EUROPEAN COMMISSION

DIRECTORATE-GENERAL
REGIONAL AND URBAN POLICY
Policy
Evaluation & European Semester

CALL FOR TENDERS

2014CE16BAT043

Ex post evaluation of Cohesion Policy programmes 2007-2013, focusing on the European Regional Development Fund (ERDF) and Cohesion Fund (CF) –
Work Package Six: Environment

TENDER SPECIFICATIONS

TABLE OF CONTENTS

1 INFORMATION ON TENDERING

1.1 Participation

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

1.2 Contractual conditions

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

1.3 Joint tenders

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

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

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

1.4 Subcontracting

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

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

During contract execution, the change of any subcontractor identified in the tender will be subject to prior written approval of the Contracting Authority.

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[1] See http://www.wto.org/english/tratop_E/gproc_e/gp_gpa_e.htm

1.5 Content of the tender

The tenders must be presented as follows:

Part A: Identification of the tenderer (see below)

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

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

Part D: Technical offer (see section 2.5)

Part E: Financial offer (see section 2.6)

1.6 Identification of the tenderer: legal capacity and status

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

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

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

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

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

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

Tenderers must provide the following information if it has not been included with the Legal Entity Form:

- For legal persons, a legible copy of the notice of appointment of the persons authorised to represent the tenderer in dealings with third parties and in legal proceedings, or a copy of the publication of such appointment if the legislation which applies to the legal entity concerned requires such publication. Any delegation of this authorisation to another representative not indicated in the official appointment must be evidenced.

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

2 EVALUATION AND AWARD

2.1 Evaluation steps

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

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

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

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

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

2.2 Exclusion criteria

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

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

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

2.3 Selection criteria

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

The evidence requested should be provided by each member of the group in case of joint tender. However a consolidated assessment will be made to verify compliance with the minimum capacity levels.

The tenderer may rely on the capacities of other entities, regardless of the legal nature of the links which it has with them. It must in that case prove to the Contracting Authority that it will have at its disposal the resources necessary for performance of the contract, for example by producing an undertaking on the part of those entities to place those resources at its disposal.

2.3.1 Economic and financial capacity criteria and evidence

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

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

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

2.3.2 Technical and professional capacity criteria and evidence

a. Criteria relating to tenderers

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

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

b. Criteria relating to the team delivering the service:

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

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

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

c. Evidence:

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

- List of relevant services provided in the past three years, with sums, dates and recipients, public or private. The most important services shall be accompanied by certificates of satisfactory execution, specifying that they have been carried out in a professional manner and have been fully completed;
- The educational and professional qualifications of the persons who will provide the service for this tender (CVs) including the management staff. Each CV provided should indicate the intended function in the delivery of the service.

2.4 Award criteria

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

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

  This criterion will assess the appropriateness of the methodology of the whole evaluation and of the specific methodology for each task, including the final report. The tenderer must acknowledge the basic features of Cohesion Policy, especially in the field of Environment.

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

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

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

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

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

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

$$\text{score for tender X} = \frac{\text{cheapest price}}{\text{price of tender X}} * \text{price weighting (in absolute value)} + \frac{\text{total quality score (out of 100) for all award criteria of tender X}}{100} * \text{quality criteria weighting (in absolute value)}$$

2.5 Technical offer

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

2.6 Financial offer

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

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

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

3 TECHNICAL SPECIFICATIONS

3.1 Overall purpose and context of this evaluation

The European Commission, Directorate-General for Regional and Urban Policy intends to undertake an ex post evaluation of cohesion policy programmes financed by the European Regional Development Fund (ERDF) and the Cohesion Fund (CF) during the period 2007-2013 in regions covered by the Convergence, Regional Competitiveness and Employment and European Territorial Cooperation objectives in 28 Member States[2].

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

[2] Council regulation (EC) No 1083/2006 of 11 July 2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund

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

As required by the regulation, the ex post evaluation must be completed at the end of 2015. This is a particular challenge, as programmes are still being implemented until (or in some case after) the end of 2015. Results and interim results of the study will be used to improve programmes in the 2014-2020 programming period and will feed into debate on the future policy on economic, social and territorial cohesion after 2020.

3.2 Specific context of this contract

Investments in infrastructure related to environment are a very significant part of Cohesion Policy. The financial allocation to the three areas of drinking water, wastewater treatment, and solid waste management reach almost EUR 28 billion or 10.3% of the total ERDF and CF allocation in the period 2017-13.

