CALL FOR TENDERS

Nº MOVE/D1/355-1

"Fact-finding studies in support of the development of an EU strategy for freight transport logistics"

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 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.

These economic operators shall designate one of them to act as leader with full authority to bind the grouping or the consortium and each of its members. It shall be responsible for the receipt and processing of payments for members of the grouping, for managing the service administration and for coordination. The composition and constitution of the grouping or consortium, and the allocation of the scope of tasks amongst the members, shall not be altered without the prior written consent of the Commission.

The tenderers should indicate in their offer whether the partnership takes the form of:

   a) a new or existing legal entity which will sign the contract with the Commission in case of award
   
or
   
   b) a group of partners not constituting a new legal entity, who via a power of attorney, signed by an authorised representative of each partner (except the lead partner), designate one of the partners as lead partner, and mandate him as lead contractor to sign the contract with the Commission in case of award.

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1 See http://www.wto.org/english/tratop_E/gproc_e/gp_gpa_e.htm
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 part of the services and proportion of the contract that they intend to subcontract.

Tenderers are required to identify subcontractors whose share of the contract is above 20%.

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

1.5. **Content of the tender**

The tenders must be presented as follows:

Part A: Identification of the tenderer (see section 1.6)

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)

Part F: Power of attorney (for consortia only)

1.6. **Identification of the tenderer: legal capacity and status**

- The tenderer’s identification form in Annex 1 shall be filled in and signed by:
  - The tenderer (including any member of a consortium or grouping)
  - subcontractor(s) whose share of the work represent more than 20% of the contract.

- In order to prove their legal capacity and their status, all tenderers (including any member of a consortium of grouping) 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)

  Tenderers that are already registered in the Contracting Authority’s accounting system (i.e. they have already been direct contractors) must provide the form but are not obliged to provide the supporting evidence.

- If it has not been included with the Legal Entity Form, tenderers must provide the following information
  - 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.

- The tenderer (only the leader in case of joint tender) must provide a Financial Identification Form and supporting documents. The form is available on: http://ec.europa.eu/budget/contracts_grants/info_contracts/index_en.cfm

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 (technical and financial evaluation)

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 2), duly signed and dated by an authorised representative, stating that they are not in one of the situations of exclusion listed in the Annex 2.

The declaration on honour is also required for identified subcontractors whose intended share of the contract is above 20%.

The successful tenderer shall provide the documents mentioned as supporting evidence in Annex 2 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. In case of doubt on this declaration on the honour, the contracting authority may also request the evidence for subcontractors whose intended share of the contract is above 20%.

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 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) must comply with the following criteria:

- The tenderer must have an overall average annual turnover for the last two financial years for which the accounts have been closed of minimum 200,000 Euro.

The following evidence should be provided:

- Copy of the profit & loss account for the last two years for which accounts have been closed,

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) must comply with the following criteria:

- The tenderer must prove experience in the field of the respective lot (logistics, combined transport, carbon footprint, programme ex-ante evaluations) with at least one project delivered in this field in the last five years with a minimum value of € 50,000.

- The tenderer must prove experience in survey techniques, data collection, statistical analyses and drafting reports and recommendations.

- The tenderer must prove experience of working in a European environment and capacity to have an EU wide coverage.

- The tenderer must prove capacity to draft reports in English and the ability to ensure communication and analysis in the official languages relevant for the respective lot(s).
b. Criteria relating to the team delivering the service:

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

The project manager shall have at least five years of experience in project management, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution experience in projects of a similar size (at least €50,000) and coverage, with experience in management of team of at least 5 people.

At least one member of the team should have native-level language skills in English or equivalent, as guaranteed by a certificate or past relevant experience. All members of the team should have a good command of English in reading and writing, collectively the team should have the ability to communicate in other EU languages.

The experts shall have the following past experience:

- At least half of the experts who will carry out the work on the study shall have minimum three years of working experience in the field of the lot the tenderers apply for;

- The other half of the experts who will carry out the work on the study shall have at least one year of such experience.

c. Evidence:

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

- List of relevant services provided in the past three years in the field of the respective lot, 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 criteria below. The maximum total quality score is 100 points. Tenders must score above 60% for each criterion, and above 70% in total. Tenders that do not reach the minimum thresholds will not be taken into consideration for awarding the contract.
<table>
<thead>
<tr>
<th>Nº</th>
<th>Award Criteria</th>
<th>Weighting</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><strong>Quality of the proposed methodology</strong>, taking into account the variety of tasks, both technique and content related;</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>• Overall approach (25 points – minimum threshold 50%)</td>
<td></td>
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<td></td>
<td>• Data collection techniques (15 points – minimum threshold 50%)</td>
<td></td>
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<tr>
<td></td>
<td>• Relevant coverage (e.g. geographical, stakeholders) (10 points – minimum threshold 50%)</td>
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<tr>
<td>2</td>
<td><strong>Organisation of the work</strong>: 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 financial and human resources to the project and to each task and/or deliverable, explains the rationale behind the proposed allocation and whether this allocation is adequate for the work.</td>
<td>25</td>
</tr>
<tr>
<td>3</td>
<td><strong>Quality control measures</strong>: This criterion will assess the quality control system applied to the service foreseen in this tender specification concerning the management and meeting of commitments, quality of the deliverables, the language quality check, and continuity of the service in case of absence of the member of the team or other difficulties. The quality system should be detailed in the tender and specific to the tasks at hand.</td>
<td>15</td>
</tr>
</tbody>
</table>

**Total number of points** 100

The contract will be awarded to the tender offering the best following ratio:

\[
\text{Score for tender } x = \frac{\text{price of lowest tender}}{\text{price of tender } x} \times 0.3 + \frac{\text{total quality score for award criteria for tender } x}{100} \times 0.7
\]

2.5. **Technical offer**

The technical offer must cover all aspects and tasks required in the technical specifications of the lot to which it applies 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 tender must contain a separate and complete financial proposal for each lot. The tenderer's attention is drawn to the following points:

- 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.

- The quoted price must be a fixed amount which includes all expenses including travel and subsistence.

- 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.

Indicative price: The total value of the contract for lot 1 is EUR 350,000, for lot 2 EUR 250,000, for lot 3 EUR 200,000 and for lot 4 EUR 200,000.

3. TECHNICAL SPECIFICATIONS

The overall subject of the contracts is "Fact-finding studies in support of the development of an EU strategy for freight transport logistics", divided into 4 lots: "Analysis of the EU logistics sector" (lot 1), "Analysis of the EU combined transport" (lot 2), "Introduction of a standardised carbon footprint methodology" (lot 3) and "Ex-ante analysis of the follow-up of the Marco Polo programme in the Multiannual Financial Framework 2014-2020" (lot 4).

Specifications for lot 1:

"Analysis of the EU logistics sector"

L1.1. Context

Logistics implies the planning, organisation, management, execution and monitoring of the entire material, goods and information flows, from purchasing, production, warehousing, added value services, distribution and reverse logistics.

Freight transport logistics in particular covers the planning, organisation, management, execution and monitoring of freight transport operations in the supply chain.

Costs, efficiency, reliability, responsiveness and increasingly environmental sustainability are considered key considerations.
The logistics sector plays an important role in the EU economy and is a strong motor for growth and jobs. A considerable number of European companies belong to the worldwide leaders in logistics, in terms of logistics performance EU Member States rank very well.

The logistics sector continuously needs to adapt to new challenges such as outsourcing, just-in-time, spatial re-organisation of production, ecommerce, near-sourcing, fabbing, horizontal collaboration, greening and increasing environmental consciousness, etc.

In 2007 the Commission had adopted a Communication on Freight Transport Logistics\(^2\), followed by a Freight Transport Logistics Action Plan in 2007\(^3\). The Communication identified a number of areas for action which should help in improving the overall performance of the logistics sector and in removing bottlenecks and regulatory hurdles, while the Action Plan contained a number of concrete measures aiming eventually at a more sustainable logistics environment.

A general assessment of the progress made on the Freight Transport Logistics Action Plan was embedded in the 2011 Transport White Paper\(^4\). The 2011 Transport White Paper identified a number of initiatives aiming, amongst others, at enhancing the logistics and economic performance of companies and sectors, such as completing the internal market for transport; liberalising freight transport activities and harmonising technical and administrative regulations.

The EU to remain globally competitive requires sustainable and strong EU economies and actors. A pro-active freight transport logistics policy can help in setting the right framework conditions for the logistics sector to further prosper, maintain its global competitiveness and contribute positively to the EU economy.

Defining the right approach and measures for such a policy nevertheless requires a sound knowledge and understanding of the scope, functioning and performance of the logistics sector, but also of the challenges as well as geo-political and economic trends and developments it is faced with.

**L1.2. Objectives**

The overall objective of the study is to contribute to such a knowledge basis and understanding, enabling the development of a mid-to long-term policy strategy for the European freight transport logistics sector.

More specific objectives are:

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\(^2\) COM (2006) 336 final of 28.06.2006 "Freight Transport Logistics in Europe – the key to sustainable mobility"

\(^3\) COM (2007) 607 final of 18.10.2007 "Freight Transport Logistics Action Plan"

\(^4\) COM (2011) 144 final of 28.3.2011 "Roadmap to a single European transport area"
• The study shall improve the statistical basis for policy and decision-making and provide relevant data on key parameters such as costs, revenues, employment, etc.

• The study shall look at logistics performance indicators and benchmarks. It shall hereby take into account previous and on-going studies, projects etc.

• The contractor shall identify trends in logistics and supply chain management at EU and global level, their underlying reasons and economic, environmental and social impacts as well as the challenges they pose to the transport system.

• The contractor shall assess the actions described in the Freight Transport Logistics Action Plan as regards their relevance today, state of accomplishment and further work required etc.

• The contractor shall identify and elaborate possible actions following-up on the Freight Transport Logistics Action Plan, but also beyond the Freight Transport Logistics Action Plan, at EU, Member State and sector level and on a mid-to long-term basis. The contractor shall identify policy options and assess potential impacts of both actions and policy options in economic, environmental and social terms.

L1.3. Required tasks

Task 1: Statistical analysis

Due to the complexity of the logistics sector, different definitions, methodologies and data collection techniques, there is a lack of coherent, detailed and globally comparable statistical data of the EU logistics sector.

