSF support during the period 2002-2016.

B. The **second objective** of the evaluation is to gather evidence on the implementation and performance of the EUSF based on in-depth analyses of 7 case studies selected according to several criteria such as coverage of the pre- and post-reform periods, type and magnitude of disaster, geographical location, size of support etc. The assessment will include also an analysis of the synergies between EUSF, other EU policy instruments (such as the EU Civil Protection Mechanism<sup>6</sup>) and, if applicable, other international instruments in the context of respective EUSF interventions. The public image and awareness of EUSF interventions at national/ local levels will also be analysed.

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<sup>2</sup> OJ L 311, 14.11.2002, p.3-8

<sup>3</sup> OJ L 189, 27.6.2014, p.143-154

<sup>4</sup> OJ L 347, 20.12.2013, p. 884–891

<sup>5</sup> OJ C 373, 20.12.2013, p. 1–11

<sup>6</sup> [http://ec.europa.eu/echo/what/civil-protection/mechanism\\_en](http://ec.europa.eu/echo/what/civil-protection/mechanism_en)

C. The **third objective** of the evaluation is to analyse the role of the reformed EUSF in the framework of policy efforts aimed at enhancing the prevention, preparedness and resilience of EU Member States to natural disaster events. It will address the synergies between the EUSF and EU policy instruments such as the EC Floods Directive<sup>7</sup>, with the investments from the ESI and IPA Funds, as well as with other relevant international instruments, if applicable.

D. The **fourth objective** of the evaluation is to reflect on the EU added value and strengths of the EUSF, but also on its potential shortcomings, and to provide opportunities for policy learning.

### 3.2 Methodology

The evaluation will provide evidence according to the criterion of EU Solidarity and the EC Better Regulation<sup>8</sup> evaluation criteria as follows:

#### *EU Solidarity*

- Has the EUSF achieved the high level objective of ensuring EU Solidarity with the EU Member States and accession countries affected by natural disasters with serious repercussions on living conditions, the natural environment or the economy?
- To what extent is the public in the affected beneficiary areas aware of the financial support provided by the EU Solidarity Fund?

#### *Effectiveness*

- To what extent have the overall goals of EUSF been attained?
- Has the EUSF achieved the operational objectives stated in the applications for EUSF support and detailed in the Commission implementing agreements or in the decisions awarding a financial contribution from the Fund (implementing acts)<sup>9</sup>?
- What factors and to what extent have they influenced the achievements?

#### *Efficiency*

- Have the EUSF interventions been cost effective, i.e. to what extent were the costs proportionate/justified compared to the benefits achieved?
- Were there significant differences between the costs specified in the Commission implementing agreement or in the decision awarding a financial contribution from the Fund (implementing act) and the actual expenditure reported for the implementation?
- Is there any evidence of excessive administrative burden associated with the application, approval and implementation of EUSF support?
- What factors influenced the efficiency with which the achievements observed were attained? (e.g. administrative capacity or administrative procedures at national, regional or EU level)?

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<sup>7</sup> Directive 2007/60/EC, [http://ec.europa.eu/environment/water/flood\\_risk/](http://ec.europa.eu/environment/water/flood_risk/)

<sup>8</sup> The EC Better Regulation website: [http://ec.europa.eu/smart-regulation/guidelines/toc\\_guide\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm)

<sup>9</sup> Before the reform of the EUSF the use of the Fund was specified in the Agreement, under Article 5. After the reform (in June 2014), the use of the Fund is now specified in the decision awarding a financial contribution from the Fund (=implementing act) under annex I.

### *Relevance*

- How relevant is the EUSF to EU citizens?
- How have these changes matched and addressed the recovery needs?
- To what extent does EUSF provide incentives for long term changes, particularly in relation to the measures planned by beneficiary States for the prevention and management of similar disasters in the affected areas?