This evaluation relies on previous ex post evaluations of similar nature, carried out for the 2000-2006 period (see annex for references). One of the important findings of these previous evaluations was that the financial sustainability of investments was not always ensured. European legislation is based on the user/polluter pays principle which is difficult to implement in low-income regions. The spread and severity of the issues has not been systematically analysed yet, and an adequate policy response requires identifying the magnitude and possible systemic nature of this finding.

The implementation of large scale projects, especially in the field of environment, experiences significant delay. There is anecdotal evidence that the financial crisis contributed to the slow implementation. Pre-crisis evaluations also found significant cost and time overruns, therefore an analytical review of financing is needed to identify the possible extent of these phenomena persist and to establish the causes.

The delivery system underwent some significant changes between the two financial periods. In the period 2000-2006, management of CF and ERDF were different: while both funds were managed under the shared responsibility of the European Commission and the Member States, ERDF was programme based and CF was project based (i.e. the Commission also approved and monitored each project). For the period 2007-2013, the CF was integrated into the operational programmes and consequently both Funds became programme based, the Commission retaining the responsibility for examining and approving major projects only (projects above a total cost of EUR 25 million until 2010 and above EUR 50 million after 2010). For these projects a cost benefit analysis was required to be submitted.

All three areas – drinking water, wastewater treatment and solid waste management - received financial assistance from both the CF and the ERDF, in both periods.

The Commission draws the attention of tenderers to the overlap of the implementation of the two periods: construction of projects co-financed from the 2000-2006 allocation of the ERDF continued up until the end of 2009 and the CF until 2011.

In relation to the planned and actual use of the funds and the reporting of "core" indicators for the ERDF and the Cohesion Fund, the Member States and the Commission exchange more detailed data in the period 2007-2013 compared to previous programming periods.

In relation to the tracking of financial inputs, the Member States report annually on progress in project selection using the "categorisation system". This system comprises 86 priority theme codes (the most widely used element of the categorisation system) but also has information on "form of finance", "territorial dimension", "economic dimension" and "location".

The priority theme codes directly linked to the environment themes of this evaluation are:

Code	Priority theme
44	Management of household and industrial waste
45	Management and distribution of water (drinking water)
46	Water treatment (waste water)

The system of ERDF/CF core indicator reporting (41 indicators) was set out in working documents from 2007 and 2009. It has led to annual reporting at OP level (sometimes also at priority axis level) of cumulative figures for achieved outputs often in relation to initial target value. Work package 0 of this ex-post evaluation will gather physical data reported by Managing Authorities in their Annual Implementation Reports and assess their quality. That work package will therefore provide updated data during the implementation of this contract, its final report being due at the end of 2014.

The categorisation data (in its raw form) and core indicator data (corrected by DG REGIO) reported in the 2012 AIR are provided in excel tables on this webpage: http://ec.europa.eu/regional_policy/impact/evaluation/data_en.cfm.

In relation to environment the following indicators and achievement values are taken from those tables.

Core Indicator Cd	Core Indicator	Sum 2007-2012
25	Additional population served by water projects	3,226,629
26	Additional population served by waste water projects	5,464,498
27	Number of waste projects	2,126

3.3 Subject of the contract

The evaluation will analyse the progress and achievements of Cohesion Policy in selected areas of environment related infrastructure: drinking water, wastewater treatment, and solid waste management. Special emphasis will be given to the financial sustainability of investments, which will be examined through the financial data of a small number of major projects and several case studies of projects in regions to obtain insights on the real context in practice. The evaluation will deliver a catalogue of practical tips to help the work of project reviewers as well a final report that summarises the main findings to fulfil the Commission’s responsibility to inform stakeholders of the achievements of the policy.

3.4 Scope of the contract

Environmental infrastructure projects in the area of drinking water supply, wastewater treatment and solid waste treatment that benefit from financial assistance from ERDF or Cohesion Fund in 2007-13 (including projects completed after 2009 with resources from 2000-2006).

3.5 Tasks

Task 1: Summary of achievements

The contractor will present the contribution of Cohesion Policy to meeting the requirements of the *acquis communautaire* in the fields of drinking water supply, wastewater treatment, and solid waste management and treatment.

Within this task, the contractor will (the tender should give more detailed understanding of the issues and their connections):

- briefly summarise the state and development of European environment legislation between 2007 and 2013;
- present an overview of the main trends and developments, including but not limited to technology and finance, in the above-mentioned three areas until 2013;
- identify the contribution of Cohesion Policy (2007-2013) to the above-mentioned developments in each area.

This task will be linked to other work packages, most notably WP0. While literature and statistical review will be the fundamental tool, the task will require carrying out further desk research. The tender should outline how this will be carried out.

