CALL FOR TENDERS

N° MOVE/C2/2015-582

STUDY

TOWARDS A SINGLE AND INNOVATIVE EUROPEAN TRANSPORT SYSTEM

(Open Procedure)

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\(^1\) concluded within the WTO applies, the participation to the call for tenders 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.

\(^1\) See [http://www.wto.org/english/tratop_E/gproc_e/gp_gpa_e.htm](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 or 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

  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 tenders.

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.

**Economic and financial capacity criteria and evidence**

In order to prove their economic and financial capacity, the tenderer (in case of a joint tender the combined capacity of all tenderers and identified subcontractors) must comply with the following criteria:

- The annual turnover of the last two financial years above € 800,000 for Lot 1 and € 500,000 for Lot 2.

The following evidence should be provided:

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

- Failing that, appropriate statements from banks,

- If applicable, evidence of professional risk indemnity insurance.

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

**Technical and professional capacity criteria and evidence**

a. **Criteria relating to tenderers**

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

1) **LOT 1: ANALYSIS OF BARRIERS AND ACTION PLANS**

   - The tenderer must demonstrate a capacity for carrying out studies, conducting field research and detailed socio-economic, legal and technical analyses, to tight deadlines. In particular, the tenderer must prove experience in survey techniques, data collection, statistical analyses, organisation of stakeholders' workshops, and drafting action plans and recommendations. Evidence of this technical capability must be provided, with at least 3 relevant studies and/or projects delivered in the above fields over the last five years.

   - The tenderer must give evidence and demonstrate deep knowledge and experience in the legal, regulatory, socio-economic and technical aspects of transport research, innovation and policy.
− The tenderer must demonstrate the capacity to draft reports addressed to policy makers, in English and of a quality suitable for publishing.

− The tenderer must give evidence and demonstrate the capacity to manage international studies and/or projects with budgets of € 400,000 or more to positive outcomes.

− In areas where in-house expertise is not permanently available, the tenderer must be able to demonstrate a capacity to recruit or subcontract additional experts with a proven track record.

2) **LOT 2: INTERNATIONAL ASSESSMENT AND ACTION PLANS OF THE FOCUS AREAS**

− The tenderer must demonstrate a capacity for carrying out studies, conducting field research and detailed analyses at international level, to tight deadlines. In particular, the tenderer must prove experience in survey techniques, data collection and analysis, stakeholders consultations and workshops, and in drafting international action plans and recommendations. Evidence of this technical capability must be provided, with at least 3 relevant studies and/or projects delivered in the above fields over the last five years.

− The tenderer must give evidence and demonstrate relevant expertise in the field of international transport research and innovation (policy and technical aspects), and good knowledge of the transport sector in the countries identified in section 3.3 below.

− The tenderer must demonstrate the capacity to draft reports addressed to policy makers, in English and of a quality suitable for publishing.

− The tenderer must give evidence and demonstrate the capacity to manage international studies and/or projects with budgets of € 200,000 or more to positive outcomes.

− In areas where in-house expertise is not permanently available, the tenderer must be able to demonstrate a capacity to recruit or subcontract additional experts with a proven track record.

### b. Criteria relating to the team delivering the service:

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

1) **LOT 1: ANALYSIS OF BARRIERS AND ACTION PLANS**

**Project Manager:** at least 5 years of professional experience in project/study management, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution experience in study/project of a similar size and coverage. Proven record in leading a team, delivering results, and managing sub-contractors (if a sub-contractor will be selected for this tender) should be demonstrated.

**Experts in legal and/or socio-economic and/or technical fields in transport research, innovation and policy:** the team has to demonstrate a collective relevant professional experience of at least 5 years in the legal, socio-economic and technical fields in transport research, innovation and policy. Collective expertise of the team should be proven in the fields of the focus areas identified in section 3.1 below.
Team for data collection: Collectively the team should have proven experience in techniques for data collection (including extensive field work), qualitative data analysis and interpretation.

Language quality check: at least one member of the team shall have native-level language skills in English or equivalent, as guaranteed by a certificate or relevant proven experience. Given the fact that English will be the working language of the study and all deliverables shall be produced in English, at least half of the members of the team involved should have proficiency level language skills in English, as guaranteed by a certificate or past relevant experience.

