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

## CALL FOR TENDERS

**2014CE16BAT044**

Ex post evaluation of Cohesion Policy programmes 2007-2013, focusing on the European Regional Development Fund (ERDF) and Cohesion Fund (CF) –  
Work Package Eight: Energy Efficiency in public and residential buildings

# TENDER SPECIFICATIONS

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## **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<sup>1</sup> 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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<sup>1</sup> See [http://www.wto.org/english/tratop\\_e/gp\\_gpa\\_e.htm](http://www.wto.org/english/tratop_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](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](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](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:

- data analysis – including additional data collection;
- arrangements and methodology to carry out the in-depth analysis and;
- arrangements and methodology for the case studies.

- **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.

score for tender X	=	$\frac{\text{cheapest price}}{\text{price of tender X}}$	*	price weighting (in absolute value)	+	$\frac{\text{total quality score (out of 100) for all award criteria of tender X}}{100}$	*	quality criteria weighting (in absolute value)
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## 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<sup>2</sup>.

The ex post evaluation is an important instrument to inform national and regional authorities, the general public, the European Parliament and other stakeholders involved about the outcomes of the 2007-2013 generation of cohesion policy programmes. The

<sup>2</sup> 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

evaluation will examine the extent to which the resources were used, the effectiveness and the socio-economic impact. The evaluation shall identify factors contributing to the success or failure of programmes and identify good practice.

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

As required by the regulation, the ex post evaluation must be completed at the end of 2015. This is a particular challenge, as programmes are still being implemented until (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 and social cohesion after 2020.

### 3.2 Specific context of this contract

Energy efficiency investments are informed by the EU's energy policy. The aim is to cut Europe's annual primary energy consumption by 20% by 2020. First developed as a policy following the adoption of the target by the 2007 Spring Council, the European Commission in 2011 proposed a new Energy Efficiency Plan, stressing that energy saving<sup>3</sup> is “one of the most cost effective ways to enhance security of energy supply, and to reduce emissions of greenhouse gas and other pollutants<sup>4</sup>”.

In the 2007-2013 programming period, energy efficiency allocations amounted to EUR 6 billion, a substantial increase from the 2000-2006 period, when the allocations were EUR 300 million. Note, however, that the 2007-2013 programmes were mostly designed and agreed in 2007 before the adoption of the EU's energy efficiency target and the related developments of the energy policy. Energy efficiency investments could be done in public and commercial buildings. As regards housing, up to 2008 ERDF investment was restricted to the EU12 and to particularly distressed areas. In many EU12 countries, much of the housing stock was in urgent need of renovation, especially the apartment blocks built during the Soviet era. Investment was not to exceed 2% of the total ERDF allocation, because of the perceived limited impact of such investments on longer term growth.

In response to concerns over security of energy supplies in Eastern Europe as well as the financial crisis, the 2008 European Economic Recovery Plan proposed to take urgent measures to improve the energy efficiency of the housing stock and public buildings, including an invitation to Member States to "re-programme their structural funds operational programmes' to devote a greater share to energy-efficiency investments, including where they fund social housing"<sup>5</sup>. To widen possibilities, the Commission

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<sup>3</sup> While the terms 'energy efficiency' and 'energy savings' are often used interchangeably, technically, 'energy efficiency' means using less energy inputs while maintaining an equivalent level of economic activity or service; 'energy saving' is a broader concept that also includes consumption reduction through behaviour change or decreased economic activity.

<sup>4</sup> Memo on Commission's new Energy Efficiency Plan: [http://europa.eu/rapid/press-release\\_MEMO-11-149\\_en.htm](http://europa.eu/rapid/press-release_MEMO-11-149_en.htm)

<sup>5</sup> EERP communication: [http://ec.europa.eu/economy\\_finance/publications/publication13504\\_en.pdf](http://ec.europa.eu/economy_finance/publications/publication13504_en.pdf)

proposed amendments to the Structural Funds Regulations to support this move. Investing in energy efficiency was considered important to create jobs in construction (needed because of the financial crisis and the increase in unemployment across the EU) and to save energy. Subsequent changes in the Regulations governing the Structural Funds<sup>6</sup> allowed all Member States to allocate up to 4% of national ERDF amounts for investments in energy efficiency and renewable energy use in existing residential buildings across all Member States, so as to support social cohesion, and clarified the eligibility and use of financial engineering instruments to promote sustainable energy in buildings, including residential buildings. Investment in energy efficiency could thus, since 2009, take place in all types of buildings in the EU. In practice, however, total allocations did not exceed 2% of ERDF across the EU28.