### *Coherence*

- To what extent were the examined EUSF interventions coherent and complementary with other national, EU, and international interventions carried out in the same region/ area? (e.g. with other EU fund instruments and mechanism in the context of EU rapid reaction such as the activation of the EU Civil Protection Mechanism, with prevention measures financed by the ESI Funds and IPA, or carried out under the EU Civil Protection Mechanism, as well as by other relevant international instruments).
- To what extent were the EUSF interventions coherent with wider EU policies (Cohesion Policy, Agricultural Policy, Environment / Climate Change Policy, Flood Risk Management, the EU Civil Protection Mechanism, etc.)? How do EUSF interventions complement the investments from ESI and IPA Funds in order to support economic development on medium to long-term?
- How coherent is the EUSF instrument with the wider EU policy in the domain of the prevention and management of natural disasters in EU Member States and accession countries?

### *EU Added Value*

- What is the EU added value of EUSF?
- To what extent do the issues addressed by the examined intervention continue to require action at the EU level?

The evidence will be collected through a variety of methods such as:

- Desk Research of literature review, legal texts, and official documentation from the Commission and the beneficiary States, as well as other relevant studies available in the public domain.
- Case studies – in-depth analyses covering the implementation and performance of 7 selected EUSF case files which are fully implemented at the time of the evaluation.
- Face-to-face interviews with representatives in the beneficiary States who were involved in various tasks related to the case studies. High staff turnover in some countries can make contacting and interviewing key personnel difficult. Such situations will be dealt with on a case by case basis in agreement with the Commission. If necessary the interviews will be administered in the languages spoken in the respective beneficiary States.
- Consultations of other relevant stakeholders such as humanitarian organizations involved in assisting the affected population, and affected households based on a limited number of phone and/or face-to-face interviews in order to assess their awareness and perceptions with respect to the EU Solidarity Fund. These consultations will be carried out for the case studies.
- Analysis of content in the relevant media in order to assess the image of the EU Solidarity Fund in the context of the disaster cases analysed in depth.

- Survey of national authorities on measures for the prevention and mitigation of similar disasters in the areas concerned for all the EUSF interventions under the scope of the amended Regulation adopted in 2014.
- Statistical analysis of planned expenditure/ targets and monitoring data for the relevant categories of interventions for investments from ESI and IPA Funds for the period 2014-2020.
- Organization of a workshop involving a limited number of representatives of relevant EU Member States and accession countries, academics, experts, EC officials, and Managing Authorities of ESI Funds in order to receive feedback to the analysis and the conclusions of the case studies, and to reflect on the institutional and socio-economic aspects of EUSF interventions.

The contractor is required to collect, systematise and analyse qualitative and quantitative evidence which addresses all the evaluation criteria mentioned above.

### **3.3 Tasks to be carried out by the contractor**

The evaluation covers six tasks. The first task consists of drafting a report setting out the methodological approach to the different elements of the evaluation. It needs to be agreed with the Commission before proceeding with the other tasks. Tasks 2-6 are aligned with the objectives of the study set out in section 3.1.

#### **Task 1: Methodological report**

The contractor shall submit a methodological report of max 50 pages (plus annexes) setting out its approach to carry out the different tasks covered by this study.

The report should provide a preliminary list of the literature to be reviewed for the purpose of this evaluation, as well as draft templates for all the deliverables of the evaluation.

With regard to interviews, the methodological report should explain how interviewees for each of the seven in-depth case studies will be selected in order to ensure adequate coverage of stakeholders relevant for the disaster events analysed. Interviews may be handled on site or via phone calls in the relevant languages. The methodological report should explain also how the contractor will deal with the case studies.

#### **Task 2: Review of the operations financed by the EUSF during 2002-2016**

For this task, the contractor will start by outlining the EUSF conceptual and regulatory framework, and develop an intervention logic that shows how the interventions are supposed to bring about the envisaged specific and general objectives. It will continue with the analysis of all the 126 EUSF case files reviewed by the Commission over the period 2002-2016. For all the approved EUSF applications (75 out of 126), the contractor will analyse the timing of procedures, types of operations supported, timing of implementation and reported costs (planned and achieved), as well as the level and usage of EUSF support. For the rejected EUSF applications (48 out of 126)<sup>10</sup>, the contractor will analyse the reason for rejection and the timing of procedures. The analysis should be developed along several dimensions such as: type of disaster event, scale of disaster event (major or regional), estimated damages etc., as well as the treatment of all case files in terms of administrative handling and financial support.