2) LOT 2: INTERNATIONAL ASSESSMENT AND ACTION PLANS OF THE FOCUS AREAS

Project Manager: at least 5 years of professional experience in project/study management, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution experience in study/project of a similar size and coverage. Proven record in leading a team, delivering results, and managing sub-contractors (if a sub-contractor will be selected for this tender) should be demonstrated.

Project Team to undertake the study and comparative analysis of the international dimension of transport policy, research and innovation: relevant professional experience and technical knowledge of at least 5 years in the field, specifically with the countries identified in section 3.3 below.

Stakeholder Consultation Expert: relevant professional experience in organising and leading Workshop participants/teams as part of a content validation process.

Language quality check: at least one member of the team shall have native-level language skills in English or equivalent, as guaranteed by a certificate or relevant proven experience. Given the fact that English will be the working language of the study and all deliverables shall be produced in English, at least half of the members of the team involved should have proficiency level language skills in English, as guaranteed by a certificate or past relevant experience.

c. Evidence:

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

- A list detailing the position and tasks for each member of the team;
- A list of relevant services provided by the tenderer in the past three years, preferably in table format, the title of the project, the size of budget for relevant services, duration of the contract the name of public and/or private recipients. The most important services shall be accompanied by reference letters or certificates of satisfactory execution, specifying that they have been carried out in a professional manner and have been fully completed;
- A concise but informative curriculum vitae in European CV format2 for each member of the team who will provide the service for this tender, demonstrating professional

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2 The CV's shall be presented, in accordance with the Commission Recommendation on a common European format for curricula vitae, published in OJ L79 of 22 March 2002, p. 66.
experience in transport policy, research and innovation. The CVs shall present their educational and professional qualifications, degrees and diplomas, professional experience, research work, publications and linguistic skills. This requirement also applies to the management staff. Each CV provided should indicate the intended function in the delivery of the service;

2.4. **Award criteria**

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

- **Criterion 1 – Quality of the proposed methodology** (60 points – minimum threshold 60%)

This criterion will assess the overall approach in conducting the tasks required in this tender. The following sub-criteria will be used to assess compliance with Criterion 1:

1) **LOT 1: ANALYSIS OF BARRIERS AND ACTION PLANS**

   *Sub-criterion 1.1 - Data collection and analysis (20 points – minimum threshold 60%):*

   This sub-criterion will assess the appropriateness, effectiveness and feasibility of the proposed approach for the data collection process (including the user requirements and the stakeholders' workshops) and the analysis of the results to provide a thorough evidence base in each of the focus areas, for both the state of play under Task 1.1 and the barriers analysis under Task 1.2. It will also assess the selection rationale and the coverage of the 15 Member States proposed for each focus area.

   *Sub-criterion 1.2 – Analysis of barriers (20 points – minimum threshold 60%):*

   The assessment will consider the appropriateness, relevance and effectiveness of the proposed methodology for the identification and analysis of the barriers.

   *Sub-criterion 1.3 – Action plans development (20 points – minimum threshold 60%):*

   This sub-criterion will assess the appropriateness, relevance and effectiveness of the proposed methodology for the action plans design. The assessment will ponder also the completeness of the elements which will be taken into consideration in the action plans and the quality of the proposed initial monitoring indicators.

2) **LOT 2: INTERNATIONAL ASSESSMENT AND ACTION PLANS OF THE FOCUS AREAS**

   *Sub-criterion 1.1 - Data collection and analysis (20 points – minimum threshold 60%):*

   This sub-criterion will assess the appropriateness, effectiveness and feasibility of the proposed approach for the data collection process and the related analysis of the identified countries. It will also evaluate the mechanisms for stakeholder identification, involvement and collaboration.

   *Sub-criterion 1.2 – International dimension (20 points – minimum threshold 60%):*

   The assessment will consider appropriateness, relevance and effectiveness of the proposed approach for the development of the international action plans of each focus area in the identified countries.
Sub-criterion 1.3 – Stakeholder validation workshops (20 points – minimum threshold 60%):

This sub-criterion will assess the appropriateness, relevance and feasibility of the proposed approach in validating emerging findings and concepts during stakeholder validation workshops.

