



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
REGIONAL POLICY
Policy development
Evaluation

29.07.2010*006846
Brussels,
REGIO.C.4./LP D(2010) 680195

Dear Sir/Madam,

Subject: Call for tenders by open procedure n° 2010.CE.16.0.AT.054 – Study on the contribution of local development in delivering interventions co-financed by the European Regional Development Fund (ERDF) in the periods 2000-06 and 2007-13.

1. I enclose the call for tenders relating to the above mentioned contract.
2. If you are interested in this contract, you should submit a tender in triplicate in one of the official languages of the European Union.
3. Bids must be submitted
 - a) either by post or by courier not later than **24/09/2010**, in which case the evidence of the date of dispatch shall be constituted by the postmark or the date of the deposit slip, to the following address:

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

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

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

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

not later than the end of working hours on **24/09/2010**. In this case, a receipt must be obtained as proof of submission, signed and dated by the official in the Commission's central mail department who took delivery. The department is open from 08.00 to 17.00 Monday to Thursday, and from 8.00 to 16.00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

4. Tenders must be placed inside two sealed envelopes. The inner envelope, addressed to the department indicated in the invitation to tender, should be marked as follows: **"Invitation to tender n° 2010.CE.16.0.AT.054 - not to be opened by the internal mail department"**. If self-adhesive envelopes are used, they must be sealed with adhesive tape and the sender must sign across this tape.

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

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

Before the final date for submission of tenders:

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

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

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

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

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

Tendering documents are available on the website of Directorate General for Regional Policy at the following address:

http://ec.europa.eu/regional_policy/tender/tender_en.htm (including any additional information referred to above).

Potential tenderers are requested to regularly verify the internet website.

After the opening of tenders

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

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

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

11. You will be informed whether or not your tender has been accepted.
12. If your offer includes subcontracting, it is recommended that contractual arrangements with subcontractors include mediation as a method of dispute resolution.
13. If processing your reply to the invitation to tender involves the recording and processing of personal data (such as your name, address and CV), such data will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions and any personal data requested are required to evaluate your tender in accordance with the specifications of the invitation to tender and will be processed solely for that purpose by Ms Veronica Gaffey, Head of Evaluation Unit, Directorate General for Regional Policy, e-mail: regio-eval@ec.europa.eu .

Details concerning processing of your personal data are available on the privacy statement at the page http://ec.europa.eu/dataprotectionofficer/privacystatement_publicprocurement_en.pdf.

14. You are informed that for the purposes of safeguarding the financial interest of the Union, your personal data may be transferred to internal audit services, to the Court of Auditors, to the Financial Irregularities Panel and/or to the European Anti-Fraud Office (OLAF).

Data of economic operators which are in one of the situations referred to in Articles 93, 94, 96(1)(b) and 96(2)(a) of the Financial Regulation¹ may be included in a central database and communicated to the designated persons of the Commission, other institutions, agencies, authorities and bodies mentioned in Article 95(1) and (2) of the Financial Regulation. This refers as well to the persons with powers of representation, decision making or control over the said economic operators. Any party entered into the database has the right to be informed of the data concerning it, up on request to the accounting officer of the Commission.



Natalija Kazlauskienė
Director

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

TENDER SPECIFICATIONS

1. TITLE OF THE CONTRACT

Study on the contribution of local development in delivering interventions co-financed by the European Regional Development Fund (ERDF) in the periods 2000-06 and 2007-13.

2. OVERALL PURPOSE AND CONTEXT OF THIS EVALUATION

The European Commission, Directorate-General for Regional Policy, wishes to undertake an analysis of the role of the local development approach² in delivering interventions co-financed by the European Regional Development Fund (ERDF) in the period 2000-06 and 2007-13. The overall purpose is to establish the contribution of local development to the effective implementation of Cohesion Policy.