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<sup>10</sup> 3 applications were withdrawn.

The review exercise must lead also to the identification of fifteen EUSF interventions from which seven case studies will be selected for in-depth analysis (see Task 3). These EUSF interventions need to be fully implemented by the time of the evaluation, and their selection will be based on several criteria such as: 1) coverage of both periods relevant for the fund: the pre-reform period 2002-2014 guided by the original Council Regulation (EC) No. 2012/2002, and the post-reform period 2014-2016 based on Council Regulation (EU) No. 2012/2002 as amended by Regulation (EU) No. 661/2014, 2) type of disaster, 3) geographical location, 4) size of estimated damage, 5) size of support, etc. The selection criteria and proposals for the selection of the seven case studies will form an integral part of the deliverables for this task.

A synthetic overview of the main characteristics of all the EUSF case files over the period 2002-2016 is available from the Commission. Building on this overview, the contractor will collect the additional information necessary for the evaluation from documents available from the Commission such as: applications, implementation agreements for the pre-reform period, implementing decisions awarding a financial contribution from the Fund for 2014-2016 and, where available, reports on the implementation and closure of the EUSF interventions. The contractor will also assess the availability and quality of information and provide a preliminary judgement of its evaluability and completeness. The Commission will provide access to all 126 case files available either in electronic format and/or in hard copy on site (particularly for the period 2002-2008).

For this task, the contractor will prepare a First Interim Report including a conceptual framework and intervention logic for the EUSF and the analysis of all the EUSF cases files during the period. The report will be accompanied by a case fiche (up to 2-3 pages) for each of the approved interventions funded by the EUSF. The template for the fiche is to be agreed upon with the Commission. The report will include also a proposal for a short list of fifteen case studies out of which seven case studies will be agreed with the Commission in view of Task 3.

### **Task 3: In-depth Case Studies**

The case studies will provide the factual and analytical basis for an in-depth analysis of the implementation and the performance of the EUSF.

Based on the short list of 15 fully implemented cases identified in Task 2, the contractor in agreement with the Commission will select 7 case studies for in-depth analysis. These will include three operations where the Fund was mobilised under the provisions of Regulation (EC) No 2012/2002 before its revision and four operations under the provisions of Regulation (EC) No 2012/2002 as amended by Regulation (EU) No 661/2014.

For the analysis of the case studies, the contractor will develop a template in order to ensure consistency across all cases analysed. The template will be agreed upon with the Commission, and tested on two pilot case studies (one of the pre-reform and one of the post-reform periods).

The task is divided in two sub-tasks as follows:

### *Task 3.1: Case Studies - Analysis of implementation and performance of EUSF*

The purpose of this sub-task is to collect evidence on the implementation and performance of the EUSF in selected case studies.

For each of the selected case study, the analysis will describe the socio-economic context of the disaster event concerned, and the operational objectives and the intervention logic of the respective EUSF intervention. The evaluation will cover both the implementation and the performance of the EUSF assistance for all selected cases studies.

As regards the process of implementation, the analysis will cover all stages, including application, approval, implementation, and, where available, closure of the case. The contractor will collect data on timing of procedures, timing of implementation, level and usage of EUSF support, type of operations covered and associated costs (planned versus achieved), selection procedures, actors involved, beneficiaries, enabling factors and obstacles, and administrative burden. The contractor will assess also the availability and quality of monitoring data (such as, but not limited to, output and result indicators) collected for each case study.