The contractor shall provide an overview of problems faced as well as solutions in obtaining comparable logistics data for sectors, Member States, regions as well as globally (definitions, methodologies, data collection techniques, etc.). The contractor shall hereby take into account existing work, comparative studies and best practices.

The contractor shall provide concrete and realistic proposals and recommendations as regards the collection, update and maintenance of logistics data and identify additional actions required and at which level.

The contractor shall use in the following existing data sources, and acquire where necessary data. Data sources shall be clearly stated, proprietary and confidentiality issues identified. Data shall be verified where considered necessary and data gaps filled by own data research, whereby the methods or mix of methods needs to be clearly identified - questionnaires, interviews, case studies, modelling. Data shall be provided as comprehensive, complete and comparable as possible. Data shall be provided on a Member States level and aggregated for the EU. Data shall be provided for a series of years to identify trends. The data shall be categorised, identified and processed in a way which would allow for an "easy to handle" revision and updating of the data.

The contractor shall provide data on the following (whereby the contractor shall contribute with own expertise and knowledge in the identification of relevant data):
• Logistics service providers, divided by types of activities (3PLs, 4PLs, freight forwarders, transport operators): number of enterprises, turnover, revenues, number of employees, productivity, transport performance, tonnage transported, cost elements; economic importance etc.

• Logistics costs of important economic sectors and sub-sectors (to be agreed upon with the Commission), differentiated by logistics segments (transportation, warehousing, inventory-carrying, added value services, logistics administration costs…) and cost elements (labour, fuel, taxes, renting, insurance…), their share in the total product costs and their impact on e.g. the amount of stock-keeping and on the overall performance of businesses and the economy as a whole.

• Logistics performance of important economic sectors and sub-sectors (to be agreed upon with the Commission) etc. and their economic importance.

• Logistics performance, in particular the freight transport logistics sector of Member States, the EU and the comparative analysis of the logistics performance with other relevant countries and/or regions e.g. US, China.

Task 2: Performance indicators and best practices

The contractor shall analyse the existing tools developed for assessing logistics performance on national level such as the World Bank's Logistics Performance Indicator.

The contractor shall also analyse existing tools to assess companies' and sectorial performances.

The analysis shall comprise an inventory and critical assessment of the existing tools, identify possible weaknesses and gaps and produce concrete proposals for performance measurement.

Task 3: Trends and their effects

The contractor shall, based on desk research, surveys and case studies, identify current, emerging and possible future trends in logistics and supply chain management at EU and global level, their underlying reasons (national, regional, global, economic, environmental, societal, geo-political…) and their economic, environmental and social impacts as well as the challenges they pose to the transport system.

The contractor shall develop accordingly a number of scenarios of how logistics will look like on a medium (e.g. 2030) and long-term (e.g. 2050) basis.

The contractor shall analyse economic, environmental and social impacts of these trends and assess the resulting requirements for the transport system. Impacts shall be assessed in qualitative and quantitative terms.

Task 4: Review of the Freight Transport Logistics Action Plan, outlining and assessing key aspects for a mid-to long term logistics policy
4.1: Problem definition

The contractor shall review and revise, also in view of the above, the underlying problems, problem drivers and objectives of the actions identified in the 2007 Freight Transport Logistics Action Plan. The contractor shall provide sufficient evidence to validate or reject any claims concerning the problem and provide preferably quantitative evidence on the scale of the problem and the problem drivers, and notably:

- collect evidence (quantitative data will have to be collected for this purpose) for analysing the current situation (in economic, social, environmental, technological, possibly ethical terms)
- identify the scale of the problem: who is affected and to what extent
- assess whether there are some groups disproportionately affected – e.g. SMEs
- identify the root causes of the problems
- identify the main market and/or regulatory failures

The list above is not exhaustive and the contractor shall propose, after having analysed the problem, any other indicator/evidence needed to fully substantiate and validate the problem definition and the underlying causes and additional evidence to be collected in order to refine objectives and analyse the impacts for policy options. Any such changes will have to be discussed with the Commission and will require the approval of the latter.

4.2: Stakeholder consultation

Following the inception report a public consultation will be prepared by the contractor, comprising the activities described below. The preparation of the consultation including a consultation plan and key consultation documents will be prepared with the technical officer in charge in DG MOVE.

In relation with the Commission the contractor shall:

- identify the stakeholders concerned (industry sectors, SMEs, public authorities, consumers etc.)
- develop appropriate access strategy (questionnaires, interviews, expert panels, bilateral meetings, conferences) to acquire a representative sample of the opinions of all relevant stakeholders
- pre-survey the interests (strategic, operational) of stakeholders and propose ways to engage them
- provide support in drafting the questionnaire
- support and complement the public consultation of the Commission by approaching those stakeholders who did not respond
- provide assistance in organising up to two consultation meetings with the industry stakeholders and member states representatives in order to understand the intentions/views; the basic requirements; and the decision making processes of the actors concerned, and producing meeting reports of these meetings (the meeting facilities are provided by the Commission)
• process the results of stakeholder consultations (including statistical analysis, validating results) and preparing an overview paper, including conclusions and recommendations

4.3: Definition of the objectives.

In consultation with the Commission services the contractor shall:
• fine-tune specific and operational objectives, while ensuring that these correspond to the identified problems and their root causes (drivers)
• set out in a clear manner the hierarchy of objectives

4.4: Development of the main policy options

The actions outlined in the Freight Transport Logistics Action Plan shall be reviewed as regards their relevance, feasibility, achievability, level of accomplishment (not as regards the originally set target dates, but contents-wise), time-horizon etc.

Next steps, if needed and relevant, and possible new areas of action and specific actions shall be identified. The contractor shall then define relevant policy options and analyse the impacts of actions/measures and policy options in economic, environmental and societal terms.

The contractor shall identify actions which would best serve the economic performance and competitiveness of the EU logistics sector at medium to long-term, while responding to environmental, social and societal challenges. The contractor shall come forward with concrete and detailed roadmaps.

The contractor shall conduct this analysis against the identified trends characterising and impacting on the logistics and supply chain sector at the EU as well as global level.

4.5: Analysis is of impacts

The contractor shall
• scope main relevant economic, social, environmental impacts – positive and negative, direct and indirect, intended and unintended (see IA Guidelines / section 8.2 for example of key questions to be addressed)
• use qualitative, quantitative and monetary models, use existing data and collect additional data for the analysis, provide in particular quantitative and monetary data
• assess these impacts applying appropriate methods (such as causality analysis, multi-criteria analysis, risk analysis, sensitivity analysis, econometric modelling, cost benefit analysis, cost-effectiveness analysis, sample analysis etc.)

• assess relevant 'special' impacts such as administrative costs, fundamental rights (in particular, property rights), competitiveness, consumers etc.
• assess budgetary implications at EU and national level
• identify risks related to policy options, including political feasibility and potential obstacles to compliance

4.6: Comparison of options

The contractor shall

• map the positive and negative impacts of different options
• assess the balance between economic, environmental and social impacts
• identify the trade-offs and synergies (e.g. between different stakeholder groups)
• assess the effectiveness, efficiency and coherence of options in terms of specific or operational objectives
• present aggregated and disaggregated results of comparison
• assess proportionality of different options

4.7: Monitoring and evaluation

The contractor shall

• assess the effectiveness and efficiency of current monitoring and evaluation arrangements
• identify appropriate monitoring indicators which should be closely linked to the operational objectives
• assess the availability of data
• assess the costs of acquiring additional data

L1.4. Outputs, deliverables and timetable

L1.4.1. Meetings

• A kick-off meeting will take place in Brussels, at the latest 10 working days following the entry into force of the contract, in order to settle all the details of the study to be undertaken. Preparatory documents for the kick-off meeting are to be delivered to the Commission’s services 3 working days before the kick-off meeting. These preparatory documents shall include a draft meeting agenda, study objectives, a description of the methodology including resources and timetable of the work to be carried out, data collection methodology and approach, data collection tools as well as lists of contacts to be surveyed or interviewed (subject to further refinement during kick-off meeting and during the implementation of the study). The Contractor will produce minutes of the kick-off meeting within 5 calendar days after the kick-off meeting.
• The contractor will further produce within 5 working days after the kick-off meeting an inception report reflecting the contents of the preparatory documents revised and updated in accordance with the indications provided by the Commission and the agreements reached during the kick-off meeting.

• **Progress meetings** will take place at the occasion of the submission of the progress reports.

• A final progress meeting, if requested by the Commission, will be held within 2 weeks after the submission of the draft final study report.

**L1.4.2. Progress reports**

• The draft of the first progress report shall be submitted to the Commission at the latest 3 months after the date of entry into force of the contract.

• A first progress meeting, if requested by the Commission, during which the contractor will present the interim findings will be held within 4 months after the entry into force of the contract.

• The draft of the second progress report showing progress of the work shall be submitted to the Commission at the latest 5 months after the entry into force of the contract.

• A second progress meeting, if requested by the Commission, will be held within 6 months after the entry into force of the contract.

• The draft of the third progress report showing progress of the work shall be submitted to the Commission at the latest 7 months after the entry into force of the contract.

• A third progress meeting, if requested by the Commission, will be held within 8 months after the entry into force of the contract.

• All progress reports shall contain an executive summary.

• The contractor shall have 10 calendar days in which to submit additional information or corrections, a revised progress report or other documents if it is required by the contracting authority.

• Any supporting documents for the progress meetings reflecting the meeting agenda as prepared in cooperation with the Commission services shall be made available to the Commission services one week before the progress meeting.

• The progress meeting reports will contain the minutes of discussions and agreements reached in the progress meeting. They shall be made available to the Commission's services 5 calendar days after the progress meeting.

**L1.4.3. Final study report**

• A draft version of the final study report will be submitted to the Commission at the latest 9 months after the entry into force of the contract. The contractor shall have 10 calendar days in which to submit additional information or
corrections, a revised draft final study report or other documents if it is required by the contracting authority.

- The final study report will be submitted at the latest 10 months after the entry into force of the contract.
- As regards the contents, structure and graphic requirements of the final deliverables, please refer to Chapter 4.
- Both, the draft final study report and the final study report shall contain an executive summary.

L1.4.4. Report format and publication

- All reports shall be drafted in English and proof-read by a native or native-equivalent speaker.
- 2 copies of the reports shall be supplied in paper form and one copy in electronic form in MS Word.
- The Commission may publish the results of the study. For this purpose, the tenderer must ensure that the study is not subject to any restrictions deriving from intellectual property rights of third parties. Should the tenderer intend to use data in the study, which cannot be published, this must be explicitly mentioned in the offer.