The legal bases for Cohesion Policy provide some references to local development. Art. 9 (i) of the General Regulation for the 2000-06 programming period³ explains that the implementation and management of part of the assistance may be entrusted to one or more approved intermediaries, including local authorities, regional development bodies or non-governmental organisations, in order to assist local development initiatives. Moreover Art. 4 (1) of Regulation (EC) No 1783/1999⁴ provides that "*the ERDF may also contribute to financing [...] pilot projects to identify or test new regional and local development solutions with a view to their inclusion in assistance after demonstration of their feasibility; exchanges of experience relating to innovation with the aim of turning to account and transferring experience gained in the regional or local development field*".

Concerning the 2007-13 programming period, references to local development almost exclusively cover interventions in urban areas. Art. 37 (6) (a) of the General Regulation⁵ allows for the sub-delegation of urban development interventions to the level of urban authorities, possibly by means of a global grant. Moreover the Preamble of Regulation (EC) No 1080/2006⁶ provides that "*building on the experience and strengths of the URBAN Community initiative [...] sustainable urban development should be reinforced by fully integrating measures in that field into the operational programmes co-financed by the ERDF, paying particular attention to local development and employment*

² For the purpose of this study the local development approach is defined as a "*bottom-up methodology implemented at sub regional level that is: strategic and multidimensional, based on local partnerships, and where networking and capacity building are important building blocks*" [Source: European Commission (2009), *Territorial cohesion: unleashing the territorial potential*, Background document]. The URBAN and LEADER Community Initiatives are examples of such instruments.

³ Council Regulation (EC) No 1260/1999 of 21 June 1999 laying down general provisions on the Structural Funds, *OJL 161/1*.

⁴ Regulation (EC) No 1783/1999 of the European Parliament and of the Council of 12 July 1999 on the European Regional Development Fund, *OJL 213/1*.

⁵ 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 and repealing Regulation (EC) No 1260/1999, *OJL 210/25*.

⁶ Regulation (EC) No 1080/2006 of the European Parliament and of the Council of 5 July 2006 on the European Regional Development Fund and repealing Regulation (EC) No 1783/1999, *OJL 210/1*.

initiatives and their potential for innovation". In those cases, as stated by Art. 8, "ERDF may, where appropriate, support the development of participative, integrated and sustainable strategies to tackle high concentration of economic, environmental and social problems affecting urban areas. These strategies shall promote sustainable urban development through several activities such as: strengthening economic growth, the rehabilitation of the physical environment, brown field redevelopment, the preservation and development of natural and cultural heritage, the promotion of entrepreneurship, local employment and community development, and the provision of services to the population taking account of changing demographic structures".

In line with the General Regulation, the Community Strategic Guidelines 2007-13⁷ refer mainly to the urban development. They suggest the development of high-quality partnerships and recognise the need for an integrated approach to be taken both in urban and rural areas.

Specific context of this evaluation

The adoption of the Lisbon Treaty with its new territorial cohesion objective and the launching of the Europe 2020 strategy which recognises the important role of sub-national level authorities, have provided a new impetus to the discussion on area-based interventions.

The objectives of Cohesion Policy are not confined to economic development but encompass the maintenance and the strengthening of social and territorial cohesion as well. The ex post evaluation of Cohesion Policy in 2000-06⁸ found that territorial policy⁹ accounted for 21% of the allocation of ERDF funding in Objective 1 regions and for 31% in Objective 2 where the substantial proportion of funding for territorial development went to projects with a strong local focus¹⁰. Moreover, as pointed out in the ex post evaluation of the URBAN Community Initiative¹¹, some EUR 754 million of EU funding was committed to 70 URBAN II programmes across fourteen Member States, covering a combined population of 2.2 million. In programme areas, URBAN II stimulated new regeneration approaches and it influenced the way regeneration organisations approached urban decline issues. It promoted and encouraged better methods in terms of integration, multi-agency working and community consultation.

⁷ Council Decision of 6 October 2006 on Community strategic guidelines on cohesion (2006/702/EC), OJL 291/11.

⁸ Applica (2010), *Ex Post Evaluation of Cohesion Policy programmes 2000-06 co-financed by the European Regional Development Fund in Objective 1 and 2 regions*, Synthesis Report, European Commission.