In 2011, the Directorate-General for Regional and Urban Policy asked its Expert Evaluation Network to prepare a report on renewable energy and energy efficiency of housing<sup>7</sup>. The report found the Member States allocating funding to this use tend to concentrate it on social housing in the EU15 and on apartment blocks in the EU12. In many cases, EU funding supports public buildings or district heating systems, complementing national support which is geared more towards housing. The report concluded that support for energy efficiency in housing can be justified if it is concentrated on public buildings, social housing and in deprived areas in order to reduce disparities in quality of life. Such investment needs to be complemented with the appropriate framework conditions for the market to function efficiently and take explicit account of the private as well as social returns from such investments.

In 2013 DG Regional and Urban Policy published a report on Housing investments supported by the ERDF 2007-2013. The study explored how housing, energy and socio-economic needs have been addressed in deprived urban areas following the legislative changes of 2009 and 2010, in particular through integrated approaches<sup>8</sup>. Findings of the literature and policy review as well as ten cases from different European countries include tangible benefits of ERDF support particularly in terms of energy efficiency, resulting in reduced energy bills. Stakeholders were also relatively positive about the economic and social impacts of ERDF supported housing projects, ranging from job creation to improvements of health. In the same year also a study on Housing in Jessica Operations<sup>9</sup> was published.

The European Court of Auditors published a performance audit on the effectiveness of cohesion policy investments in energy efficiency in 2012, based on a sample of energy

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<sup>6</sup> REGULATION (EC) No 1080/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 5 July 2006 on the European Regional Development Fund, amended on 21.05.2009, and Council Regulation (EC) No 1083/2006 laying down general provisions on the ERDF, the ESF and the CF, amended on 16/06/2010

<sup>7</sup> See link to the full report in the bibliography at annex 4a.

<sup>8</sup> Housing investments supported by the European Regional Development Fund 2007-2013, Housing in sustainable urban regeneration (2013)  
[http://ec.europa.eu/regional\\_policy/sources/docgener/studies/pdf/housing/2013\\_housing\\_study.pdf](http://ec.europa.eu/regional_policy/sources/docgener/studies/pdf/housing/2013_housing_study.pdf)

<sup>9</sup> [http://www.eib.org/attachments/documents/jessica\\_housing\\_study\\_final\\_report\\_en.pdf](http://www.eib.org/attachments/documents/jessica_housing_study_final_report_en.pdf)

efficiency investments in public buildings, which emphasised the issue of ensuring cost-effectiveness of investments.

In view of the 2014-2020 period, technical guidance on 'Financing the energy renovation of buildings with Cohesion Policy funding' was published in February 2014. The guide informs managing authorities about the European requirements on buildings and energy efficiency, provides a list of good practice approaches and case studies and explores the different financing mechanisms that managing authorities can use to support sustainable energy projects with the aim to launch large scale investments in the energy renovation of buildings and to attract greater levels of private-sector investments. As such, it could also be a useful reference in the context of the work under this contract.

### **3.3 Subject of the contract**

The evaluation will assess the rationale for, types of interventions and early evidence of effectiveness of investments in energy efficiency in public and residential buildings.

### **3.4 Scope of the contract**

This contract will examine ERDF/CF support for energy efficiency in the period 2007-2013 under the Convergence, Regional Competitiveness and Employment and European Territorial Cooperation Objectives.