Any results or rights, including copyright and other intellectual or industrial property rights, obtained in performance of the contract, shall be owned solely by the Union.

L1.4.5. Duration of the tasks

- The duration of the tasks shall not exceed 10 months.
- Execution of the tasks begins after the date on which the Contract enters into force.
- In principle, the deadlines set out below cannot be extended. The Contractor is deemed solely responsible for delays occasioned by subcontractors or other third parties (except for rare cases of force majeure). Adequate resources and appropriate organisation of the work including management of potential delays should be put in place in order to observe the timetable below.

L1.5. Indicative budget: The indicative budget amounts to maximum 350.000 EURO.

Specifications for Lot 2:
"Analysis of the EU combined transport"

L2.1. Context

Combined transport (CT) brings together the specific advantages of otherwise competitive modes of transport by combining the flexibility of road with the economies and capacities of rail, inland waterway and sea.

Combined transport is however prone to be at a less competitive position than single mode transports as it needs expensive technical, organizational and infrastructure preparations. Combined transport is related to transhipments often resulting in friction costs, transit time and risk of damage.

In 1992 the Council adopted Directive 92/106/EEC on the establishment of common rules for certain types of combined transport of goods between Member States. The Member States had to transpose the Directive by 1 July 1993 or upon accession in the case of new Member States. The Directive aims to encourage and improve the competitiveness of combined transport. It provided combined transport with a definition, common rules, fiscal incentives and derogations, many of which are considered obsolete due to the liberalisation of both road and railway sectors. The following are also considered to be possible setbacks of the Directive:

- the ambiguity or lack of definitions
- the fiscal incentives not being clear, and not well exploited by the MS
- insufficient statistics and reporting structure for market monitoring
- ……

L2.2. Objectives

The objective of the study is to provide an overview of the state of combined transport in the EU Member States. The study shall provide a thorough analysis of the combined transport sector in the EU, Member States and on selected transport corridors and provide relevant statistics and data to establish a sound knowledge base.

The contractor shall in a second step evaluate how the Combined Transport Directive is transposed and brought into force into Member States' law and regulations and shall assess the compliance of the legal and institutional framework put in place with the European legislation. The study will recommend possible modifications and their potential to improve, modernize and clarify the basic legislation aiming at promoting and facilitating the development of combined transport.

L2.3. **Required tasks**

**Task 1: Collection and analysis of data on the combined transport sector**

For the purpose of this task, combined transport means the movement of goods in one and the same loading unit or vehicle (lorry, trailer, semi-trailer, swap body, container..) by using successively two or more transport modes without handling the goods themselves when changing modes, bearing in mind, if possible, that any initial and final legs carried out by road should be as short as possible.

The aim of this task is to identify and explain the magnitude of combined transport operations in the EU and beyond. Data shall be collected at primary source through conducting a detailed survey across Member States, associations, operators etc.; the contractor may also use existing statistical data and national statistical sources, but then data shall be validated and their comparability ensured.

The contractor should provide answers to the following questions as a minimum for the international (continental and maritime) and domestic (continental and maritime) market segment separately, where relevant differentiating between unaccompanied and accompanied combined transport and paying special attention to the problem of double counting. The data shall be as up to date as possible. The contractor shall further show the development of the different combined transport market segments over a certain time scale, e.g. the last 20 years, including average annual growth rates. The key objective for all questions is to obtain as many quantitative data as possible, pure qualitative assessments should be only done in exceptional cases.

- What are the main transport corridors on which combined transport operations take place, in the EU and beyond. Specify separately for all types of combined transport operations involving rail, inland waterways and sea (hereafter referred to as combined transport combinations).

- Investigate if there are combined transport operations where more than two modes are included.

- How many lorries, trailers, semi-trailers, swap bodies and TEU were transported in combined transport operations in the EU, at Member States level and on the main transport corridors in total and considering separately all combined transport combinations?

- What is the percentage of 40' and 45' container in combined transport operations in the EU, at Member States level and on selected transport corridors, and per combined transport combination?

- How many tonne kilometres (tkm) of combined transport operations were performed in the EU, at Member States level, on selected transport corridors in total and considering separately all combined transport combinations?

- What are the market shares held by combined transport in total and considering separately all combined transport combinations - in the EU, at Member States level and on selected transport corridors and in terms of numbers, tonnage, TEU and transport performance (tkm)?

- What is the average length of the pre- and on-carriage road legs in combined transport operations?
The contractor shall further address the following questions as regards the structure of the combined transport sector:

- What are relevant external (markets, economical, organisational, modal, technological, regulatory…) and sector-internal trends determining the future development of combined transport? What are the forecasts as regards the further development of combined transport in the next 10, 20 etc. years?

- What are the key bottlenecks for combined transport? What are possible solutions, best practices etc.? What are the necessary requirements for a smooth functioning of combined transport? Are there any measures (financial support via programmes, other incentives such as financial, fiscal, technical, operational…) which could help promoting and exploiting the modal shift potential of combined transport even further?

- Are there support programmes dedicated or including combined transport at MS level, if yes, describe. Are there lessons to be learnt from non-EU countries and/or from outside the EU?

- Who are the key operators in combined transport operations per combined transport segment? How are they organised? What are their individual combined transport volumes and performance?

- Are there relevant trends in combined transport in adjacent non-EU and pre-accession, candidate and neighbouring countries which will impact on combined traffic flows to/through the EU?

- What is the overall economic importance of the combined transport sector - employment, revenues, investments etc. (combined transport and/or terminals)?

- What is the cost and revenue structure of combined transport operations?

- What are the systemic, environmental, economic and social advantages and disadvantages of combined transport in comparison to single-mode transport; in terms of e.g. safety, energy-efficiency, emissions, congestion, reliability, efficiency, cost-efficiency, productivity etc.?

There is the need for the identification of more uniform statistics, and developing an appropriate data collection system, with a standardised, harmonised reporting structure whilst safeguarding business interests.

The study should come forward with concrete recommendations and propose an outline for such a data collection system, enabling also enhanced reporting and monitoring of the development of combined transport at EU level, the application of Community law in that area and the definition, where necessary, of further measures to promote combined transport operations.

The contractor shall set up indicators, in particular on the competitiveness and attractiveness of combined transport.

**Task 2: Assessment of the transposition of Directive 92/106/EEC into the national legislation**
The information available suggests that the Directive is differently interpreted and transposed into national legislation. This in turn provides for different ways in which the combined transport operations are treated in the Member States.

The aim of this task is to obtain an overview and analysis of how Member States transposed the Directive into their national laws and regulations in comparison to the Directive. The contractor will provide the European Commission with the relevant legal act(s) from each country in the native language and translated in English.

The contractor will in particular address the following (not exclusive):

- Provide the name of the government authority in each country responsible for compliance of the national legislation to the Directive.
- How is the combined transport definition applied in each of the EU Member States?
- Which criteria are used in deciding upon the "nearest suitable rail station"?
- Which fiscal incentives, outlined in Article 6.1 and 6.2 of the Directive, are granted in each of the countries and on which basis?
- Are there any cabotage rules applicable for combined transport operations in individual Member States?
- Provide statistical data on a Member States level of the usage/application of the incentives provided for under the Combined Transport Directive.

**Task 3: Assessment of the need for revision of the Directive 92/106/EEC**

The aim of this task is to assess whether there is a need for a revision of the Directive, both, in order to overcome potential weaknesses of the current Directive, and to promote combined transport even better, to identify possible modifications required to do so and why, to formulate relevant policy options and to assess the potential impacts of the modifications and policy options.

This task has to be looked at also in the context of other relevant EU legislation such as Council Directive 96/53/EC on weights and dimensions and the on-going revision process.

More specifically the contractor will:

- Assess if there is a need and demand to amend the Directive.
- Launch experts consultations after consultation with and subject to approval by the Commission:
  - The contractor will organize interviews with relevant representatives of ministries, administrations, operators, shippers, recognized

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organizations and social partners. These interviews shall give a better knowledge of the stakeholders' positions and about the conditions under which the possible amended Directive's enforcement would need to take place, including possible impediments.

- To ask questions in the form of a questionnaire, prioriy approved by the Commission services, designed to obtain comparable answers allowing comparisons and consistent results. The questionnaire should aim to help gather information not available through published sources.

- After collecting the relevant data and processing the results, the contractor will analyse the feedback received using a precise methodology.

- The contractor shall further organise a stakeholder workshop aiming at collecting additional input as well as feedback on possible scenarios for a future combined transport policy.

- Based on the information obtained, the contractor shall identify which modifications to the Directive would be desirable and feasible and why in terms of underlying problems, drivers and objectives.

The contractor shall develop and assess possible future policy measures and options for combined transport at EU level.

- The contractor shall identify potential economic, environmental and social impacts (qualitative, quantitative, direct/indirect, long/short term) and assess the legal, technical and financial feasibility of the enforcement of legislative amendments of the identified modifications, measures and policy options.

- The contractor shall draw a comparison of the various impacts under the different policy options.

- The contractor shall present, on this basis, a table with the principal strengths, weaknesses, opportunities and threats of each policy measure and option, including obstacles to compliance.

- The contractor shall draw up clear conclusions in the form of a section for the final study report.

- Impacts shall be identified as much as possible in the form of quantitative data.

- The contractor shall follow the guidelines for impact assessment of the European Commission.8

L2.4. Outputs, deliverables and timetable

8 http://ec.europa.eu/governance/impact/index_en.htm
L2.4.1. Meetings

- A **kick-off meeting** will take place in Brussels, at the latest 10 working days following the entry into force of the contract, in order to settle all the details of the study etc. to be undertaken. Preparatory documents for the kick-off meeting are to be delivered to the Commission’s services 3 working days before the kick-off meeting. These preparatory documents shall include a draft meeting agenda, study objectives, a description of the methodology including resources and timetable of the work to be carried out, data collection methodology and approach, data collection tools as well as lists of contacts to be surveyed or interviewed (subject to further refinement during kick-off meeting and during the implementation of the study). The Contractor will produce minutes of the kick-off meeting within 5 calendar days after the kick-off meeting.