⁹ In this context, territorial policy is defined as the policy that aims to promote territorial development and balance within regions. It comprises a mix of different types of measure, including support for the development of rural areas, planning and rehabilitation (the clean-up and renovation of urban and rural areas), social infrastructure and tourism.

¹⁰ The importance of such projects both in terms of the funding allocated to them and their effects on local development was not perceived at the beginning of the ex post evaluation but emerged strongly during the course of it.

¹¹ Ecotec (2010), *Ex Post Evaluation of Cohesion Policy programmes 2000-06: the URBAN Community Initiative*, European Commission

In the current programming period, about EUR 51 billion have been allocated to categories of expenditure relevant for territorial policy¹². They account for 15% of the allocation of ERDF financing for Convergence regions and 11% for Regional Competitiveness and Employment.

In the discussion on the future of Cohesion Policy increasing importance is devoted to this issue. The independent report "An agenda for a reformed cohesion policy"¹³ analyses the economic rationale and motivation of an EU place-based development policy¹⁴ and concludes that there is a strong case for the EU to allocate a large share of its budget to the provision of European public goods through a place-based strategy aimed at both core economic and social objectives. The potential linkage between territorial cohesion and local development approach is also emphasized in the study "Cohesion support for Local Development: best practices and future policy options" that considers local development as "*one of the major operational tools in the hands of the EU Cohesion Policy to offer new opportunities for the most remote areas and groups*"¹⁵.

So far, little analysis has been done on the contribution of local development to the effective delivery of Cohesion Policy and of territorial policy interventions in particular. Further research is needed to learn more about local development interventions implemented on the ground and their contribution to promoting sustainable socio-economic development, better living conditions and territorial balance within regions.

3. SUBJECT OF CONTRACT

The objective of this study is to assess the contribution of local development to the effective delivery of Cohesion Policy and to provide lessons for the future. The fundamental questions to be addressed are:

- What are the effects of local development interventions in terms of socio-economic development, better living conditions and territorial balance within regions?
- To what extent can the local development approach contribute to the effective delivery of Cohesion Policy? What are the potentials and limits of the approach?

¹² Urban and rural regeneration (Integrated projects for urban and rural regeneration); Environmental protection and risk prevention (Rehabilitation of industrial sites and contaminated land, Promotion of biodiversity and nature protection, Promotion of clean urban transport); Tourism (Promotion of natural assets, Protection and development of natural heritage, Other assistance to improve tourist services); Culture (Protection and preservation of the cultural heritage, Development of cultural infrastructure, Other assistance to improve cultural services); Investment in social infrastructure (Education infrastructure, Health infrastructure, Childcare infrastructure, Housing infrastructure, Other social infrastructure).

¹³ Fabrizio Barca (2009), *An agenda for a reformed cohesion policy: a place-based approach to meeting European Union challenges and expectations*, Independent Report.

¹⁴ A place-based policy is a long-term strategy aimed at tackling persistent underutilisation of potential and reducing persistent social exclusion in specific places through external interventions and multilevel governance. It promotes the supply of integrated goods and services tailored to contexts, and it triggers institutional changes. In a place-based policy, public interventions rely on local knowledge and are verifiable and submitted to scrutiny, while linkages among places are taken into account.

¹⁵ Adetef (2010), *Cohesion support for Local Development: Best practice and future policy options*, Final report, p. 26, European Commission.

The study will cover interventions co-financed by the European Regional Development Fund (ERDF) in the 2000-2006 and 2007-13 programming periods.

3.1. Tasks

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

Task 1: Literature review

The contractor will review and take stock of existing literature to draw up some key features of the theoretical approach to be used for the rest of the study. The following issues will be analysed:

- Most frequently used local development approaches and their definitions.
- Strengths and weaknesses of each approach
- The institutional capacity required at different governance levels for an effective implementation of local development approaches
- Literature on monitoring and evaluation, including:
 - (1) Contribution of involving local actors in monitoring and evaluation systems at programme level
 - (2) Tools and methods to evaluate local development initiatives
- Available evidence on the added value of local development to Cohesion Policy and, in particular, on the contribution of local development in improving its effectiveness and visibility.

The tender should include a preliminary list of literature to be reviewed under this Task.