With respect to performance, the contractor will evaluate the extent to which the operational objectives of the EUSF interventions were appropriate and achieved, the cost-effectiveness of the operations involved, synergies with other EU policy instruments the EC Floods Directive and, if applicable, the EU Civil Protection Mechanism deployed in the same area and with other relevant international instruments. A particular emphasis will be put on the synergies between EUSF financial assistance and relevant investments from the ESI and IPA Funds. The evaluation will cover also the solidarity features of EUSF, as well as the relevance and the EU added value of EUSF interventions.

For each of the 7 case studies, the contractor will examine also any disaster prevention and risk management measures planned or actually put in place in the case study country/area, as related to the disaster event analysed.

The analysis of the case studies will rely on the documentation provided by the Commission (application files, Commission implementing agreements, decisions awarding a financial contribution from the Fund (implementing act), implementation reports etc.), documentation and data to be collected from national and local authorities, information elicited through interviews with stakeholders (national and local authorities, experts, NGOs involved in assisting affected population, etc.), monitoring data on the use of relevant ESI funds, and any other relevant and reliable studies available in the public domain. Given that closure documents are unlikely to be available for the post-2014 case files at the time of evaluation, for these case studies, the collection of data will rely primarily on visits to the national and local authorities.

### *Task 3.2: Case studies - EUSF as an expression of European solidarity*

For all 7 case studies, the contractor will assess the public image of the EU Solidarity Fund. For this purpose, the contractor could require also the support of European Commission Representations/Delegations and use the services of Europe Direct Information centres in the beneficiary countries. This sub-task will include the following:



- Media image

The contractor will analyse how the EUSF intervention appeared in the news (including national and local media) coverage. The task will cover a limited number of major printed or internet journals and other periodicals (including the internet edition of newspapers) and audio-visual media (TV, radio, press, internet).

- Awareness and perception of EUSF

The contractor will conduct a survey of a limited number of affected households in the area based on short phone interviews or site visits with the purpose of assessing the awareness and perception of the role of the EU Solidarity Fund in assisting the local authorities for emergency operations. The questionnaire for the survey for each case study will be agreed upon with the Commission. This information collected based on the interviews will complement the results of the interviews with the relevant local authorities (in Task 3.1) and will be included as a chapter in the report of the respective case study.

For each of these case studies the contractor will prepare a report with relevant annexes.

#### **Task 4: The synergies between EUSF and other relevant policy instruments in strengthening the prevention, preparedness and resilience of EU Member States and accession countries to natural disasters**

The purpose of this task is to assess the synergies between the EUSF support and other EU policy instruments in contributing to strengthened measures for the prevention and management of natural disasters in EU Member States and accession countries. Whenever relevant, the contractors will analyse also the synergies of EUSF with other international instruments.

These synergies will be analysed from two main perspectives: 1) preventive and mitigation measures planned for (and possibly implemented) by EU Member States and accession countries in the aftermath of the disaster events covered by EUSF interventions, and the complementarity and coherence of these actions with prevention measures and strategies in place; 2) the ESI and IPA Funds investments planned (and possibly implemented) for the period 2014-2020 in the areas concerned, as well as the links with other EU policy areas such as the Flood Risk Management and the EU Civil Protection Mechanism.

First, following the 2014 reform, the EUSF legislation foresees the obligation for the States receiving financial assistance from the Fund to report on national approaches for the containment of risk and management of disasters. In this regard, the EUSF amended Regulation includes the following:

- At the time of the application: the applicant is required to provide a short description on the implementation of Union legislation on disaster risk prevention and management related to the nature of the disaster. The Commission may reject a further application for financial assistance if the State is subject to infringement proceedings and the Court of Justice of the EU has delivered a final judgment that the State has failed to implement the relevant Union legislation.
- After implementation: the beneficiary State provides an implementation report including, among other issues, the following aspects: information on preventive measures (taken or planned) to limit future damages and avoid, if possible, the

recurrence of similar events, state of implementation of the relevant Union legislation, and any other information on prevention and mitigation measures related to the respective disaster.

Second, EU Member States and accession countries can allocate resources from the ESI and IPA Funds in order to finance medium and long-term investments for enhanced prevention, preparedness and resilience to natural disaster events.