Task 2: Review financial analyses

The Commission will provide the contractor with basic information and relevant documentation of approximately 40 projects, and the contractor will give a justified proposal for the 20 projects to be examined in this task. The list of the proposed projects should achieve a geographical and sector balance but favour projects that received assistance from Operational Programmes of the period 2007-13. The final selection of projects will be approved by the Commission.

The contractor will review the ex-ante financial analyses that accompanied the major project applications received and approved by the Commission and contrast them with own research. The objects of these analyses are 20 projects consisting of:

- projects submitted in or after 2007 and received financial assistance from Operational Programmes of the period 2007-13, and
- projects that received financial assistance from Operational Programmes of the period 2000-2006 and became operational in or after 2009.

Task 2.a: Judgment on demand analysis

The contractor will identify assumptions in the demand analysis about:

- Demographics,
- Consumer behaviour, including the effects of particular measures (i.e. aiming to decrease water consumption or waste production, selective waste collection, etc.),

- Affordability: how the analysis took into account the relationship between user charges and income level of the users – methods used, main parameters,
- Tariffing: how user charges were planned to be set, including user/polluter pays principle and institutional mechanisms for price control in the relevant sector,

The contractor will gather and analyse independent information for each of the four points above in order to reach conclusion on the quality of the demand analysis. High quality analysis relies on relevant and reliable data, describes assumptions clearly and applies adequate methodology to provide transparent forecasts.

The tender should describe how information gathering and analysis would be carried out.

Task 2.b: Judgement on financial analysis

The contractor will also identify assumptions directly influencing the financial performance, in particular: planned investment costs and the timing of investments (including construction time), operational costs, maintenance costs, any other revenues not covered in Task 2.a, and the residual value of the investment. The contractor will also identify any assumptions on risks affecting the financial performance of the project.

The contractor will conclude on the quality of the financial analysis, including the verifiability of assumptions, the financial sensitivity analysis, and the financial risk analysis.

Task 2.c: Horizontal analysis of assumptions

The contractor will describe and analyse patterns across the projects related to the points in Tasks 2.a and 2.b. Common patterns will be identified for each Member State and for each sector, as well as across Member States in all sectors and across all sectors in each Member State.

Both individual and systematic methodological errors in the financial analyses should be indicated.

Task 3: Verifying assumptions

The contractor will verify the correctness of the assumptions for projects that are operational. The task will include:

- To gather information that allows comparing planned and actual figures, trends, etc.,
- To compare planned and actual figures, trends, etc. in order to:
    - reach a conclusion on the reliability of the assumptions, demand and financial analyses, and
    - provide conclusion on the financial sustainability of the investments;
- To identify systematic biases (i.e. regularly occurring similar difference between assumptions and facts) in making assumptions,
- Where the financial analysis contained methodological errors, the contractor will recalculate the financial analysis.

The tender should briefly describe how information gathering and analysis would be carried out.

Task 4: Case studies

The contractor will carry out 10 case studies from among 20 projects examined in previous tasks. The main objective of the case studies is to understand the context in which the projects are implemented and the infrastructure operates. They will identify the solutions or the lack of solutions to any problem related to financial sustainability. The contractor will go further than analysing financial data and identify the factors contributing to financial difficulties.

The Commission will select the projects based on a proposal of the contractor. The selection of case studies should aim to achieve a geographical and sector balance but favour projects that received assistance from Operational Programmes of the period 2007-2013. The objectives of the case studies are to:

- provide an overview of the selection mechanism and the factors that led to the selection of the projects,
- assess the consistency of the projects with relevant management plans and local development strategies,
- identify institutional factors that are critical to the produce reliable financial analyses (including demand analyses),
- give an overview of the implementation difficulties (including time and cost overruns and their reasons),
- explore the impacts of financial aspects (including the financial analysis if it affected project delivery) on the implementation of the projects, and
- analyse the solutions that are put in place to ensure the financial sustainability of investments, including but not focusing on identifying good practices.

This task requires face-to-face interviews with professionals in the Member States who are involved in various tasks related to project development, and also to analyse other relevant information. High staff turnover in some Member States can make contacting and interviewing key personnel difficult; nevertheless the contractor is expected to base the analysis on sufficient quality and quantity of information to provide solid conclusions. The tenderer will outline the case study methodology in the tender.

Each case study will be presented via a max 14 pages long description and analysis, including a maximum one page long summary of evidence and findings. Furthermore, each case study will be presented to the participants of the seminar (see task 6), in maximum 10 minutes long oral presentations for each. The first two case studies will be pilots, and their presentation will include an additional page about lessons learned to improve the quality of the remaining case studies.

Task 5: "Catalogue of Challenges"

The contractor will compile a "Catalogue of Challenges" that describes the most common problems encountered in financial analysis and solutions to avoid them.