Task 2: Case studies "What happens on the ground?"

The contractor will carry out analysis to assess the contribution of the local development approach to the effectiveness of Cohesion Policy. Particular attention will be devoted to evolutions over time and to context-related issues.

Subtask 2.1: Overall review

The contractor will analyse how the provisions of Cohesion Policy for the 2007-2013 programming period are translated in to action by carrying out a review of local development practices and initiatives implemented by the 16 Member States which allocated the largest absolute amounts of ERDF resources to territorial policy interventions¹⁶.

¹⁶ BG, CZ, DE, EE, ES, EL, FR, HU, IT, LT, LV, PL, PT, RO, SK, UK.

The contractor will review 38 Operational Programmes¹⁷ in order to:

- assess whether or not they have employed the local development approach as a delivery mechanism for territorial interventions and establish the amount of resources allocated;
- assess whether or not they have employed the local development approach as a delivery mechanism for other areas of interventions and establish the amount of resources allocated;
- review the information on local development approaches implemented on the ground (in particular, assess whether Operational Programmes employed "sub-delegation" under Art. 37 of the General Regulation);
- identify 10 interesting regional cases covering a variety of contexts and practices¹⁸ to be considered by Commission services in deciding the definitive list of cases for examination under subtask 2.2 (on the basis of information available, the contractor will prepare a 1 page summary sheet for each case, covering: a short description of the approach; a justification for the choices made; the description of evaluation methods to be used for the case study; the analysis of data available and needed; the identification of contact points. The contractor will also describe the overall methodological approach for case study and mini-case study analysis including templates, interview guides, questionnaires, etc.).

Subtask 2.2: Regional case studies

This is the core of the evaluation. The contractor will carry out in-depth analysis of 5 cases across EU27 at NUTS2 level covering interventions co-financed by ERDF in the 2000-2006 and 2007-13 programming periods.

The tenderers should, based on their knowledge and experience, propose an interesting regional case for examination.

This subtask will be based on desk research, interviews with key participants in the programming process (managers, administrative representatives, local authorities, project developers, beneficiaries, applicants, evaluators, local press and media representatives, etc.), stakeholder workshops, and other approaches, to be specified in the tender. The Commission reserves itself the right to participate on its own costs in selected visits and contacts with regions.

For each region, the contractor will provide a clear description of the background (institutional and policy context) and of the main features of the local development approach implemented:

¹⁷ The programmes (maximum 3 per Member State) that allocated the largest absolute amounts of ERDF resources to territorial policy interventions in each of the 16 Member States. For more detailed information, see Annex 1.

¹⁸ The identification of regional cases need not be limited to the 16 Member States covered by subtask 2.1 and can include cases identified in the literature review (Task 1).

- the nature of development strategies and rationale (main objective: economic /social/territorial cohesion; integrated/sectoral approach; supporting programmes and funding sources; vertical and horizontal integration of policies; coordination with other European and national funds and other local strategy building initiatives; role of Jessica for funding urban projects...);
- the procedure to select local areas (method by which sub-regional areas were chosen; functional/geographical distribution of funds; exclusion, selection and award criteria: size of areas eligible for local development interventions and number of inhabitants involved, geographical coverage, role of partnership, role of institutional capacity to manage local strategies...);
- the nature of the actions undertaken (main objectives; areas of intervention; financial allocation; reported achievements...);
- operational structures and procedures (key actors and tasks or elements of process; horizontal and vertical distribution of responsibilities; role of regional, national and European institutions in designing, managing and evaluating local development plans; degree of local partnership and participation; nature of operational structures - public, private, public/private - and their role in project selection; rules to ensure sound financial management; incidence of administrative costs...);
- the role of capacity building actions, animation and networking, if any;
- any changes in approach between the two programming periods.