With respect to strategies for the prevention and management of natural disasters, the contractor is required to identify the current status of the measures for the prevention and mitigation of similar disasters in the areas concerned for all the EUSF interventions under the scope of the amended Regulation adopted in 2014. It will also draw conclusions on the availability of evidence for the effectiveness of EUSF in strengthening the risk prevention and management approaches in the concerned EU Member States and accession countries. The analysis will cover only the EUSF interventions which are fully implemented at the time of the evaluation, and it will start with the documentation provided by the Commission (application files and Commission's assessment of the implementation of the relevant EU legislation at the time of application for EUSF support). The contractor, however, will need also to collect additional information directly from the relevant national authorities since the implementation reports for these EUSF case files are unlikely to be available at the time of the evaluation.

As regards the synergies between EUSF support and ESI and IPA Funds, the contractor will analyse the monitoring data on investments from these funds for the prevention and management of climate and non-climate related natural risks. This analysis will be based on programming and, if available, implementation data on the relevant categories of expenditure for ESI and IPA investments provided by the Commission. Furthermore, with the support of the Commission<sup>11</sup>, the contractors will analyse also the relevance of these investments for the areas affected by the disaster events covered by the EUSF interventions identified above.

Furthermore, whenever relevant, the contractor will identify and analyse also the synergies between the EUSF support and financial assistance from other international instruments provided for strengthening the capacity for prevention and management of natural disasters in the countries benefiting from EUSF support during the period 2014-2016. This analysis will be based on the information collected directly by the contractor from the relevant national authorities.

The analysis carried out for Task 4 will be included in a report.

### **Task 5: Meetings with Commission Staff and Workshop**

The contractor is expected to attend 6 meetings to be held at the Commission premises for kicking off the project and discussing the deliverables with the members of Commission staff. These meetings will be organised by the Commission according to the schedule in Table 1 below.

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<sup>11</sup> For this purpose, the Commission will consult the Managing Authorities of the relevant ESIF and IPA programmes in order to identify the planned (and possibly implemented) measures in the areas concerned by the disaster events under analysis. The information will be provided to the contractors to be embedded in the analysis.

The contractor will be asked also to assist the Commission in preparing and animating one workshop with around 20 participants, including representatives of national and/or local authorities, academic experts (identified by the literature review), officials and experts from the Commission. The workshop will focus on the following aspects: the findings of the seven case studies analysed in depth, the strengths of EUSF and its EU added value, possible shortcomings of the EUSF, synergies with other EU and international policy instruments, and opportunities for policy learning.

The workshop will be organised by the Commission and it will take place in the Commission premises in Brussels. The contractor is expected to help the Commission to structure the event, prepare background documents, and draft minutes, and to provide the analysis of the conclusions of the workshop.

### **Task 6: Synthesis and Conclusions**

The Draft Final Report will reflect the main evaluation findings on the implementation and performance of the EU Solidarity Fund during the period 2002-2016. The report will present also the role of the reformed EUSF in the framework of ESI and IPA Funds for enhancing the preparedness and resilience of EU Member States and accession countries to natural disaster events during the period 2014-2016.

The report will provide a synthetic analysis of the findings from all the previous tasks, and will be developed along a narrative which reflects the changes in the implementation and performance of the Fund before and after the 2014 reform. Furthermore, the report will draw conclusions based on the evidence collected and identify the scope for further policy learning.

The Draft Final Report must reflect the evidence collected for the evaluation of the five main criteria (effectiveness, efficiency, relevance, coherence, and EU added value) plus EU solidarity, and provide a critical assessment of the reliability of each type of evidence. Based on the experience of the evaluation, the Draft Final Report will include also a chapter on the availability and quality of the data for the evaluation of the Fund and possibilities for improving the monitoring procedures in the future, while taking into account simplification concerns.