- The contractor will further produce within 5 working days after the kick-off meeting an inception report reflecting the contents of the preparatory documents revised and updated in accordance with the indications provided by the Commission and the agreements reached during the kick-off meeting.

- **Progress meetings** will take place at the occasion of the submission of the progress reports.

- A final progress meeting, if requested by the Commission, will be held within 2 weeks after the submission of the draft final study report.

L2.4.2. Progress reports

- The draft of the first progress report shall be submitted to the Commission at the latest 2 months after the entry into force of the contract.

- A first progress meeting, if requested by the Commission, during which the contractor will present the interim findings will be held within 3 months after the entry into force of the contract.

- The draft of the second progress report showing progress of the work shall be submitted to the Commission at the latest 4 months after the entry into force of the contract.

- A second progress meeting, if requested by the Commission, will be held within 5 months after the entry into force of the contract.

- The draft of the third progress report showing progress of the work shall be submitted to the Commission at the latest 6 months after the entry into force of the contract.

- A third progress meeting, if requested by the Commission, will be held within 7 months after the entry into force of the contract.

- All progress reports shall contain an executive summary.
• The contractor shall have 10 calendar days in which to submit additional information or corrections, a revised progress report or other documents if it is required by the contracting authority.

• Any supporting documents for the progress meetings reflecting the meeting agenda as prepared in cooperation with the Commission services shall be made available to the Commission services one week before the progress meeting.

• The progress meeting reports will contain the minutes of discussions and agreements reached in the progress meeting. They shall be made available to the Commission's services 5 calendar days after the progress meeting.

L2.4.3. Final study report

• A draft version of the final study report will be submitted to the Commission at the latest 8 months after the entry into force of the contract. The contractor shall have 10 calendar days in which to submit additional information or corrections, a revised draft final study report or other documents if it is required by the contracting authority.

• The final study report will be submitted at the latest 9 months after the entry into force of the contract.

• As regards the contents, structure and graphic requirements of the final deliverables, please refer to Chapter 4.

• Both, the draft final study report and the final study report shall contain an executive summary.

L2.4.4. Report format and publication

• All reports shall be drafted in English and proof-read by a native or native-equivalent speaker.

• 2 copies of the reports shall be supplied in paper form and one copy in electronic form in MS Word.

• The Commission may publish the results of the study. For this purpose, the tenderer must ensure that the study is not subject to any restrictions deriving from intellectual property rights of third parties. Should he intend to use data in the study, which cannot be published, this must be explicitly mentioned in the offer.

• Any results or rights, including copyright and other intellectual or industrial property rights, obtained in performance of the contract, shall be owned solely by the Union.

L2.4.5. Duration of the tasks

• The duration of the tasks shall not exceed 9 months.
• Execution of the tasks begins after the date on which the Contract enters into force.

• In principle, the deadlines set out below cannot be extended. The Contractor is deemed solely responsible for delays occasioned by subcontractors or other third parties (except for rare cases of force majeure). Adequate resources and appropriate organisation of the work including management of potential delays should be put in place in order to observe the timetable below.

L2.5. **Indicative budget:** The indicative budget amounts to maximum 250.000 EURO.

**Specifications for Lot 3:**

*"Introduction of a standardised carbon footprint methodology"

L3.1. **Context**

The European Commission adopted in March 2011 the White Paper on transport "Roadmap to a Single European Transport Area – Towards a competitive and resource efficient transport system". The White Paper defines the Commission's strategy to address the future challenges of transport notably the need to maintain and develop mobility and reduce the carbon footprint of transport considerably.

To achieve this objective and to harmonise existing methodologies and schemes to calculate the carbon footprint of transport services, initiative 29 of the White Paper stresses the need to develop common EU standards to estimate the carbon footprint of passenger and freight transport (hereafter referred to as transport services). These standards may thereafter serve as a basis for the certification of existing and new schemes, methodologies and calculation tools.

It is important to stress here that there exists no universally accepted definition of the concept of carbon footprint. There are many discussions about the scope of emissions and life-cycle stages that have to be considered as well as about the organisational boundaries and environmental impacts that should be integrated within carbon footprint calculations. These discussions are at the basis of the divergences and inconsistencies between the existing methodologies and tools.

The first EU initiative related to the development of common methodologies for the calculation of the carbon footprint of products was launched by the

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9 COM(2011) 144 final

10 It is important to notice that international standards defines product as: "the result of a process, i.e., a set of interrelated or interacting activities which transforms inputs into outputs, of which four generic categories are services, software, hardware and processed materials" (*Adapted from ISO 9000:2005, Definitions 3.4.1 and 3.4.2*). Transport services fall therefore also under the category "products".
Council in its conclusion on the "Sustainable Consumption and Production Action Plan" of December 2008. In 2010, the Single Market Act repeated the will of the Commission to explore the possibilities for establishing a common European methodology to assess the ecological and carbon footprint of products. In 2011, the "Roadmap to a Resource Efficient Europe" further strengthened and defined the future work of the Commission on the development of common methodologies to assess the environmental footprint of products, services and companies. DG ENV has taken the lead on this initiative as regards the development of methodological guides on the *environmental footprint of products and organisation*.

In parallel, key action 12 of the Commission's Digital Agenda for Europe engaged the Commission to assess by 2011 if the **ICT sector** has complied with the deadline to adopt common measurement methodologies for the sector's own energy performance and GHG emissions and propose legal measure if appropriate.

The European Committee for Standardisation (CEN) has recently published EN 16258 on a "Methodology for calculation and declaration of energy consumption and GHG emissions of transport services (freight and passengers)".

Finally, this initiative on the **carbon footprinting of transport services** has to be put in the perspectives of the broader objectives of the Commission in terms of internalisation of external costs of transport and right pricing policies. Even if the carbon footprint initiative lacks the monetary valuation component, it contributes to the objectives of these two policies by: (1) creating a level playing field between the different transport modes and the different transport service providers in terms of environmental performance; (2) sending a correct signal to the users enabling them to compare different transport options based on environmental criteria.

### L3.2. Problems

There is a multiplication of schemes and methodologies to calculate the carbon footprint of transport services, which leads to the following problems:

- Lack of reliability, comparability and consistency of results of carbon footprint calculations,

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11 Council 16914/08
12 COM (2010) 608 final 2, 10th proposal.
15 CEN, EN 16258 - Methodology for calculation and declaration on energy consumptions and GHG emissions in transport services (good and passengers transport)
• Lack of level-playing field between the different transport modes and the different transport service providers,

• Difficulties for the beneficiaries of transport services to compare the carbon efficiency of different transport options on a sound basis and

• Lack of possibility to benchmark different transport companies based on their carbon efficiency and environmental performances.

L3.3. Objectives

The study shall address the multiplication of schemes and methodologies to calculate the carbon footprint of transport services. This existing multitude of schemes prevents the users of transport services to compare their results as the assumptions behind each scheme are different.

The study shall assess the impacts of introducing a standard for the calculation of the carbon footprint of freight and passenger transport services in Europe, aiming at:

• enhancing the reliability and consistency of results of carbon footprint calculations;

• developing a level-playing field between the different transport modes and the different transport service providers in terms of environmental performance;

• creating the possibility to benchmark different transport companies offering similar services based on their environmental performances;

• enabling the users of transport services to compare the carbon efficiency of different transport options on a sound basis;

• creating the possibility to certificate existing methodologies and tools to calculate the carbon footprint of transport services based on a common standard and

• facilitating the marketing of cleaner transport solutions.

L3.4. Options

The initial policy options are considered to be the following:

1. Option A: "Business as usual", i.e. no action, leave the initiative to the private sector.

2. Option B: Promote the development and deployment of a harmonised carbon footprint calculator through research, funding and support programmes, and through soft law instruments such as standardisation, awareness-raising campaigns, working groups, encouragement of Product Category Rules, etc.

3. Option C: Develop guidelines establishing a minimum standard for the calculation of the carbon footprint of transport services, but no legal obligation.

4. Option D: Develop a legally binding standard.

The listed problems shall be assessed and revised if necessary during the course of the study.
L3.5. **Required tasks**

The study shall address all aspects of an impact assessment following the Commission's Impact Assessment Guidelines\(^{16}\):

The following tasks shall be conducted:

**Task 1: State of the art and comparative analysis**

Establish and evaluate the status quo of carbon footprint calculators and related concepts including an inventory of methodologies, carbon footprint calculators in use, studies, reports etc. at national, European, global and company level (building also on material made available by the European Commission services). Identified carbon footprint calculators and their underlying methodologies shall be then analysed and compared, gaps shall be identified, minimum requirements defined, and guidelines formulated. In particular this task shall take into account the work of CEN 16258\(^ {17}\) and RTD projects such as COFRET\(^ {18}\).

**Task 2: Problem definition**

The contractor shall critically identify and assess the problem(s) and the drivers behind them. The contractor shall provide sufficient evidence to validate or reject any claims concerning the problem and provide preferably quantitative evidence on the scale of the problem and the problem drivers, and notably:

- collect evidence (quantitative data will have to be collected for this purpose) for analysing the current situation (in economic, social, environmental, technological, possibly ethical terms)
- identify the scale of the problem: who is affected and to what extent. Actors already identified are the following:
  - Transport user
  - Transport provider
- assess whether there are some groups disproportionally affected – e.g. SMEs
- identify the root causes of the problems
- identify the main market and/or regulatory failures

The list above is not exhaustive and the contractor shall propose, after having analysed the problem, any other indicator/evidence needed to fully substantiate and validate the problem definition and the underlying causes and additional

\(^{16}\) [http://ec.europa.eu/governance/impact/index_en.htm](http://ec.europa.eu/governance/impact/index_en.htm)

\(^{17}\) CEN, 16258 - Methodology for calculation and declaration on energy consumptions and GHG emissions in transport services (good and passengers transport)

\(^{18}\) [http://www.cofret-project.eu/](http://www.cofret-project.eu/)
evidence to be collected in order to refine objectives and analyse the impacts for policy options. Any such changes will have to be discussed with the Commission and will require the approval of the latter.

When addressing the problem(s), issues such as accessibility of data, verification and transparency of results, cost and administrative burden for transport companies, consideration of overall environmental performances of transport services as well as compliance with international standards will have to be considered and addressed.

**Task 3: Stakeholder consultation**

Following the inception report a public consultation will be prepared by the contractor, comprising the activities described below. The preparation of the consultation including a consultation plan and key consultation documents will be prepared with the technical officer in charge in DG MOVE.