The overall aim of the case studies will be to give comprehensive answers to the following questions:

- How well have the local plans been managed in terms such as project selection, project support, monitoring, evaluation, communication/publicity, etc? Have administrative costs been reasonable and proportional? What have been the main factors underlying the performance of the management system? What are the main strengths and weakness of the approach? (In answering these questions the contractor will analyse the nature of the implementing bodies - public, private, public/private - and whether and how it has influenced the overall performance of the management system)
- To what extent has the local development approach contributed to the improvement of local economic and social conditions? Has it helped to tailor actions to local needs? To what extent, and how, has it exploited synergies between different policies and programmes at local level?
- What have been the main effects of local development practices on socio-economic development and on territorial balance within the region? To what extent, and how, have regional strategies and local development plans been combined to contribute to territorial development? In particular, has the local development approach contributed to overcome underlying problems of fragile areas?
- Has local development improved the capacities of local communities to plan and implement development strategies? How successful have local development been in

building the capacity of local partners over the two programming periods? What factors underlie success or failure? (The answer to these questions will focus on issues such as: local mobilisation, active citizenship, information and communication, capacity building actions, animation, networking and exchange of good practices...)

- To what extent has the management and implementation system of local development practices had spill-over effects on the local institutional and administrative culture? Has exchange of good practices been promoted?
- To what extent are the impacts of local development likely to prove sustainable beyond the end of the programming period? What are the main factors driving this?

The tenderer should identify and propose any other relevant issues for analysis.

In answering the evaluation questions, the contractor will take account of the dynamic nature of the learning process through the two programming periods (2000-06 and 2007-13). Responses to the questions must be supported by sound evidence.

From the regional case studies, 5 examples of good practice (either a project or an approach) will be presented and analysed in an 8-10 pages "mini-case study" according to the format defined by the Commission. These mini-case studies should be suitable for publication on the DG REGIO "Regions for Economic Change" database of good practices¹⁹.

One pilot case study analysis and the related mini-case study will be carried out before the others. The pilot will be presented in the second interim report to the Commission. The remaining case studies and mini-case studies and the final version of the pilots will be presented to the Commission in the third interim report.

Task 3: Conclusions and lessons for the future

On the basis of the work done under Task 1 and 2, the contractor will write a synthesis report of a maximum of 100 pages. The report will draw together findings, conclusions and lessons learnt from all tasks of this study and will provide:

- a common and clear definition of local development;
- operational recommendations on
 - (1) how and when local development could be used to deliver Cohesion Policy;
 - (2) how to monitor and evaluate the effects of local development interventions on economic, social and territorial cohesion at regional and national level.

¹⁹ See http://ec.europa.eu/regional_policy/projects/practices/index_en.cfm.

3.2. Methodology

The study will require a specific methodological approach which should be explained in the tender documentation. Each of the Tasks of the evaluation will require a specific methodological approach. Overall the main methodological tools will be:

- Desk research - including evaluations undertaken for the Commission, programme documentations, sub-regional development plans, quantitative and qualitative information reported via various sources, e.g. studies, media...
- Case studies (the Commission draws the attention of tenderers to the relevance of this methodology for the evaluation. The case study should "tell the story" of the region in relation to the policy theme of the evaluation. Context dependent information and interrelationships between the various aspects should be analysed in detailed to learn about how policy is implemented and works in practice in the particular region being examined. Analysis across the case studies should shed light on the findings generating from the previous tasks and should provide evidence-based answers to the main questions of the evaluation²⁰. Drafting good quality case studies can prove to be a challenging task. Tenderers should specifically address this aspect in their offers and make practical suggestions)
- Interviews with policy makers and stakeholders, including regional and local level administration, beneficiaries, members of the partnership (the tenderer will specify the indicative number and type of people to be interviewed and how)
- Focus Groups
- Workshops (at least one stakeholder workshop for each region examined under subtask 2.2)
- Other methodological approaches as appropriate (to be specified in the tender documentation).

For each task, the tenderers will clearly identify the methods they plan to use and cite the relevant literature linked to them in order to demonstrate in each case that the methodology proposed is in line with the state of the art. The tender documents should include the proposed template for case study analysis. The methodology and the template will be refined and developed by the contractor in the light of the results of task 1 and of the pilot case study.

3.3. Time schedule and Deliverables

The study will be executed within 12 months from the signature by the last contracting party. The deliverables and their timing are as follows.