The Catalogue will describe each common pattern (including systematic errors) from task 2.c and each systematic bias from Task 3. In some cases they can be jointly described (e.g. similar demographic assumptions prove to be a systematic optimism bias). For each item in the catalogue, the description will contain

- a non-technical (and if appropriate a technical) summary,
- potential warning signs for reviewers of financial analyses,

- implications on financial analysis of the projects,
- implications on financial sustainability of the facility,

The Catalogue will include examples from Tasks 3 and 4 to illustrate how the items and their consequences appear in practice. Conclusions from the Seminar (see Task 6) will be incorporated into the Catalogue.

Task 6: Seminar

The contractor will organise a seminar with representatives of the Managing Authorities of the 10 case study programmes, external experts (including the two advising on this evaluation, see below) and Commission officials to discuss and deepen analysis on the emerging findings of the case studies (around 30 persons) and of the draft catalogue of challenges.

The contractor will be responsible for the organisation and content of the seminar. This means preparing the basis for discussion, including a summary of the evaluation evidence and their tentative conclusion. It also means identifying participants, leading discussions, writing up the event and consolidation the findings into the draft final report.

The seminar will take place in Brussels. It will be organised by using support from Work Package 1 of the ex post evaluation ("Synthesis") and the contractor of Work Package 1 will:

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

Task 7: Final report

The contractor will summarise the evaluation in a final report. It will consist of the following parts:

- Overview of contribution of Cohesion policy to the objectives of the environmental policy of the EU. It will be mainly based on Task 1, with incorporating additional evidence from other tasks.
- Overview on the quality and use of financial analyses of projects. It will be mainly based on Tasks 2, 3, 4 and 6.
- The "Catalogue of Challenges" (see Task 5).

3.6 Methodology

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

- Literature review,
- Desk research,
- Analysis of data stored in the DG for Regional and Urban Policy's databases (InfoView). The successful contractor will be given access to the necessary data,,

- Interviews with Member States, Managing Authorities and Intermediate Bodies where necessary,
- Case study,
- Other methodological approaches as appropriate, to be specified in the tender documentation.

3.7 Work organisation

As part of the tender documentation, the team to be involved in this evaluation should be identified, describing their skills and qualifications, quantifying the input of each member of the team in terms of days and explaining the distribution of tasks between the different team members involved. The attention of tenderers is drawn to the need for strong co-ordination, guidance and quality control which will be needed for the successful delivery of this contract.

It is recognised that the languages needed to cover the 10 case studies ultimately chosen cannot be identified in advance of contracting. Therefore the bidders are invited to retain some flexibility in their technical offer in this respect.

The evaluator in consultation with DG REGIO will identify a maximum of 2 independent external experts in the areas concerned by the study who will provide additional expert input (written comments on major deliverables and oral comments in meetings) to the study. The evaluator should include in his tender the cost of 2 experts attending 3 meetings in Brussels during the course of the study.

3.8 Time schedule

The duration of the tasks is 12 months, starting from the signature of the contract. The deliverables and their timing are specified below.

Reports and meetings required by the Terms of Reference

End Month	Deliverable	Meeting
0		Kick-Off Meeting with DG REGIO
Within 1 month	Inception report	Meeting with Steering Group
Within 3 months	Interim report, including proposal for pilots	Meeting with Steering Group
Within 5 Months	2 pilot case-studies	
Within 8 Months	All case-studies	
Within 9 months	draft: “Catalogue of Challenges”	
Within 9 months	Seminar (after submitting draft "Catalogue of Challenges")	
Within 11 months	draft final report and the final “Catalogue of Challenges”	Meeting with Steering Group
Within 12 months	Final report	

3.9 Deliverables

The deliverables of this study will be:

Deliverable 1: one methodological inception report covering all Tasks, including the justified proposal to select the 20 projects for Task 2.
Deadline: within one month after the signature of the contract.

Deliverable 2: one **interim report** presenting the results of Tasks 1, 2 ,and 3, including the proposal for the two pilot case studies, including at least 4 candidates and justification for each. The proposal cannot be longer than 2 pages per project.
Deadline: within three months after the signature of the contract.

Deliverable 3: 2 case-studies as pilots
Deadline: within five months after the signature of the contract.

Deliverable 4: all case-studies (Task 4)
Deadline: within eight months after the signature of the contract.

Deliverable 5: the **draft: "Catalogue of Challenges" (Task 5)**.
Deadline: within nine months after the signature of the contract.

Deliverable 6: Seminar (Task 6).
Deadline: after submitting all case studies and the draft: "Catalogue of Challenges" (9 months after the signature of the contract).