In relation with the Commission the contractor shall:

- identify the stakeholders concerned (industry sectors, SMEs, public authorities, NGOs, consumers etc.)
- develop appropriate access strategy (questionnaires, interviews, expert panels, bilateral meetings, conferences) to acquire a representative sample of the opinions of all relevant stakeholders.
- pre-survey the interests (strategic, operational) of stakeholders and propose ways to engage them
- help in drafting the questionnaire
- support and complement the public consultation of the Commission by approaching those stakeholders who did not respond
- provide assistance in organising one to three consultation meetings with the industry stakeholders and member states representatives in order to understand the intentions/views; the basic requirements; and the decision making processes of the actors concerned, and producing meeting reports of these meetings (the meeting facilities are provided by the Commission)
- process the results of stakeholder consultations (including statistical analysis, validating results) and preparing an overview paper, including conclusions and recommendations.

**Task 4: Definition of the objectives**

In consultation with the Commission services the contractor shall:

- fine-tune specific and operational objectives, while ensuring that these correspond to the identified problems and their root causes (drivers)
- set out in a clear manner the hierarchy of objectives

**Task 5: Development of the main policy options**
Against the set of initial policy options the contractor shall execute the following tasks:

- validate and extend the initial set of options in consultation with the Commission services
- propose specific measures under different options, in particular, comparing European versus global solutions and regulatory versus non-regulatory

**Task 6: Analysis of impacts**

The contractor shall scope main relevant economic, social, environmental impacts – positive and negative, direct and indirect, intended and unintended (see IA Guidelines / section 8.2\(^{19}\) for example of key questions to be addressed), and in particular, change of costs for enterprises (with or without existing systems), as well as impacts on modal and multimodal developments.

- use qualitative, quantitative and monetary models, use existing data and collect additional data for the analysis, provide in particular quantitative and monetary data
- assess these impacts applying appropriate methods (such as causality analysis, multi-criteria analysis, risk analysis, sensitivity analysis, econometric modelling, cost benefit analysis, cost-effectiveness analysis, sample analysis etc.)
- assess relevant 'special' impacts such as administrative costs, fundamental rights (in particular, property rights), competitiveness, consumers etc.
- assess budgetary implications at EU and national level
- identify possibilities for mitigating negative impacts
- identify risks related to policy options, including political feasibility and potential obstacles to compliance

**Task 7: Comparison of options**

The contractor shall

- map the positive and negative impacts of different options
- assess the balance between economic, environmental and social impacts
- identify the trade-offs and synergies (e.g. between different stakeholder groups)
- assess the effectiveness, efficiency and coherence of options in terms of specific or operational objectives
- present aggregated and disaggregated results of comparison
- assess proportionality of different options

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**Task 8: Monitoring and evaluation**

The contractor shall:

- assess the effectiveness and efficiency of current monitoring and evaluation arrangements
- identify appropriate monitoring indicators which should be closely linked to the operational objectives
- assess the availability of data
- assessing the costs of acquiring additional data

Particular attention should be given to the collection or production of relevant reliable data, and to the assessment of the uptake potential of carbon footprint measurement. The data provided will have to be recent and to be confirmed in various sources. References to the source of the data will have to be provided and, if the data has been elaborated by the contractor, the methodology of data production will need to be approved by the Commission first, and clearly indicated in the reports.

**Task 9: Additional tasks to be addressed**

The study should consider work carried out prior to and in parallel with the present initiative.

The following potential measures and areas shall be reflected upon:

1. Ideas for research, development, demonstration, verification and evaluation of emerging trends and methodologies as well as validation of best practises in the field of carbon footprint and beyond
2. Possibilities and options incorporating carbon footprint measurement in EC funding instruments, in particular TEN-T and Connecting Europe Facility as well as developing the topic around carbon footprint measurement further via EU funding instruments such as the Research Framework Programme and others
3. Catalytic actions, incentives and innovation
4. Other measures

**Existing documentation and information, monitoring system**

The study shall take into account results from the following:

- Previous and on-going R&D projects such COFRET
- Standardisation work developed by CEN and ISO\(^\text{20}\)
- Existing international standards and methodologies, e.g. GHG Protocol Standards\(^\text{21}\) and PAS2050\(^\text{22}\)

\(^{20}\) ISO 14067, Carbon footprint of products.
• Initiatives taken by the private sector at national and international level, e.g. Green Freight Europe\textsuperscript{23} and Lean and Green\textsuperscript{24}.

L3.6. Outputs, deliverables and timetable

L3.6.1. Meetings

• A kick-off meeting will take place in Brussels, at the latest 10 working days following the entry into force of the contract, in order to settle all the details of the study to be undertaken. Preparatory documents for the kick-off meeting are to be delivered to the Commission’s services 3 working days before the kick-off meeting. These preparatory documents shall include a draft meeting agenda, study objectives, a description of the methodology including resources and timetable of the work to be carried out, data collection methodology and approach, data collection tools as well as lists of contacts to be surveyed or interviewed (subject to further refinement during kick-off meeting and during the implementation of the study). The Contractor will produce minutes of the kick-off meeting within 5 calendar days after the kick-off meeting.

• The contractor will further produce within 5 working days after the kick-off meeting an inception report reflecting the contents of the preparatory documents revised and updated in accordance with the indications provided by the Commission and the agreements reached during the kick-off meeting.

• Progress meetings will take place at the occasion of the submission of the progress reports.

• A final progress meeting, if requested by the Commission, will be held within 2 weeks after the submission of the draft final study report.

L3.6.2. Progress reports

• The draft of the first progress report shall be submitted to the Commission at the latest 2 months after the entry into force of the contract.

• A first progress meeting, if requested by the Commission, during which the contractor will present the interim findings will be held within 3 months after the entry into force of the contract.

\textsuperscript{21}http://www.ghgprotocol.org/


\textsuperscript{23}http://www.greenfreight europe.eu/

\textsuperscript{24}http://www.duurzamelogistiek.nl/en-GB/lean-and-green/
• The draft of the second progress report showing progress of the work shall be submitted to the Commission at the latest 4 months after the entry into force of the contract.

• A second progress meeting, if requested by the Commission, will be held within 5 months after the entry into force of the contract.

• The draft of the third progress report showing progress of the work shall be submitted to the Commission at the latest 6 months after the entry into force of the contract.

• A third progress meeting, if requested by the Commission, will be held within 7 months after the entry into force of the contract.

• All progress reports shall contain an executive summary.

• The contractor shall have 10 calendar days in which to submit additional information or corrections, a revised progress report or other documents if it is required by the contracting authority.

• Any supporting documents for the progress meetings reflecting the meeting agenda as prepared in cooperation with the Commission services shall be made available to the Commission services one week before the progress meeting.

• The progress meeting reports will contain the minutes of discussions and agreements reached in the progress meeting. They shall be made available to the Commission's services 5 calendar days after the progress meeting.

L3.6.3. Final study report

• A draft version of the final study report will be submitted to the Commission at the latest 8 months after the entry into force of the contract. The contractor shall have 10 calendar days in which to submit additional information or corrections, a revised draft final study report or other documents if it is required by the contracting authority.

• The final study report will be submitted to the Commission at the latest 9 months after the entry into force of the contract.

• As regards the contents, structure and graphic requirements of the final deliverables, please refer to Chapter 4.

• Both, the final draft study report and the final study report shall contain an executive summary.

L3.6.4. Report format and publication

• All reports shall be drafted in English and proof-read by a native or native-equivalent speaker.
• 2 copies of the reports shall be supplied in paper form and one copy in electronic form in MS Word.

• The Commission may publish the results of the study. For this purpose, the tenderer must ensure that the study is not subject to any restrictions deriving from intellectual property rights of third parties. Should he intend to use data in the study, which cannot be published, this must be explicitly mentioned in the offer.

• Any results or rights, including copyright and other intellectual or industrial property rights, obtained in performance of the contract, shall be owned solely by the Union.

L3.6.5. Duration of the tasks

• The duration of the tasks shall not exceed 9 months.

• Execution of the tasks begins after the date on which the Contract enters into force.

• In principle, the deadlines set out below cannot be extended. The Contractor is deemed solely responsible for delays occasioned by subcontractors or other third parties (except for rare cases of force majeure). Adequate resources and appropriate organisation of the work including management of potential delays should be put in place in order to observe the timetable below.

L3.7. Indicative budget: The indicative budget amounts to maximum 200,000 EURO.

Specifications for Lot 4:

"Ex-ante analysis of the follow-up of the Marco Polo programme in the Multiannual Financial Framework 2014 - 2020"

L4.1. Introduction

This document provides detailed requirements for a study to support the Commission in the ex-ante evaluation concerning a follow-up of the Marco Polo programme in the Multiannual Financial Framework 2014 – 2020.

L4.2. Context

Since 1992 the European Union sets distinct financial incentives to foster intermodal transport services as an environmentally friendly alternative to road-only freight transport solutions. The funding programme PACT, mainly focusing on combined transport solutions, was running between 1997 – 2001.

In the White Paper - European Transport Policy for 2010: time to decide, published in September 2001, the Commission stressed the development of intermodality as a
practical and effective means to achieve a balanced transport system and proposed to take measures which should make the market shares of the modes of transport return, by 2010, to their 1998 levels.

Therefore, in 2003 the Marco Polo I Programme\textsuperscript{25} was launched in order to reduce road congestion and to improve the environmental performance of the freight transport system. The programme proposed to shift the expected aggregate increase in international road freight traffic to short sea shipping, rail and inland waterways or to a combination of modes of transport in which road journeys were as short as possible, in order to prevent from its negative consequences in terms of additional road infrastructure costs, accidents, congestion, local and global pollution.

The programme was revised in 2006. Marco Polo II\textsuperscript{26} was established for the period 2007-2013 with an increased budget of €450 million and extended scope of the intervention. However, the renewed programme did not fundamentally change its main objectives and funding allocation criteria. Marco Polo II was amended in 2009\textsuperscript{27} in order to facilitate participation by small and medium enterprises and to simplify the procedures. In addition to that, the funding intensity was doubled from €1 to €2 for each 500 tonne kilometres shifted off the road.

The management of the programme was devolved in 2008 to an executive agency (Executive Agency for Competitiveness and Innovation - EACI).