²⁰ For more detailed information see the paper "Case studies in the framework of ex post evaluation, 2000-2006: expectations and experiences of the DG for Regional policy" presented at the Conference "New Methods for Cohesion Policy Evaluation: Promoting Accountability and Learning", Warsaw, 30 November / 1 December 2009.
http://ec.europa.eu/regional_policy/conferences/evaluation2009/index_en.htm

Calendar for reports and meetings

End Month	Output	Meeting
0	/	Kick-Off Meeting with DG REGIO
1	Inception Report	Meeting with Steering Group
3	First Interim report	Meeting with Steering Group
4	Second Interim Report	/
9	Third Interim Report	Meeting with Steering Group
11	Draft Final Report	Meeting with Steering Group
12	Final Report	/

Deliverables

The deliverables of this study will be:

- **Deliverable 1: Inception Report** (focussing on methods and organisation) covering all tasks.
Deadline: within one month after the signature of the contract.
- **Deliverable 2: Progress Reports** (2 pages maximum).
Deadline: every month, except when another deliverable is due.
- **Deliverable 3: First Interim Report** consisting of Tasks 1 and 2.1.
Deadline: within three months after the signature of the contract.
- **Deliverable 4: Second Interim Report** consisting of Task 2.2 pilots: a pilot regional case study and a pilot mini-case study.
Deadline: within four months after the signature of the contract.
- **Deliverable 5: Third Interim Report** consisting of Task 2.2.
Deadline: within nine months after the signature of the contract.
- **Deliverable 6: Draft Final Report**, consisting of Task 3 and drawing together all the findings of the study, i.e., Tasks 1-2 (100 pages maximum).
Deadline: within 11 months after the signature of the contract.
- **Deliverable 7: Final Report.**
Deadline: within 12 months after the signature of the contract.
- **Deliverable 8: three presentations** at meetings in Brussels of the results of the evaluation to the Member States and the Commission services.
Deadline: the timetable for the presentations will be agreed during the course of the contract.

A hard copy and an electronic version of each 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. The Final Report will have an executive summary in English, French and German.

In addition to meetings on each of the Reports, the contractor should make provisions for the presentation of the results of the study to the Member States and the Commission services (three meetings in Brussels).

The quality of the evaluation will be assessed by the Commission services using the quality criteria from the GUIDE to the evaluation of socio-economic development.²¹ The assessment of the quality will be published by the Commission.

3.4. Organisation of the study

There will be a single contract with the Directorate General for Regional Policy for this study. As part of the tender documentation, the tenderers should identify the members of the core team (experts responsible for tasks such as: horizontal tasks, support and coordination tasks of regional teams, report editing tasks, quality assurance tasks...) and of each regional team to be involved (experts responsible mainly for carrying out Task 2, with some flexibility in this depending on the regions finally selected). They should describe their skills and qualifications, quantify the input of each member of the team in terms of days and explain the distribution of tasks between the different evaluators involved. The tenderers have to prove that the teams have the capacity to work in the different fields and languages needed.

The Directorate General for Regional Policy will establish a steering group representative of the relevant Directorates of the Directorate General as well as other interested Directorates General. The contractor will provide documentation for and attend four meetings of the steering group. It is anticipated that the meetings will take place in order to discuss the inception report, the interim reports and the final report. In addition, the contractor should make provision to attend a kick-off meeting to be held in the offices of DG REGIO. The contractor will be expected to attend up to 4 progress meetings with the Evaluation Unit of DG REGIO reviewing the progress of the study and resolving any problems. These meetings will be arranged according to needs arising.

The contractor in consultation with DG REGIO will identify a maximum of 3 external experts in the fields concerned by the study who will provide additional expert input

²¹ See http://ec.europa.eu/regional_policy/sources/docgener/evaluation/evalsed/index_en.htm.

(written comments on major deliverables and oral comments in meetings) to the study. The tender should include the proposal and the cost of 3 experts attending 3 meetings in Brussels during the course of the study.

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

The Commission will provide most of the following documentation or access to: Operational Programmes, latest annual implementation reports or final reports, 2000-06 mid-term evaluations and their updating, 2007-13 ex ante evaluations.