The system of categorisation of expenditures includes one category covering energy efficiency, code 43. Under this code, 215 programmes planned to spend around EUR 6 billion up to 2015 – up to 2012 they had allocated (projects selected) about EUR 4 billion from the ERDF and the CF (Annex 3).

This contract will examine energy efficiency interventions, focusing on support in public and residential buildings. Interventions in energy efficiency in SMEs (in their premises or processes) as well as renewable energy are thus excluded from the scope of this contract. Note that code 43 includes all three types of interventions in Energy Efficiency.

### **3.5 Tasks**

#### **Task 1: Taking stock of support / Literature review**

1a. Literature review: The contractor will carry out a literature review to answer the following questions:

- According to the literature, what is the justification for public support to energy efficiency improvements in public and residential buildings?
- Are there specific market conditions – or traditions - in Member States that cause differences in the way in which they support energy efficiency in public and residential buildings? (financial / non-financial)
- What evidence exists on the benefits of supporting energy efficiency in buildings?

The contractor will also review these questions during Task 3 (case studies).

1b. The contractor will set out the extent and type of national public funding Member States make available for this purpose (source: where information is available from statistics and secondary literature)

- 1c. The contractor will present the financial and physical information on ERDF/CF energy efficiency interventions in buildings. This will be based on information provided by DG REGIO, including information coming from WP0. Work package zero of the ex-post evaluation will gather and quality-assess physical data reported by Managing Authorities in the Annual Implementation Reports. The contractor should be aware, however, that this will include very limited information on energy efficiency and that there was no core indicator used in the domain.
- 1d. Review of evaluations: The contractor will review and summarise the findings of evaluations on energy efficiency provided by the Commission (annex 4b).

The tender should contain a first analysis of the issues arising for this evaluation from the data on financial allocations published on Inforegio. It should also list examples of the literature the contractors will consult when carrying out this task.

### **Task 2: Review of ERDF/CF support measures**

A first review by the DG for Regional and Urban Policy shows that allocations under code 43 are concentrated in 13 Member States (BG, CZ, DE, ES, FR, EL, HU, IT, LT, PL, RO, SI, UK) and the cross-border programmes, representing 94% of total allocation (209 programmes). For the purposes of this evaluation, only 48 programmes allocating more than EUR 20 million (ETC more than EUR 7.5 million) in 2012 are included in the sample to be examined.

The contractor will review the respective Annual Implementation Reports and operational programmes (Annex 3), completed with selected interviews with the relevant national/regional authorities in order to answer the following questions:

- What is the rationale for support to energy efficiency in public and residential buildings as stated in the programming documents or annual reports?
- How is support delivered (grants/financial instruments, governance)?
- What are the similarities and differences in investments (type of support, coverage of residential/public buildings) in energy efficiency in the EU15/EU12 and across objectives (convergence/competitiveness/cross-border)?
- Is the CF used to support energy efficiency in public buildings? What is the rationale for using the CF?
- Is there evidence of investment in energy efficiency in categories of expenditure other than code 43 (e.g. social infrastructure)
- Did the changes in the legal basis in 2009 or other developments lead to change in investments in energy efficiency? Did Member States modify their programmes to include more investments in energy efficiency, to what extent (scale of resources) and what types of investments?

To complete this task and based on the analysis undertaken, the contractor should propose eight case studies to be examined under Task 3. At least one of the cases should cover a revolving fund established under the FEIs for energy efficiency. A 1-2 page summary should be provided for each proposed for case study, outlining the key points of interest to explore. The final decision on the six case studies to be carried out will be taken in

agreement with the Commission (the first case study will be agreed in the context of the approval of the Inception Report so that it can be undertaken in parallel with Tasks 1 and 2).

### **Task 3: Case studies**

The tender should describe a methodology for the case studies and propose one pilot case, highlighting the key points of interest to be explored in the case study. The methodology should include an estimate of the numbers and types of stakeholders to be interviewed and by what method. The decision on the pilot case study will be taken in the context of agreeing the Inception Report of the evaluation. The pilot case study will be prepared in advance of the others in order to test and validate the methodology and will be submitted as part of the interim report covering Tasks 1 and 2. The remaining case studies will be delivered as they are finalised and before the draft final report.