The results of an external evaluation of the programme\textsuperscript{28} confirmed its unique and important features such as transparency, the precision with which results can be measured and quantified and the direct relationship between EU funding and the results obtained.

Between the call years 2003 and 2011, 172 grants have been awarded, providing the financial aid to over 650 companies. Since 2003, the programme delivered substantial modal shift leading to high environmental benefits. On the other side, the ambitious objectives set for the Marco Polo I programme have not been fully achieved (21.9 btkm, which represents 46% of planned modal shift). Marco Polo II is still running and the final figures are not yet available.

The evaluation recommended a successor to the Marco Polo programme to be introduced, however it was acknowledged that this does not necessarily mean that the focus need to remain on support to modal shift.

In March 2011, the European Commission adopted a comprehensive strategy (White Paper) for a competitive transport system that will enhance mobility and accessibility, remove major barriers in key areas and increase growth and employment. Amongst the main targets for the future transport policy there are:


\textsuperscript{28} Evaluation of the Marco Polo Programme 2003 – 2010, Europe Economics, April 2011
deployment of clean fuels, optimisation of the performance of multimodal logistic chains and use of more energy-efficient modes, increasing the efficiency of transport and of infrastructure use and development of information systems and market-based incentives.

The revised Trans-European Transport Network guidelines (TEN-T)²⁹ proposed by the Commission in October 2011, will provide the main framework to achieve the transport policy objectives as specified in the White Paper. The TEN-T programme is expected to establish a core transport network to act as the backbone for transportation within the Single Market. This core network will be supported by a comprehensive network of routes, feeding into the core network at regional and national level.

The Commission proposed the TEN-T programme to be implemented through the Connecting Europe Facility (CEF)³⁰ – the main funding instruments to be used for the provision of financial aid to the EU transport policy in the Multiannual Financial Framework (MFF) 2014 – 2020. The CEF will finance projects in Europe's energy, transport and digital infrastructure. Within its transport component, the CEF is foreseen to upgrade Europe's transport infrastructure, build missing links and remove bottlenecks.

This policy context sets out the background for the development of a new instrument replacing the Marco Polo programme in support of innovative and sustainable freight transport services, with the aim of improving efficiency of European freight transport and logistics.

The Commission proposed this new scheme to be implemented within the revised TEN-T framework in line with the multi-modal core network. The Commission proposals for the new TEN-T guidelines and the Regulation establishing the Connecting Europe Facility refer to efficient freight transport solutions that use the infrastructure of the TEN-T comprehensive network and contribute to reducing carbon dioxide emissions³¹.

Consequently, the follow-up of Marco Polo needs to be revised from the current format with respect to the type of actions supported, management structure and implementation procedures. It should address the main shortcomings identified under the current programme and be improved in terms of objectives, scope and contents as well as simplified access and procedures for the applicants. Furthermore, the provision of a common legal framework for CEF and, more specifically, for TEN-T will likely result in streamlining implementation of the transport policy through just one Executive Agency. Such an approach would need to ensure consistency within the operational structures and procedures of TEN-T and the operational business aspects of the successor to the Marco Polo programme.

²⁹ Proposal for a Regulation on Union guidelines for the development of the trans-European transport network, COM(2011) 650/2


³¹ See in particular Art. 38 of the Commission Proposal for a Regulation on Union guidelines for the development of the trans-European transport network, COM(2011) 650/2
L4.3. Problems

The transport market does not operate at optimal efficiency because of market failures which hamper the achievement of an integrated, efficient and sustainable transport system. Market failures are outcomes of a situation where a market does not efficiently allocate resources to achieve the greatest possible benefits. In other words, the social costs of producing the good or service (all of the opportunity costs of the input resources used in its creation) are not minimized, and this results in a waste of resources. In this context the following problems have been identified:

- Insufficient effectiveness of modal shift policy

The policy focusing in the past on modal shift only has not been able to fully acknowledge and address these deficiencies as it does not cover important bottlenecks for the efficient and sustainable operation of the freight transport services market. Despite a decade of active modal shift policy at European (Marco Polo I and II programmes) and national level, the European transport system is still unbalanced and tilted towards the road mode, which has continued to gain market share compared to the other transport modes which have not managed to fully exploit or develop their potential.

- Access to finance

Insufficient availability of external finance for new, more sustainable products and services, with additional problems of access to cash flows in the broad context of the financial crisis.

- Uptake of innovation

One of the basic problems on the market is the retention of non-innovative technologies and insufficient uptake of new, energy-efficient and sustainable solutions. The examples of main barriers to innovation and the inability to move innovations from lab to market are: business risk for the first mover, high capital intensiveness of innovation, uncertainty in market demand, complexity of certain innovation systems and solutions, lack of qualified personnel etc.\(^{32}\)

In the case of information systems and platforms, there is in addition a strong reluctance of commercial parties to share commercially sensitive information or to be continuously monitored.

- Insufficient information and awareness at company level

Most companies pursue a business-as-usual approach as long as the surrounding situation (authorities, customers) does not require changes. Only a set of larger companies develop long-term analyses and invest into change if this provides a competitive advantage. On the market, there exist scattered sources of information on how to make the transport more sustainable and efficient in the most cost-effective way. However, innovative solutions still find it hard to make their way into public in the situation where knowledge spillovers become increasingly important due to

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\(^{32}\) After "Mapping innovation in the European transport sector, An assessment of R&D efforts and priorities, institutional capacities, drivers and barriers to innovation", JRC 2011
growing global competition. There is also insufficient level of awareness about the importance of innovation among public and private stakeholders.

- Lack of interoperability

Relatively low level of integration of transport modes within the logistics chains affects efficiency (and consequently costs) of the transport services. For single modes (in principle railways) there still exist technical, operational and infrastructure barriers, which hamper efficient cross-border operations. Lack of interoperability can be also attributed to impediments to the development of common standards, paperless traffic management systems, ITS applications and efficient ICT solutions.

- Inefficient use of resources

The current statistics indicates that empty runs and relatively low loading factors are a business reality in the freight transport sector (although the figures may vary from one mode to another). Third party carriers have been operating and experiencing collaborative transport for many years through a shared user operation, but within the freight sector as such, the collaboration between companies has been limited. Nevertheless, research indicates that the successful creation and management of horizontal logistics partnerships are possible and controllable. Practitioners endorse the opportunities of collaboration and multimodality, but at the same time consider the organizational and financial impediments to be considerable and sometimes prohibitive. Main obstacles are: lack of solid economic framework and juridical framework and standard contracts, lack of guidelines for partner analysis and selection, lack of impartial facilitator to organize and manage the horizontal collaboration between different logistic chains and lack of mechanisms for fair gain sharing.

- Inefficient use of transport infrastructure

The reflection on the European transport network conducted in the framework of the development of the Commission Proposal for a Regulation on Union guidelines for the development of the trans-European transport network and in particular the wide consultation process, the external expertise, the ex-post assessments and the internal analysis used over the last years have shown that the European Union does not dispose yet of a complete trans-European infrastructure network, and especially not for rail and inland waterways, where essential parts are still missing and constitute important bottlenecks. The infrastructure network in the EU today is indeed fragmented, both from a geographical and a multi-modal perspective. It is also not sufficiently integrated in the international trade flows that feed the European internal market. This situation has also substantial impact on the overall efficiency of freight transport services.

- External costs are not internalised

Congestion, climate change, noise, pollution, accidents are just some of the examples of external costs which are not internalized (with all their negative consequences)

33 see for instance the CO3 project: http://www.co3-project.eu

34 See the Impact Assessment study SEC(2011) 1212 final/2
and for which the additional tax incurred by the transport operators is less than the value of the marginal external costs they impose. There are different ways to deal with external costs, such as: regulation (standards), pricing negative externalities (taxation or charges) or rewarding positive externalities (financial support). The analysis to be performed in the study should take into account in particular the market failures that can be addressed by financial supporting instruments.

**L4.4 Objectives**

The overall objective of the study is to provide the Commission with necessary input to identify and analyse suitable policy options and their different impacts to support the development of a follow-up to the Marco Polo programme beyond 2013, targeting, from a clear business and operational oriented approach, efficient, sustainable, international freight transport services, under the Trans-European Transport Network programme in the framework of the Connecting Europe Facility.

The study shall conduct a thorough market analysis to assess whether there is potential for an effective transport services support instrument. It shall measure, analyse and compare potential impact of the proposed scenarios with relevant and sound/credible indicators, assess the risk and uncertainty of the assumptions and provide a cost-benefit analysis of the EU financial intervention in order to identify the market potential for such intervention and demonstrate its added value.

The analysis shall be based on the results delivered by the Marco Polo programme and best practices demonstrated by other similar schemes and be performed in the context of the transport policy developments, in particular exploiting synergies with the Trans-European Transport Network programme under the common framework of the Connecting Europe Facility and other relevant EU interventions (in particular "Horizon 2020"). It shall also take into account key market failures within the sectors of logistics, modal and intermodal transport services with their impact at the European Union scale.

Then, this evaluation shall be used to formally verify that the intervention is based on a coherent strategy, which is relevant to the needs, problems and issues that it is supposed to address. It also must ensure that this strategy is complementary to other public interventions (including those at national level) and check that the necessary monitoring and evaluation systems are being designed into the instrument (i.e. that indicators and baseline data have been defined) to facilitate the intermediate and ex post evaluations to take place at a later date. It shall also address aspects such as type of instruments most suitable to leverage private investments with public funds, setting up of measurable objectives, funding needs and conditions, eligibility and award criteria, simplification of the administrative procedures, operational aspects of integrating the support instruments for services and infrastructure under the TEN-T programme.

**L4.5. Options considered**

The analysis of policy options should not be limited to the ones listed below. This initial set of options should be validated and, if possible, extended, in particular taking account of best practices and solutions from other funding schemes supporting innovative and sustainable freight transport services.
a. **Direct promotion of innovation, efficiency and sustainability**

Focus on promoting innovative and sustainable transport solutions, supporting interconnectivity and improving the effectiveness and efficiency of the EU financial aid, and also paving the way towards the reduction of external costs of transport (climate change, emissions, pollution, congestion, accidents etc.). This means departing from the pure start up aid for modal shift as the key element under the current programme.