- **Criterion 2 - Organisation of the work** (25 points – minimum threshold 60%)

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. Special attention will be given to the assessment of the timing and coordination of the different tasks and their components, the appropriate management structure and risk management plan, including mitigation measures, as well as sound and realistic allocation of financial and human resources. This criterion will also assess the global allocation of time and resources to the project and to each task or deliverable, and whether this allocation is adequate for the work. The tender should provide details on the allocation of time and resources and the rationale behind the choice of this allocation.

- **Criterion 3 - Quality control measures** (15 points – minimum threshold 60%)

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

Tenders must score minimum 60% for each criterion and minimum 70% in total. Tenders that do not reach the minimum quality thresholds will be rejected and will not be ranked.

After evaluation of the quality of the tender, the tenders are ranked using the formula below to determine the tender offering best value for money. A weight of 60/40 is given to quality and price.

\[
\text{Score for tender } x = \frac{\text{Total quality score for award criteria for tender } x \times 0.6}{100} + \frac{\text{Price of the lowest tender} \times 0.4}{\text{Price of tender } x}
\]

2.5. **Technical offer**

The technical offer must cover all aspects and tasks required in the technical specifications 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 not evaluated.

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

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

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

The total price quoted cannot exceed EUR 450,000 for Lot 1 and EUR 250,000 for Lot 2. Tenders with a higher total price will be rejected.

3. TECHNICAL SPECIFICATIONS

The study "Towards a single and innovative European transport system" will be divided into 2 lots:

- Lot 1: Analysis of barriers and action plans.
- Lot 2: International assessment and action plans of the focus areas.

3.1. General background

The 2011 White Paper on Transport³ made the case for transforming the European transport system into a sustainable and competitive system that will further improve mobility and continue to support economic growth and employment. It sets ambitious objectives for reducing Europe’s dependence on imported oil, improving the environment, reducing accidents and sharply cutting greenhouse-gas emissions as well as completing the internal market for transport and creating a united transport system reflecting the needs of the European citizens. All these objectives have to be seen in the context of a continuous growth in transport demand, differences in the evolution of transport modes, demographic changes and a dwindling investment capacity of public authorities.

Obstacles to a smooth functioning and effective competition in the internal market persist. The White Paper sets out to remove major barriers and bottlenecks between modes (road, rail, air and waterborne) and national systems in many key areas across the fields of transport infrastructure and investment, innovation and the internal market. The aim is to create a Single European Transport Area with more competition and a fully integrated transport network, which links the different modes and allows for a profound shift in transport patterns for passengers and freight.

³ Roadmap to a Single European Transport Area — Towards a competitive and resource efficient transport system, COM(2011) 144 final.
Innovation is essential to drive the integration of the European transport systems and reach a single, multimodal, European transport network.

Transport research and innovation policy should increasingly support in a coherent way the development and deployment of the key technologies needed to develop the EU transport system into a modern, efficient, integrated and user-friendly system. At the same time, innovation and deployment need to be supported by regulatory framework conditions.

In terms of innovation capacity, transport comprises highly heterogeneous sub-sectors, each exposed to different market pressures, to different drivers for innovation and user requirements. In some sub-sectors, there is a mismatch between the market players who are active in developing solutions and those who are active in deploying them. Other specificities are the different institutional set-ups of transport policy-making across Member States, and their diverging transport research, innovation and deployment priorities. As a result, Europe does not fully exploit the benefits which could be gained from a better alignment of transport research and innovation efforts among Member States or within different transport industries, to enhance the integration of the transport system.

Specialisation of activities in some regions and globalisation of companies has given way towards a more intense international cooperation in research and innovation. Such collaboration becomes even more immediate given that planning and alignment of public funded research and innovation programmes is increasingly being done at international level.

Within the overall strategic framework for international research and innovation cooperation - set by several strategic documents including the Communication "Enhancing and focusing on EU International cooperation and innovation: a Strategic Approach" - the White Paper has emphasised the importance of flexible strategies to ensure the EU's role as a standard setter in the transport field and reiterated the importance of preparing, amongst others, mobility continuity plans to deliver closer market integration.

Currently, the importance of transport in helping to achieve major goals of the Commission's "Agenda for Jobs, Growth, Fairness and Democratic Change" has been reflected in key strategic initiatives. Namely, the Communication on the Energy Union calls for a "Strategic Transport Research and Innovation Agenda" (STRIA).