Six case studies (either at regional or national level) will be conducted on programmes or priorities dedicated to energy efficiency in public or residential buildings in the Member States with allocations of more than EUR 300 million ERDF/CF to energy efficiency and having already allocated at least 50% to projects (CZ, DE, HU, IT, LT, PL) or other cases of particular interest, e.g., investments in energy efficiency improvements in social housing in FR or the revolving funds for energy efficiency investments in residential buildings set up in EE or EL. Questions to be answered in the case studies will include the following (the tender may complete the list):

- What are the socio economic objectives to be achieved through these investments? Do they form part of integrated regional or urban/local strategies? What was the background to the interventions: was the urban dimension important ?
- Have market failures been identified in the context of the design of the interventions? Is there an economic argument for public support to energy efficiency investments in buildings (public / residential)?
- What is the logic of intervention and what is the intended change (i.e. what should change as a result of the investment, in order for the investment to be considered successful)? What particular challenges have been faced (awareness of funding available, building owners being reluctant to invest, etc..)?
- What is the nature of the activities and who are the main beneficiaries of the support?
- What are the selection criteria for projects?
- Was an energy audit obligatory? Are energy performance certificates used in this context and are they effective in improving the performance and rating of buildings?
- What was the level of ambition for energy savings, by types of buildings (public / residential)?
- What was the form of support for different types of investments (grants, subsidised loans, guarantees, others, including combinations of different forms of support, potentially for different parts of the investments)?
- What outputs and results are captured by the monitoring system? What views do stakeholders have on wider impacts (spillovers)?

- Identify good practices by types of buildings (public / residential, including different types of public buildings, e.g. offices or schools, and residential, e.g. multi-apartment or single family houses).
- Review the questions of the literature review (Task 1a) in the context of the specific case being examined.

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

Taking into account the outcomes of the analysis undertaken for Tasks 1 to 3, the contractor will produce a final report integrating the analysis, drawing conclusions and identifying the main implications for policies and Structural Fund support targeting energy efficiency in public and residential buildings.

The contractor will answer the following questions:

- What are the main justifications for public (and EU) investment in energy efficiency in public and residential buildings?
- What were the arrangements for support to energy efficiency in public and residential buildings in the 2007-2013 operational programmes?
- Were investments based on good strategies? What were the strengths of such strategies?
- Is there evidence of achievements in energy efficiency in public and residential buildings?
- What are the main lessons which can be learnt for future policy development?

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

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

### **3.6 Methodology**

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

- Desk research and literature review;
- Analysis of data stored in the DG for Regional and Urban Policy's databases.

- 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.

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

### 3.7 Work organisation

As part of the tender documentation, the team to be involved in this evaluation should be identified, describing their skills and qualifications, quantifying the input of each member of the team in terms of days and explaining the distribution of tasks between the different team members involved. The 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.

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 9 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 5 months	First Intermediate Report (including pilot case study)	Meeting with Steering Group
Within 7 months	5 remaining case studies as they are completed	
Within 8 months	Draft Final report	Meeting with Steering Group
Within 9 months	Final report	

### 3.9 Deliverables

The deliverables of this study will be:



**Deliverable 1:** one methodological inception report covering all Tasks, with a proposal for a pilot case study and a fully developed case study methodology for the pilot.

**Deadline:** within one month after the signature of the contract.

**Deliverable 2:** one **interim report** presenting the results of Task 1 and 2, including one pilot case study from Task 3 with an analysis of any changes to be made to the case study methodology

**Deadline:** within five months after the signature of the contract.

**Deliverable 3:** 5 remaining **case studies** to be submitted as they are completed

**Deadline:** within seven months after the signature of the contract.

**Deliverable 4:** one draft **final report**.

**Deadline:** within eight months after the signature of the contract.

**Deliverable 5:** one **final report**.

**Deadline:** within nine months after the signature of the contract.

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

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

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

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

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

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

[http://ec.europa.eu/regional\\_policy/sources/docgener/evaluation/guide/guide2012\\_evalsed.pdf](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 contractor will identify 2 experts to give advice throughout the evaluation, comment on the deliverables, and participate in the seminar. These experts should have in depth knowledge of the area of energy efficiency.