In addition, the contractors will analyse and include also the results of the Open Public Consultation in the Draft Final Report. The feedback received through the Open Public Consultation will be provided by the Commission.<sup>12</sup>

### **3.4 Deliverables**

The contractor is expected to provide the following deliverables:

- **Deliverable 1:** one methodological report (max 50 pages plus annexes), as set out under Task 1, including the methodology that will be applied for Tasks 2-6, as well as a detailed work plan and draft templates for these tasks.  
*Deadline:* within 1.5 months after the signature of the contract.

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<sup>12</sup> The Open Public Consultation for the EUSF ex-post evaluation will be carried out by the Commission in parallel with the contract. The consultation will be published online around the 5<sup>th</sup> month of the contract, such that the feedback will be available prior to the workshop organized in Task 5.

- **Deliverable 2:** Progress reports of 5-6 pages maximum, describing the progress since the submission of the last progress report and work ahead.  
*Deadline:* every quarter (see Table below)
- **Deliverable 3:** First interim report and annexes covering Task 2.  
*Deadline:* within 3 months after the signature of the contract.
- **Deliverable 4:** Seven case studies and annexes covering Task 3.  
*Deadline:* within 6 months after the signature of the contract.
- **Deliverable 5:** One report and annexes covering Task 4.  
*Deadline:* within 8 months after the signature of the contract.
- **Deliverable 6:** Workshop and report from Task 5.  
*Deadline:* within 9 months after the signature of the contract.
- **Deliverable 7:** Draft final report and annexes from Task 6  
*Deadline:* within 10.5 months after the signature of the contract.
- **Deliverable 8:** Final report, together with an abstract of no more than 200 words and a publishable executive summary of maximum 5 pages, both in English and French. It will include also a powerpoint presentation in English summarizing the results and conclusions of the evaluation.  
*Deadline:* within 12 months after the signature of the contract.

All the different deliverables shall be submitted in electronic format, in English. The Executive Summary and the abstract of final report shall be provided in English and French. Detailed information on the format is provided in point 10.8 in the Specifications for the Competitive Multiple Framework Services Contract and point 10 of the current Terms of Reference for this specific contract.

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.

Each deliverable will be examined by the Commission (a DG REGIO-led Steering Group), which may ask for additional modifications or propose changes in order to redirect the work if necessary. Deliverables must be approved by the Commission.

The contractor is expected to attend 6 meetings to be held at the Commission premises for kicking off the project and discussing the deliverables with the members of Commission staff. These meetings will be organised by the Commission.

<b>End of...*</b>	<b>Deliverable</b>	<b>Meeting</b>
T0+0.5		M1: Kick-Off Meeting with DG REGIO
<b>T0+1.5</b>	<b>D1: Methodological report for Task 1</b>	
T0+2		M2: Meeting with the Steering Group
<b>T0+3 to T0+12</b>	<b>D2: Quarterly Progress Reports</b>	
<b>T0+3</b>	<b>D3: First interim report covering Task 2</b>	
T0+3.5		M3: Meeting with the Steering Group
<b>T0+6</b>	<b>D4: Seven case studies covering Task 3</b>	
T0+6.5		M4: Meeting with the Steering Group
<b>T0+8</b>	<b>D5: Two reports covering Tasks 4</b>	
T0+8.5		M5: Meeting with the Steering Group
<b>T0+9</b>	<b>D6: Workshop and report for Task 5</b>	
<b>T0+10.5</b>	<b>D7: Draft Final Report for Task 6</b>	
T0+11.5		M6: Meeting with the Steering Group
<b>T0+12</b>	<b>D8: Final Report</b>	

\*Expressed as T0+x months, with T0= the day of signature of the contract

### 3.5 Composition of the team

As part of the tender documentation, the team to be involved in this study 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.

In accordance with the specifications set out in the framework contract, the team should include members with an expertise in the areas covered by the ESI Funds. At least one member of the team should have relevant expert knowledge on international relief mechanisms for disaster events.

### 3.6 Duration

The execution of the tasks shall not exceed 12 months starting from the day of the signature of the contract by both parties.

## 4. AWARD CRITERIA

The Specific Contract will be awarded to the tender that is the **most economically advantageous**. This will be determined in the light of the price and the quality of the tender.