Within the described frame, this study aims to identify the barriers which impede the development and deployment of innovative solutions to create a truly optimised single European transport system. It also intends to identify opportunities for innovation and other actions, which could help to accelerate progress.

Particular focus areas for action to be covered by the study include:

1. Connected driving and automation of transport, and use of automated optimisation of traffic flows;
2. Transformation of infrastructure to address connectivity, resilience, new fuels and energy efficiency;

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5 COM(2015) 80 final
3. Smart mobility services (including provision and use of data, and urban mobility), freight and logistics;
4. Standardisation and interoperability;
5. Alternative fuels other than electrification.

The outcomes of the studies resulting from Lot 1 and Lot 2 will be presented to the whole transport community, and beyond, at several regional conferences, which will be organised outside the framework of these contracts. The conferences will be designed to ensure stakeholders' awareness and endorsement of the findings and proposed action plans.

3.2 Specifications of Lot 1: Analysis of Barriers and Action Plans

3.2.1 Objectives

The study will cover 15 EU Member States for each focus area. The selection of the EU Member States for each focus area, which will be based on the relative positioning (strengths, opportunities, potential contribution, weaknesses) and size of the country, shall however include the 6 largest Member States in terms of population and a representative selection of the others. The selection of the countries per focus area shall be justified in view of the characteristics of the specific sector and shall ensure a representative geographical coverage.

Within the selected 15 countries per focus area, the data collection will be organised as to focus on those for which statistical data are not yet or less available.

Once the EU countries for a particular focus area have been selected, the same countries must be retained throughout the different steps of the study.

The general objectives of the work to be carried out are to:

- Provide an in-depth analysis of the technological, regulatory and legal barriers, gaps and weaknesses, but also the strengths and opportunities, which impede or support the development and deployment of innovative technological solutions enhancing the integration of the transport system, in each of the identified focus areas, for the selected EU Member States.

- Build a solid evidence base for each of the focus areas, also by interacting with the sector stakeholders and identifying their opinions, needs and expectations.

- Assess, define and elaborate roadmaps in the form of action plans in each focus area, with the aim of supporting the development and deployment of innovative solutions enhancing a single European transport system, with a view to support and enhance the Commission's transport research and innovation policy.

The main specific objectives are to:

- Research latest state of play on technologies, technology roadmaps, standardisation, technology developments and trends, societal trends, user expectations, legal and policy requirements.
- Create a solid evidence base and a comprehensive analysis of the various barriers in the identified focus areas, at national and EU level, in the selected countries.

- Consult and involve the relevant sector stakeholders, also through dedicated workshops.

- For each of the focus areas, provide action plans to enable a more innovative, competitive and integrated transport system, in support of the Commission’s transport research and innovation policy.

3.2.2. Tasks
The study will include 3 main tasks:

Task 1.1: State of play

Task 1.2: Evidence base and analysis of barriers

Task 1.3: Action plans

Task 1.1: State of play
This task will describe and assess the current state of play in the identified focus areas, in the selected EU Member States.

The state of play analysis will include e.g. public policy, the current technology and regulatory/framework situations, gaps and barriers impeding the development and deployment of innovative solutions enhancing an optimised single European transport system as well as assets and best practices supporting it. It will present and capture user and stakeholder requirements (current and changing trends) regarding the implementation of specific focus technologies, systems and processes.

Synergies among the various focus areas will be identified and analysed.

Desk research and the collection of user and stakeholder requirements, through consultations, surveys and direct interviews will be carried out to ensure the exhaustive coverage and representation of the various interests and needs (i.e. private and professional users) in each focus area and the respective selected countries.

Within the selected 15 countries per focus area, the field data collection will be organised as to focus on those for which statistical data are not yet or less available.

The tenderer shall describe in the offer the proposed approach to the state of play analysis, identify the user/stakeholders to be targeted for the requirement definition, provide a clear estimation of the number of surveys/interviews to be carried out, and specify which 15 countries will be assessed per focus area and the rationale for their selection.
In the implementation of the task, the contractor will also make use of the data and material available in the Transport Research and Innovation Portal (TRIP)\(^6\) and will coordinate with the TRIP contractor, as appropriate. He should also coordinate with the future transport research and innovation monitoring and information system, as far as possible.