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

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

### **3.11 Documentation for the tenderers**

- List of themes to be covered by work packages in the 2007-2013 Ex post evaluation in Annex 2
- 2012 reporting of allocation of resources at programme level by priority theme (Code 43) – sample of 48 programmes in Annex 3.
- Bibliography in Annex 4a
- Evaluations in Energy Efficiency in Annex 4b

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<sup>10</sup>.

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<sup>10</sup> The Visual Identity Manual of the European Commission is available upon request. Requests should be made to the following e-mail address: [comm-visual-identity@ec.europa.eu](mailto:comm-visual-identity@ec.europa.eu)

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

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

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

## 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.”*

- 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 both in English, French and German, and shall include:

- the following standard disclaimer:

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

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

## 4.2 Graphic requirements

For graphic requirements please refer to the template provided in the Annex 6. The cover page shall be filled in by the contractor in accordance with the instructions provided in the template. For further details you may also contact [comm-visual-identity@ec.europa.eu](mailto: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	Support to SMEs: Increasing Research and Innovation in SMEs and SME Development
3	Financial Instruments for Enterprises
4	Support to Large enterprises
5	Transport
6	Environment
7	Modelling the effects of transport projects
8	Energy efficiency in public and residential buildings
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 ALLOCATION OF RESOURCES AT PROGRAMME LEVEL BY PRIORITY THEME – SAMPLE OF 48 PROGRAMMES (CODE 43)**

See separate document.

## ANNEX 4A: BIBLIOGRAPHY

- Ex Post Evaluations of the 2000-2006 Programming period:  
[http://ec.europa.eu/regional\\_policy/information/evaluations/archives\\_2000\\_2006\\_en.cfm](http://ec.europa.eu/regional_policy/information/evaluations/archives_2000_2006_en.cfm)
  - 2011 Energy Efficiency Plan communication  
<http://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:52011DC0109>
  - 2013 Strategic Report factsheet energy:  
[http://ec.europa.eu/regional\\_policy/how/policy/doc/strategic\\_report/2013/factsheet\\_4\\_energy.pdf](http://ec.europa.eu/regional_policy/how/policy/doc/strategic_report/2013/factsheet_4_energy.pdf)
  - 2013 DG ENER Report on Energy performance certificates in buildings:  
[http://ec.europa.eu/energy/efficiency/buildings/doc/20130619-energy\\_performance\\_certificates\\_in\\_buildings.pdf](http://ec.europa.eu/energy/efficiency/buildings/doc/20130619-energy_performance_certificates_in_buildings.pdf)
  - 2014 DG ENER Technical guidance on financing energy renovation of buildings with Cohesion Policy funding:  
[http://ec.europa.eu/energy/efficiency/studies/doc/2014\\_guidance\\_energy\\_renovation\\_buildings.pdf](http://ec.europa.eu/energy/efficiency/studies/doc/2014_guidance_energy_renovation_buildings.pdf)
  - Expert Evaluation Network report on renewable energy and energy efficiency of housing:  
[http://ec.europa.eu/regional\\_policy/sources/docgener/evaluation/pdf/eval2007/expert\\_innovation/2011\\_synt\\_rep\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docgener/evaluation/pdf/eval2007/expert_innovation/2011_synt_rep_en.pdf)
- 2012 Court of Auditors report on cost-effectiveness of Cohesion Policy investments in energy efficiency:  
[http://www.eca.europa.eu/Lists/ECADocuments/SR12\\_21/SR12\\_21\\_EN.PDF](http://www.eca.europa.eu/Lists/ECADocuments/SR12_21/SR12_21_EN.PDF)



## **ANNEX 4B: EVALUATIONS IN ENERGY EFFICIENCY**

See separate document.

## **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