4. PARTICIPATION IN THE TENDERING PROCEDURE

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

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

As a rule subcontracting is allowed.

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

5. DOCUMENTATION FOR TENDERERS

None.

6. VISITS TO PREMISES OR BRIEFING

Not applicable.

7. VARIANTS

Not authorised.

8. VOLUME OF CONTRACT

EUR 250,000 maximum (lump sum, including fees, travel expenses and other costs).

9. PRICE

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

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

10. TERMS OF PAYMENT

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

Payments under the contract shall be made as follows:

- **A first interim payment** equal to 30 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the Inception Report as specified above.
- **A second interim payment** equal to 20 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the 1st Interim Report as specified above.
- **A third interim payment** equal to 30 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the 3rd Interim Report as specified above.

- **Payment of the balance** equal to 20 % of the total amount within 30 days of the date on which a valid request for payment is registered following approval by the Commission of the Final report and the previous deliverables, and the organisation of the report's presentations.

11. CONTRACTUAL TERMS AND GUARANTEES

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

Guarantee: Not applicable

12. CRITERIA

Exclusion criteria

A. Exclusion from participation in the procedure:

Tenderers are excluded from participating in a procedure if

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

Evidence:

1. Tenderers shall provide *a declaration²² on their honour*, duly signed and dated, stating that they are not in one of the situations described above.
2. The tenderer to whom the contract is to be awarded shall provide, within 10 days preceding the signature of the contract, the evidence referred to in the following paragraph, confirming the declaration referred to in the previous paragraph.
3. The contracting authority will accept, as satisfactory evidence that the tenderer to whom the contract is to be awarded is not in one of the situations described in points a), b) or e), an extract from the judicial record or, failing that, an equivalent document issued by a judicial or administrative authority in the country of origin or provenance, showing that those requirements are satisfied.

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

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

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

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

B. Exclusion from award of the contract:

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

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

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

²² The model declaration on honour published with this call covers all exclusion criteria

- any former European officials, contract staff, temporary staff or auxiliary staff who have worked for the European Union in the last three years preceding this call for tenders;
- any European officials on leave;
- any former agents on secondment within the European institutions having worked to the European Union during three years preceding this call for tender;
- any former trainees who have completed a placement at the EC during the year preceding this call for tenders.

Tenderers are also asked to declare:

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

Evidence:

The contracting authority will accept, as satisfactory evidence that the tenderer is not in one of the situations described in points B. a) and b), a **declaration²³ on their honour** signed by the tenderer. However, the Commission reserves the right to verify the information.

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

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

²³ The model declaration on honour published with this call covers all exclusion criteria.

Evidence:

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

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

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

Selection criteria

Legal position – means of proof required

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

Economic and financial capacity – means of proof required

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

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

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

Technical and professional capacity – means of proof required

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

- The theory and practice of socio-economic analysis and evaluation;
- Knowledge of fundamental features of Cohesion Policy;

- The drafting and presentation of analytical reports;
- Capacity to produce good quality texts in English;
- Planning and carrying out of case studies analysis.

Proof of the above may be furnished by means of:

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

Award criteria

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

The quality of the tender will be assessed as a function of the following criteria:

- Demonstration of an understanding of the Terms of Reference and appropriately expanding it to the tasks (20%);
- Appropriateness of the methodology [method for selecting regions, case study analysis, desk research, methods for analysing data from disparate sources...] (50 %);
- Quality of planning of human resources and work organisation (30 %).

13. TENDERS

General comments

Tenderers must include in their replies

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

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

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

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

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

14. OPENING OF TENDERS

Tenders will be opened **30/09/2010** at **9.30 am** at **CSM1 2/20**, DG Regional Policy, rue Père de Deken 23, 1040 Brussels. Tenderers may be present at the opening of tenders. Each tenderer may take part or send a representative.