Hence, unlike Marco Polo, the new instrument would concentrate funding on:

i. innovative, energy efficient durable equipment (including movable assets):

   - vehicles/vessels;
   - green engines and propulsion systems including alternative energy supply;
   - transhipment technologies;
   - interoperable traffic management systems;
   - ITS applications;
   - efficient ICT solutions;
   - small-scale technological improvements;

ii. collaborative approach in logistics: cargo bundling and fostering cooperation between manufacturing industries and the transport and distribution sector;

iii. building and/or improving small-scale infrastructure (complementary to large scale infrastructure deployed by TEN-T programme and other public interventions) improving sustainability and efficiency of transport operations;

iv. development of human resources for efficient management of supply chains; improvement of knowledge on the market through dedicated training activities: e.g. planning logistics operations, optimisation of logistics chains, innovative solutions in the freight transport etc.

v. eco-driving, eco-steaming.

This option should also address additional, specific aspects such as:

- inclusion of the road transport into the scope of the new instrument;
- facilitating deployment of Motorways of the Sea - based services.
- freight mobility solutions for cities and surrounding areas; improving sustainability of urban freight delivery

b. **Improvement of the modal shift/traffic avoidance approach**

This option would maintain the modal shift/traffic avoidance objective but implement relevant modifications taking into account the evolving policy context (in principle common framework with TEN-T and CEF) and addressing the main shortcomings of the existing programme leading to an increase of the
programme’s effectiveness, efficiency, leverage and uptake of funding, and reducing its administrative complexity. A detailed analysis of relevance of the current eligible actions (Modal shift, Catalyst actions, Common learning actions, Motorways of the sea and Traffic avoidance actions) and possible extension of the scope of the programme would need to be undertaken. This would include also an assessment of relevance and effectiveness of providing support to small-scale infrastructure, necessary and sufficient to achieve the goals of actions.

c. Complementary State aid

A horizontal, cross-cutting option to be assessed is the complementary state aid. At present, the process for linking State aid to Marco Polo is very complex, difficult to coordinate and has lead to a long decision-making process. This may be one reason for the fact that only one Marco Polo project has taken advantage of this possibility so far. Simplifying the process should encourage greater exploitation of joint funding possibilities in the future. It might also be useful to analyse a possibility of establishment of complementary State aid schemes rather than providing opportunities for the use of State aid notifications to support individual services.

d. Combination of options

This option assumes integration of different options (including additional alternative options possibly to be developed by the contractor).

L4.6. Required tasks

In the implementation of the study, the contractor will have to take into account the Commission’s exigencies and the established rules with regard to impact assessment, ex-ante evaluation and legislative financial form. Accordingly, the ex-ante evaluation should in principle be conducted in line with a scheme as indicated below. Please note that only a few alternative programme options or delivery mechanisms are here referred. This list is not exclusive and constitutes the minimum to be taken up by the contractor. The final study report should be largely pedagogic and demonstrate that the various alternatives have been carefully analysed.

Task 1: Analysis of the market context/current situation and the market demand

1.1 Collecting evidence for analysing the current situation on the market (e.g. in economic, social environmental, technological terms) in the EU with respect to the freight transport services. The analysis should be performed in the broader context of trade links and traffic flows between the EU and other relevant trading partners.

1.2 Analysis of market demand to assess whether there is potential for reaping benefits of a future effective transport services support instrument.

Task 2: Fine-tune of the problem definition

2.1 Assessing the pre-defined problems, completing the analysis with additional, relevant factors.
2.2 Identifying the scale and the root causes of the problems, completing the assessment of main market failures.

2.3 Identifying of the causes and challenges brought by the detected problems that the proposal will address.

The list above is not exhaustive and the contractor shall propose, after having analysed the problem, any other indicator/evidence needed to fully substantiate and validate the problem definition and the underlying causes and additional evidence to be collected in order to refine the objectives and analyse the impacts for policy options. Any such changes will have to be discussed with the Commission and will require the approval of the latter.

**Task 3: Identification and analysis of other funding schemes supporting innovative and sustainable freight transport services**

3.1 Identifying funding schemes at national level of the EU Member States and relevant examples of other similar programmes being implemented beyond the EU.

3.2 Assessing potential synergies and overlaps with the funding instrument to be established at the EU level.

3.3 Identifying best practices, delivery mechanisms and solutions, which might be used at the EU level.

3.4 Assessing the possibility to incorporate the ones which are considered most suitable for possible uptake at European level in the initial set of options (listed under section A.10.2.4).

3.5 Developing additional policy options and analyse them in accordance with criteria stipulated under Task 8.

**Task 4: Assessing compliance with the subsidiarity principle**

4.1 Justification for intervention at Community level: assessment of effectiveness, efficiency, administration and management issues, synergetic effects, legal conditions etc.

**Task 5: Analysis of the policy context**

5.1 Analysis of the current and future transport policy context: strategies (e.g Strategy 2020, White Paper) and funding instruments (CEF, TEN-T, Horizon 2020).

5.2 Review of findings and recommendations derived from evaluations and audits of the Marco Polo programme.

**Task 6: Stakeholder consultation**

5.3 Identifying the stakeholders concerned,

5.4 Developing appropriate access strategy (questionnaires, interviews, expert panels, bilateral meetings, conferences);
5.5 Conduct the consultation to acquire a representative sample of the opinions of all relevant stakeholders.

5.6 Processing the results of stakeholder consultations (including statistical analysis, validating results).

5.7 Preparing an overview paper including conclusions and recommendations.

**Task 6: Objectives**

6.1 Fine-tuning and quantifying (where possible) specific and operational objectives, while ensuring that these correspond to the identified problems and their root causes.

6.2 Setting out in a clear manner the hierarchy of objectives

**Task 8: Analysis of options – assessment of impacts**

8.1 Validating and extending the initial set of options

8.2 Evaluation of the identified options on the basis of following criteria (not exclusive): market needs and potential including analysis of possible target groups, Community value added (the principles of proportionality, subsidiarity), synergies with CEF and TEN-T, synergies and impacts on other EU policies, lessons learnt from the Marco Polo programme, socio-economic and environmental impacts (positive and negative, direct and indirect, intended and unintended), contribution to sustainable development; competition analysis; financial consequences at EU and national level (principles of economy, efficiency and effectiveness); leverage effects; risks related to policy options (e.g. deadweight\(^3\)) including political feasibility and potential obstacles to compliance, sustainability of the financial support, definition of the detailed objectives, pertinent indicators (output, result, impact), and the target values.

8.3 Comparison of options: mapping the positive and negative impacts of different options, assessing the balance between economic, environmental and social impacts, identifying the trade-offs and synergies, assessing the effectiveness, efficiency and coherence of options including the market potential for the EU intervention, in terms of specific or operational objectives, presenting aggregated and disaggregated results of comparison, assessing proportionality of different options

8.4 Detailed financial quantification of the new financial instrument – providing a quantitative estimate of the funding needs

8.5 Definition of a delivery mechanism of the EU support including scope and design parameters of the instruments (including determination of eligible costs), type of actions to be supported, and requirement mechanisms (funding conditions, selection, eligibility and award criteria) taking due account of the context and

\(^3\) If an activity that would take place without subsidy receives funding, there is no benefit to the taxpayer and the subsidy paid is "deadweight" on the overall effectiveness of the programme.
framework conditions stipulated in the CEF and the TEN-T programme, experience from the Marco Polo programme and best practices of national support schemes.

8.6 Analysis of the risk attached to the envisaged financial instrument, both at the level of non-fulfilment of the objectives, potential mismanagement and fraud

8.7 Monitoring and evaluation: assessing the effectiveness and efficiency of current monitoring and evaluation arrangements, identifying appropriate monitoring indicators, assessing the availability of data, assessing the costs of acquiring additional data

8.8 Definition of the most appropriate management modalities (legal, operational and financial), assessment of the administrative burden (either for the programme implementing authority or for the applicants), proposals for simplification of the application procedures and targeted promotional activities. This task should include assessment of operational scenarios to implement such an approach at EU level, if necessary taking due account of the potential role of national Member States administration. The analysis should be performed in the context of the proposed funding framework in the transport policy field (TEN-T, CEF). Taking in consideration significant operational, legal and financial differences between the current Marco Polo and TEN-T programme, the contractor shall propose appropriate procedures and control mechanisms, specific for support of freight transport services in the CEF context. To make the analysis complete, the contractor shall also analyse and incorporate best practices used in other national schemes and EU programmes providing funds directly to the market (CIP, Eco Innovation, IEE etc.).

8.9 Assistance in the definition of, and justification for, the human resources and administrative costs that will be required for the management of the programme

Existing documentation and information, monitoring system

List of available background material and administrative and technical files is provided in Annex. All other data necessary for completing the study shall be gathered by the contractor.

L4.7. Outputs, deliverables and timetable

L4.7.1. Meetings

- A kick-off meeting will take place in Brussels, at the latest 10 working days following the entry into force of the contract, in order to settle all the details of the study to be undertaken. Preparatory documents for the kick-off meeting are to be delivered to the Commission’s services 3 working days before the kick-off meeting. These preparatory documents shall include a draft meeting agenda, study objectives, a description of the methodology including resources and timetable of the work to be carried out, data collection methodology and approach, data collection tools as well as lists of contacts to be surveyed or interviewed (subject to further refinement during kick-off meeting and during the implementation of the study). The Contractor will produce minutes of the kick-off meeting within 5 calendar days after the kick-off meeting.
• The contractor will further produce within 5 working days after the kick-off meeting an inception report reflecting the contents of the preparatory documents revised and updated in accordance with the indications provided by the Commission and the agreements reached during the kick-off meeting.

• **Progress meetings** will take place at the occasion of the submission of the progress reports.

• A final progress meeting, if requested by the Commission, will be held within 2 weeks after the submission of the draft final study.

**L4.7.2. Progress reports**

• The draft of the first progress report shall be submitted to the Commission at the latest 1 month after the entry into force of the contract.

• A first progress meeting, if requested by the Commission, during which the contractor will present the interim findings will be held within 2 months after the entry into force of the contract.

• The draft of the second progress report showing progress of the work shall be submitted to the Commission at the latest 3 months after the entry into force of the contract.

• A second progress meeting, if requested by the Commission, will be held within 4 months after the entry into force of the contract.

• The draft of the third progress report showing progress of the work shall be submitted to the Commission at the latest 5 months after the entry into force of the contract.

• A third progress meeting, if requested by the Commission, will be held within 5.5 months after the entry into force of the contract.

• All progress reports shall contain an executive summary.