The tenders will be ranked with the following formula so as to determine the most economically advantageous bids.

- **Weighting for quality: 50**
- **Weighting for price: 50**

The successful tenderer will be the tenderer with the lowest ratio of total cost to the quality mark achieved (cost/points).

The quality will be determined on the basis of the three award quality criteria below.

- quality of the methodology proposed to address each task (35 points)
- organisation proposed to respond in terms of timing and quality to the request for required tasks (35 points)
- the composition of the team proposed to respond to the overall scope of the contract (30 points)

## **5. BUDGET**

The maximum amount of the contract is EUR 300 000.

## **6. CONTENT AND PRESENTATION OF BIDS**

### **6.1 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.

### **6.2 Financial offer**

Prices for Specific Contracts will be presented as a lump-sum on the basis of the expert prices and fixed travel and subsistence costs established according to the price schedules annexed to the Framework Contract and the clarifications on financial offers provided by the letter ARES(2014)3738471 of 11.11.2014. No separate reimbursable expenses will be accepted.

The financial offer must be submitted in the template provided in annex.

## **7. FORMAT OF THE SPECIFIC CONTRACT**

The Specific Contract will be drawn up in accordance with the standard format as in the Framework Contract). The contract will come into force the day of its signature by the last contracting authorities. The breakdown of the prices, the Specific Terms of Reference as well as the offer, form an integral part of the Specific Contract. Any expense incurred by the Contractor before the date of signature by the last contracting party is not eligible for funding.

## **8. ASSIGNMENT IMPLEMENTATION**

The Contractor, who is notified that his offer is accepted in the form of a Specific Contract, is responsible for all administration in relation to the assignment. He must ensure that all logistic aspects of the assignment are correctly carried out. The Contractor is also responsible for all administrative aspects such as contracting the experts, provision of insurance etc. Ensuring the quality of the assignment is one of the key responsibilities of the Contractor as he is fully responsible for the quality of the reports or/and other outputs required. These documents will be delivered physically by and under the responsibility of the Contractor. In the case of a consortium, quality control is the ultimate responsibility of the leading partner.

All documents and information provided for the execution of this contract, as well as the results of this contract, must be kept confidential, except if agreed otherwise with the Commission (Cf. Art II.5 of the Framework Service Contract).

## **9. MEETINGS WITH THE COMMISSION**

A kick-off meeting will be organised between the Contractor and the Commission at the early stage of the each project implementation. In addition, there will be further five meetings following the submission of each deliverable. See point 3.4 in regard to timing of meetings.

The participation of the Contract Manager will be required in any of the meetings organised. The meetings will take place in Brussels at Commission premises. Video conferences could also be organised.

The costs of managing the contract by the Contractor, as well as the travel costs related to all the meetings with the Commission will be carried out with no additional charge and are understood to be incorporated in the offer.

## **10. PUBLICATION AND DELIVERABLES**

All deliverables and their timing are specified in Section 3.4 above. Each deliverable will be examined by the Commission which may ask for additional modifications or propose changes in order to redirect the work if necessary. Deliverables must be approved by the Commission.

Rights concerning the deliverables (reports, studies, impact assessments) foreseen and those relating to their reproduction and publication will remain property of the European Commission. No document based in whole or in part upon the work performed under the contract resulting from this invitation to tender may be published except with the prior formal written approval of the European Commission.

Please note that all studies produced for the European Commission 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<sup>13</sup>.

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 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/>

The final reports as well as the draft and interim report(s) shall be submitted in English.

An electronic version of all reports (including draft/interim versions) will be required both in Word and PDF format.

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<sup>13</sup> 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](mailto:comm-visual-identity@ec.europa.eu)

## 10.1 Final Study Report

The final study report shall include:

- an abstract of no more than 200 words and an executive summary of maximum 5 pages, in English and French;
- 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.

## 10.2 Publishable executive summary

The publishable executive summary shall be provided in English and French 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.