Annexes to the specifications :

1. List of Operational Programmes
2. Bibliography
3. Draft Contract

LIST OF OPERATIONAL PROGRAMMES

to be analysed under subtask 2.1

	AMOUNT ALLOCATED to territorial policy interventions ²⁴	OPERATIONAL PROGRAMMES		AMOUNT ALLOCATED to territorial policy interventions
Polska	8.402.301.148	2007PL161PO002	Program Operacyjny Infrastruktura i Środowisko	3.271.902.063
		2007PL161PO003	Program Operacyjny Rozwój Polski Wschodniej 2007-2013	615.067.351
		2007PL161PO019	Regionalny Program Operacyjny Województwa Śląskiego	565.648.495
Magyarország	6.261.438.947	2007HU161PO007	Operational Programme for Transport	1.558.804.069
		2007HU161PO008	Operational Programme for Social Infrastructure	1.300.884.124
		2007HU162PO001	Operational Programme for Central Hungary	654.344.000
Italia	4.779.227.023	2007IT161PO011	Por Sicilia FESR	1.022.256.657
		2007IT161PO009	Por Campania FESR	1.000.000.000
		2007IT161PO010	Programma Operativo FESR Puglia 2007-2013	698.750.000
Ceska Republika	4.547.978.560	2007CZ161PO006	OP Životní prostředí	898.123.262
		2007CZ16UPO002	Integrovaný operační program	825.271.311
		2007CZ161PO008	ROP NUTS II Severozápad	455.579.084
España	3.753.585.278	2007ES161PO008	Programa Operativo FEDER de Andalucía	1.482.466.640
		2007ES161PO006	Programa Operativo FEDER de Extremadura	432.303.458
		2007ES161PO005	Programa Operativo FEDER de Galicia	407.110.640
Ellada	3.618.763.927	2007GR161PO008	Μακεδονία - Θράκη	1.100.450.000
		2007GR161PO006	Αττική	668.560.000
		2007GR161PO007	Δυτική Ελλάδα - Πελοπόννησος - Ιόνιοι Νήσοι	405.911.927
Portugal	3.009.135.497	2007PT161PO002	PO Regional do Norte 2007-2013	884.971.750
		2007PT16UPO001	PO Temático Valorização do Território 2007-2013	844.000.000
		2007PT161PO003	PO Regional do Centro 2007-2013	521.810.215
Deutschland	2.555.044.924	2007DE161PO004	Operationelles Programm EFRE Sachsen 2007-2013	453.400.904
		2007DE161PO007	Operationelles Programm EFRE Sachsen-Anhalt 2007-2013	357.670.898
		2007DE162PO004	Operationelles Programm EFRE Berlin 2007-2013	253.758.000

²⁴ Categories of expenditure: 50, 51, 52, 55, 56, 57, 58, 59, 60, 61, 75, 76, 77, 78, 79.

România	2.503.451.968	2007RO161PO001	Regional Operational Programme	2.190.081.068
		2007RO161PO004	Sectoral Operational Programme Environment	313.370.900
Slovenska Republica	1.878.782.661	2007SK161PO003	Regional Operational Programme	1.059.400.000
		2007SK161PO005	Operational Programme Health	242.175.000
		2007SK16UPO001	OP Research and Development	200.000.000
France	1.541.328.473	2007FR161PO004	Programme opérationnel FEDER Réunion	247.800.000
		2007FR162PO017	Programme opérationnel FEDER NORD PAS-DE-CALAIS	175.500.000
		2007FR161PO002	Programme opérationnel FEDER Guadeloupe	113.599.065
Lietuva	1.475.494.375	2007LT161PO001	2007-2013 m. Sanglaudos skatinimo veiksmų programa	1.475.494.375
Latvija	948.914.941	2007LV161PO002	Infrastructure and Services	948.914.941
United Kingdom	878.348.575	2007UK161PO002	West Wales and the Valleys ERDF Convergence programme	309.955.948
		2007UK162PO008	North West England ERDF Regional Competitiveness and Employment Operational Programme	187.382.989
Eesti	866.304.626	2007EE161PO002	Operational Programme for the Development of Living Environment	792.397.197
Balgarija	856.774.429	2007BG161PO001	Operational Programme Regional Development	773.285.604

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The Commission will not provide copies of these reports.