• The contractor shall have 10 calendar days in which to submit additional information or correction, a revised progress report or other documents if it is required by the contracting authority.

• Any supporting documents for the progress meetings reflecting the meeting agenda as prepared in cooperation with the Commission services shall be made available to the Commission services one week before the progress meeting.

• The progress meeting reports will contain the minutes of discussions and agreements reached in the progress meeting. They shall be made available to the Commission's services 5 calendar days after the progress meeting.

**L4.7.3. Final study report**

• A draft version of the final study report shall be submitted to the Commission at the latest 6 months after the entry into force of the contract. The contractor
shall have 10 calendar days in which to submit additional information or correction, a revised draft final study report or other documents if it is required by the contracting authority.

- The final study report will be submitted at the latest 7 months after the entry into force of the contract.
- As regards the contents, structure and graphic requirements of the final deliverables, please refer to Chapter 4.
- Both, the draft final study report and the final study report shall contain an executive summary.

**L4.7.4. Report format and publication**

- All reports shall be drafted in English and proof-read by a native or native-equivalent speaker.
- 2 copies of the reports shall be supplied in paper form and one copy in electronic form in MS Word.
- The Commission may publish the results of the study. For this purpose, the tenderer must ensure that the study is not subject to any restrictions deriving from intellectual property rights of third parties. Should he intend to use data in the study, which cannot be published, this must be explicitly mentioned in the offer.
- Any results or rights, including copyright and other intellectual or industrial property rights, obtained in performance of the contract, shall be owned solely by the Union.

**L4.7.5. Duration of the tasks**

- The duration of the tasks shall not exceed 7 months.
- Execution of the tasks begins after the date on which the Contract enters into force.
- In principle, the deadlines set out below cannot be extended. The Contractor is deemed solely responsible for delays occasioned by subcontractors or other third parties (except for rare cases of *force majeure*). Adequate resources and appropriate organisation of the work including management of potential delays should be put in place in order to observe the timetable below.

**A.9.4 Indicative budget:** The indicative budget amonunts to maximum 200,000 EURO.
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. 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/GL/WCAG20-TECHS/pdf.html

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, both in English and French;
- the following standard disclaimer:

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

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

4.1.2. Publishable executive summary

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

- the following standard disclaimer:

  “The information and views set out in this [report/study/article/publication...] are those of the author(s) and do not necessarily reflect the official opinion of the

36 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
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 available at Annex 4. 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.

### 5. ANNEXES

1. Tenderer’s Identification Form
2. Declaration related to the exclusion criteria and absence of conflict of interest
3. Power of Attorney (mandate in case of joint tender)
4. Standard Word template for studies
5. Draft Contract
ANNEX 1

IDENTIFICATION OF THE TENDERER
(Each service provider, including any member of a consortium or grouping and subcontractor(s) whose share of the work is more than 20% of the contract must complete and sign this identification form)

Call for tender MOVE xx/xxxx-xx

<table>
<thead>
<tr>
<th>Identity</th>
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<tbody>
<tr>
<td>Name of the tenderer</td>
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<tr>
<td>Legal status of the tenderer</td>
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<tr>
<td>Date of registration</td>
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<tr>
<td>Country of registration</td>
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<td>Registration number</td>
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<tr>
<td>VAT number</td>
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<tr>
<td>Description of statutory social security cover (at the level of the Member State of origin) and non-statutory cover (supplementary professional indemnity insurance)</td>
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<tbody>
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<td>Where appropriate, administrative address of tenderer for the purposes of this invitation to tender</td>
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</tbody>
</table>

<table>
<thead>
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<th>Contact Person</th>
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<tbody>
<tr>
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</tr>
<tr>
<td>First name:</td>
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<tr>
<td>Title (e.g. Dr, Mr, Ms):</td>
</tr>
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37 For natural persons
<table>
<thead>
<tr>
<th>Position (e.g. manager):</th>
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<tbody>
<tr>
<td>Telephone number:</td>
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<td>Fax number:</td>
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<tr>
<td>E-mail address:</td>
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**Legal Representatives**

<table>
<thead>
<tr>
<th>Names and function of legal representatives and of other representatives of the tenderer who are authorised to sign contracts with third parties</th>
<th></th>
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**Declaration by an authorised representative of the organisation**

I, the undersigned, certify that the information given in this tender is correct and that the tender is valid.

<table>
<thead>
<tr>
<th>Surname:</th>
<th>First name:</th>
<th>Signature:</th>
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</thead>
</table>

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38 This person must be included in the list of legal representatives; otherwise the signature on the tender will be invalidated.
ANNEX 2

Declaration of honour on exclusion criteria and absence of conflict of interest

(Complete or delete the parts in grey italics in parenthese)

[Choose options for parts in grey between square brackets]

The undersigned (insert name of the signatory of this form):

☐ in [his][her] own name (for a natural person)

or

☐ representing the following legal person: (only if the economic operator is a legal person)

full official name:

official legal form:

full official address:

VAT registration number:

➢ declares that [the above-mentioned legal person][he][she] is not in one of the following situations:

a) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

b) has been convicted of an offence concerning professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata;

c) has been guilty of grave professional misconduct proven by any means which the contracting authorities can justify including by decisions of the European Investment Bank and international organisations;

d) is not in compliance with all its obligations relating to the payment of social security contributions and the payment of taxes in accordance with the legal provisions of the country in which it is established, with those of the country of the contracting authority and those of the country where the contract is to be performed;

e) has been the subject of a judgement which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such activity is detrimental to the Union's financial interests;

f) is a subject of an administrative penalty for being guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in a procurement procedure or failing to supply this information, or having been declared to be in serious breach of its obligations under contracts covered by the Union's budget.

➢ (Only for legal persons other than Member States and local authorities, otherwise delete)

declares that the natural persons with power of representation, decision-making or control39

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39 This covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares.
over the above-mentioned legal entity are not in the situations referred to in b) and e) above;

- declares that [the above-mentioned legal person][he][she]:

g) has no conflict of interest in connection with the contract; a conflict of interest could arise in particular as a result of economic interests, political or national affinity, family, emotional life or any other shared interest;

h) will inform the contracting authority, without delay, of any situation considered a conflict of interest or which could give rise to a conflict of interest;

i) has not granted and will not grant, has not sought and will not seek, has not attempted and will not attempt to obtain, and has not accepted and will not accept any advantage, financial or in kind, to or from any party whatsoever, where such advantage constitutes an illegal practice or involves corruption, either directly or indirectly, inasmuch as it is an incentive or reward relating to award of the contract;

j) provided accurate, sincere and complete information to the contracting authority within the context of this procurement procedure;

- acknowledges that [the above-mentioned legal person][he][she] may be subject to administrative and financial penalties if any of the declarations or information provided prove to be false.

In case of award of contract, the following evidence shall be provided upon request and within the time limit set by the contracting authority:

For situations described in (a), (b) and (e), production of a recent extract from the judicial record is required or, failing that, a recent equivalent document issued by a judicial or administrative authority in the country of origin or provenance showing that those requirements are satisfied. Where the tenderer is a legal person and the national legislation of the country in which the tenderer is established does not allow the provision of such documents for legal persons, the documents should be provided for natural persons, such as the company directors or any person with powers of representation, decision making or control in relation to the tenderer.

For the situation described in point (d) above, recent certificates or letters issued by the competent authorities of the State concerned are required. These documents must provide evidence covering all taxes and social security contributions for which the tenderer is liable, including for example, VAT, income tax (natural persons only), company tax (legal persons only) and social security contributions.

For any of the situations (a), (b), (d) or (e), where any document described in two paragraphs above is not issued in the country concerned, it may be replaced by a sworn or, failing that, a solemn statement made by the interested party before a judicial or administrative authority, a notary or a qualified professional body in his country of origin or provenance.

If the tenderer is a legal person, information on the natural persons with power of representation, decision making or control over the legal person shall be provided only upon request by the contracting authority.

Full name  Date  Signature

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40 As provided for in Article 109 of the Financial Regulation (EU, Euratom) 966/2012 and Article 145 of the Rules of Application of the Financial Regulation
ANNEX 3

POWER OF ATTORNEY
mandating one of the partners in a joint tender as lead partner and lead contractor

The undersigned:

– Signatory (Name, Function, Company, Registered address, VAT Number)

having the legal capacity required to act on behalf of his/her company,

HEREBY AGREES TO THE FOLLOWING:

1) To submit a tender as a partner in the group of partners constituted by Company 1, Company 2, Company N, and led by Company X, in accordance with the conditions specified in the tender specifications and the terms specified in the tender to which this power of attorney is attached.

2) If the European Commission awards the Contract to the group of partners constituted by Company 1, Company 2, Company N, and led by Company X on the basis of the joint tender to which this power of attorney is attached, all the partners shall be co-signatories of the Contract in accordance with the following conditions:
   (a) All partners shall be jointly and severally liable towards the European Commission for the performance of the Contract.
   (b) All partners shall comply with the terms and conditions of the Contract and ensure the proper delivery of their respective share of the services and/or supplies subject to the Contract.

1) Payments by the European Commission related to the services and/or supplies subject to the Contract shall be made through the lead partner’s bank account: [Provide details on bank, address, account number].

2) The partners grant to the lead partner all the necessary powers to act on their behalf in the submission of the tender and conclusion of the Contract, including:
   (a) The lead partner shall submit the tender on behalf of the group of partners.
   (b) The lead partner shall sign any contractual documents — including the Contract, and Amendments thereto — and issue any invoices related to the Services on behalf of the group of partners.
   (c) The lead partner shall act as a single contact point with the European Commission in the delivery of the services and/or supplies subject to the Contract. It shall co-ordinate the delivery of the services and/or supplies by the group of partners to the European Commission, and shall see to a proper administration of the Contract.

Any modification to the present power of attorney shall be subject to the European Commission’s express approval. This power of attorney shall expire when all the contractual obligations of the group of partners towards the European Commission for the delivery of the services and/or supplies subject to the Contract have ceased to exist. The parties cannot terminate it before that date without the Commission’s consent.

Signed in …………………………… ondd/mm/yyyy

Place and date:

Name (in capital letters), function, company and signature:

41 To be filled in and signed by each of the partners in a joint tender, except the lead partner;
ANNEX 4
Standard Word template for studies
ANNEX 5
DRAFT CONTRACT