Deliverable 7: one **draft final report and the final "Catalogue of Challenges" (Task 7)**.
Deadline: within eleven months after the signature of the contract.

Deliverable 8: one **final report (Task 7)**.
Deadline: within twelve months after the signature of the contract.

Besides the above mentioned deliverables, the contractor will submit a progress report of 2 pages maximum every month. The report will briefly summarise the progress against deliverables and indicate any difficulty.

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

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

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

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

The quality of the evaluation will be assessed by the Commission services using the quality criteria from the Guide to the Evaluation of Socio-Economic Development. These can be found in Part 2 of that Guide at

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/guide/guide2012_evalsed.pdf

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

3.10 Organisation of the study

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

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

The evaluator in consultation with DG REGIO will identify a maximum of two independent experts in the fields concerned by the study who will provide additional expert input to the study. The evaluator should include in his tender the cost of 2 experts attending 3 meetings in Brussels during the course of the study. The final selection of experts will be agreed together by the contractor and the Commission.

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

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

3.11 Documentation for the tenderers

- List of themes to be covered by work packages in the 2007-2013 Ex post evaluation in Annex 2

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

4 CONTENT, STRUCTURE AND GRAPHIC REQUIREMENTS OF THE FINAL DELIVERABLES

All studies produced for the European Commission and Executive Agencies shall conform to the corporate visual identity of the European Commission by applying the graphic rules set out in the European Commission's Visual Identity Manual, including its logo[3].

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

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

4.1 Content

4.1.1. Final study report

The final study report shall include:

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

  "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."

[3] 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

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

4.1.2. Executive summary

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

- the following standard disclaimer:

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

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

4.2 Graphic requirements

For graphic requirements please refer to the template provided in the Annex 6. The cover page shall be filled in by the contractor in accordance with the instructions provided in the template. For further details you may also contact comm-visual-identity@ec.europa.eu..

ANNEX 1: DECLARATION OF HONOUR

See separate document

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

No.	Work package
0	Data collection and quality assessment
1	Synthesis
2	Small and medium-sized enterprises, innovation, ICT
3	Financial Instruments for Enterprises
4	Large enterprises
5	Transport
6	Environment
7	Modelling the effects of transport projects
8	Energy efficiency
9	Tourism and Culture
10	Urban development and Social Infrastructures
11	European Territorial Cooperation
12	Delivery system
13	Geography of expenditure
14	Effect on macroeconomic aggregates

ANNEX 3: 2012 REPORTING OF ALLOCATION OF RESOURCES AT PROGRAMME LEVEL BY PRIORITY THEMES (CODES 44-46)

See separate document.

ANNEX 4: BIBLIOGRAPHY

1. COMMISSION

2000-2006:

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

http://ec.europa.eu/regional_policy/information/evaluations/archives_2000_2006_en.cfm

- ERDF: Work package 5b: Environment and Climate Change

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/expost2006/wp5b_en.htm

- Cohesion Fund: Work Package A: Contribution to EU transport and environment policies

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/expost2006/wpa_en.htm

- Cohesion Fund: Work Package C: Cost benefit analysis of selected environment projects

http://ec.europa.eu/regional_policy/sources/docgener/evaluation/expost2006/wpc_en.htm

2007-2013:

- Guidance: http://ec.europa.eu/regional_policy/information/evaluations/guidance_en.cfm#3
- Strategic Report, 2013 and thematic fiche: http://ec.europa.eu/regional_policy/how/policy/strategic_report_en.cfm
- Expert Evaluation Network Reports 2011-2013: http://ec.europa.eu/regional_policy/information/evaluations/index_en.cfm#1
- Evaluation of the main achievements of cohesion policy programmes and projects over the longer term in 15 selected regions (from 1989-1993 programme period to the present) – EPRC/LSE, 2013 (2011.CE.16.B.AT.015) http://ec.europa.eu/regional_policy/information/evaluations/index_en.cfm#15

2. OTHER

- European Court of Auditors, Special Report No 20, Is Structural measures funding for municipal waste management infrastructure projects effective in helping Member States achieve EU waste policy objectives? http://www.eca.europa.eu/Lists/ECADocuments/SR12_20/SR12_20_EN.PDF
- European Court of Auditors, Special Report No 9, Is EU Structural measures spending on the supply of water for domestic consumption used to best effect? http://www.eca.europa.eu/Lists/ECADocuments/SR10_09/SR10_09_EN.PDF

ANNEX 5: QUALITY CONTROL: OUTPUT QUALITY CRITERIA

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

ANNEX 6: TEMPLATE FOR GRAPHIC REQUIREMENTS

See separate document