## 10.3 Graphic requirements

For graphic requirements please refer to the template published with these specifications on the Inforegio website. 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.eu](mailto:comm-visual-identity@ec.europa.eu).

## 11. QUALITY ASSESSMENT OF SPECIFIC CONTRACTS

Once the work has been concluded and the service delivered, the Contractor will submit to the Commission a "proof of delivery", which will then be signed by the Commission as proof of receipt of each product delivered.

The quality of outputs of each specific contract will be subject to a written quality assessment according to the grid below. The grid may be adapted in accordance with the Commission's evaluation standards.



Quality indicators for the evaluation of the delivered work:

- Understanding of the requirements for the deliverable (40%)
- Completeness of the deliverables (40%)
- Respect of deadlines (20%).

#### Underperformance and reduction of payments

The quality of the output of the Specific Contract will be assessed as a function of the above quality indicators, up to a maximum of 100 points. If it scores less than 60% based on these quality indicators, it will be rejected for underperformance. In this case, the following will apply:

- **Step 1:** the Commission provides an overview of the failings and a reasonable deadline for remedy and notifies the Contractor accordingly.
- **Step 2:** if no satisfactory remedy is found, within the deadline set by the Commission (satisfactory is defined by at least 70% based on the quality indicators listed above), the Commission will notify the Contractor of a reduction of payments of *up to* 100%, proportional to the scale of the failure, as follows:
  - if the quality score is between 0% to 20%, a reduction of 100% will apply;
  - if the quality score is between 21% to 40%, a reduction of 70% will apply;
  - if the quality score is between 41% and 50%, a reduction of 50% will apply;
  - if the quality score is between 51% and 60%, a reduction of 40% will apply;

## 12. TERMS OF PAYMENTS

Payments shall be done following the payment terms stipulated in Article 1.4. of the framework contract.

- The **first interim payment** is equal to 30% of the total price referred to in the specific contract. Invoices for the first interim payment shall be accompanied by a methodological report (**D1**). The contractor shall have 10 days in which to submit additional information or corrections, a new methodological report or other documents if it is required by the contracting authority.

- The contractor shall submit an invoice for a **second payment** equal to 20% of the total price referred to in the specific contract. Invoices for interim payment shall be accompanied by the report for Task 2 and the seven case studies in Task 3 (**D3 and D4**). The contracting authority shall make the payment within 60 days from receipt of the invoice. The contractor shall have 10 days in which to submit additional information or corrections, or other documents if it is required by the contracting authority.

- The contractor shall submit an invoice for a **third payment** equal to 20% of the total price referred to in the specific contract. Invoices for interim payment shall be accompanied by the two reports covering Tasks 4 (**D5**). The contracting authority shall make the payment within 60 days from receipt of the invoice. The contractor shall have 10 days in which to submit additional information or corrections, or other documents if it is required by the contracting authority.

- The **balance payment** invoice shall be accompanied by the **final report** and its presentation in accordance with the relevant specific contract and statements of reimbursable expenses. The contracting authority shall make the payment within 60 days from receipt of the invoice. The contractor shall have 10 days in which to submit additional information or corrections, a new final report or other documents if it is required by the contracting authority.

## Annex – Templates for the submission of financial offer

Lots 1 to 3.

	Junior Expert	Senior Expert	Contract Manager	Administrative assistant	Mission and other direct costs	TOTAL
<i>Number of working days</i>	.....	.....	.....	.....		
<i>Fees (€)</i>	... €	... €	... €	... €		... €
<i>Number of missions to Brussels<sup>(1)</sup></i>					... missions	
<i>Travel cost to Brussels</i>					... €	
<i>Daily and accommodation allowance</i>					.... days	
					... €	
<i>Total missions cost</i>						... €
<b><i>Total cost</i></b>						... €

<sup>(1)</sup> The number of missions indicated should be the sum of the number of staff multiplies by the number of meetings proposed (e.g.: 3 people coming on 5 meetings in Brussels + 2 people coming on 2 meetings → 19 missions).