To enable the comparative analysis with the EU transport system to be carried out under Lot 2 and avoid duplication of effort, there shall be close synergy and collaboration between the selected contractors from Lot 1 and Lot 2.

**Task 1.2: Evidence base and analysis of barriers**

This task will focus on creating an evidence base and analysing the various barriers – in the selected countries per focus area - which impede the development and deployment of innovative technological solutions enhancing the integration of the transport system.

The study will detect and identify the main technological, administrative, legal, economic and behavioural barriers. It will then analyse the identified barriers to assess their reason, justification and current necessity.

Trends in the evolution of barriers will be explored and evaluated. The impact of the current economic crisis and relative measures should also be considered.

In addition to desk research, the evidence gathering will be based on case studies, direct consultation of key players in each focus area and the respective selected countries, and stakeholders' workshops.

At least one stakeholders' workshop per focus area will be held to step up the involvement of the stakeholders (e.g. transport industry and telecommunications, academia, administrations, regulators, civil society), capture their needs, opinions and expectations, and start building their endorsement to the action plans resulting from the analysis of the barriers. To ensure a wide European coverage, each workshop will be organised in a different Member State (excluding Brussels).

Visual representation(s) or mapping of the findings per each focus area should be provided, where relevant. To enable future data capture, evidence of each identified barrier should be logged in a standard format.

The offer shall clearly explain the methodology for the identification and analysis of the barriers. It shall describe the approach to the evidence base gathering and workshops, including the main stakeholders to be contacted, a clear estimation of the number of case studies/consultations to be carried out, a target audience (expected number of participants and key players) for each workshop and a proposal for the location of the stakeholders' workshops which outlines the rationale for its selection.

\(^6\) http://www.transport-research.info/web/
Task 1.3: Action plans

The study will propose a set of actions which, collectively, can help overcome or remove the identified barriers and accelerate progress towards an optimised single and innovative European transport system, in the identified focus areas. They will consider issues such as how to develop a stronger ‘whole system’ mind-set at all levels. The action plans are meant to provide inputs to the Commission regarding the development and implementation of its transport research and innovation policy.

The study will take into account the current EU priorities (e.g. 2011 Transport White Paper\(^7\), Energy Union package\(^8\), Digital Single Market Strategy\(^9\), Clean Power for Transport initiative\(^{10}\)) and the findings of the foresight / scenario building projects funded under the 7\(^{th}\) Framework Programme for Research\(^{11}\).

The proposed action plans will cover the short, medium and long term (namely 2020, 2030, 2050 horizons). They will range from the strategic approach to the specific concrete and shared actions, necessary means, timelines and responsibilities for implementation, to be presented to and endorsed by stakeholders during several regional conferences organised outside the framework of this contract.

The proposed action plan in each focus area will consider the complete cycle from research, innovation via standardisation and regulation (where necessary) to deployment into the (existing) transport system. It will consider e.g. available technologies and future developments, framework conditions (rules, standards, incentives) for deployment, research and innovation gaps and needs, cost-benefit analysis and achievability in the short, mid- and long-term.

Integration generates various benefits, but also involves costs. The study will provide a cost-benefit analysis of the measures proposed to progress towards the transport system integration. It will also explore whether it is possible to define an optimum level of integration beyond which increasing integration would result in lower net benefits.

Synergies with financial instruments (e.g. EU Research and Innovation Framework Programmes, Connecting Europe Facility, European Structural and Investment Funds,

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\(^7\) Roadmap to a Single European Transport Area — Towards a competitive and resource efficient transport system, COM(2011) 144 final.


\(^{10}\) Clean Power for Transport: A European alternative fuels strategy, COM(2013) 17.

Synergies among the various actions and overall action plans - where for example the benefits of two measures are greater than the sum of the individual components – will be assessed and quantified.

A set of measurable key performance indicators will have to be developed to allow monitoring the implementation of the proposed measures and evaluate progress and achievements over time.

Visual representation(s) or mapping of the findings and action plans per each focus area will be provided, where relevant.

The offer shall explain the methodology for the definition of the action plans, the measures to be considered, and an indication of the key performance indicators.

### 3.2.3. Outputs and Deliverables

The contractor will provide the following deliverables:

**D.1.1 Inception report**: to be presented at the kick-off meeting to be held 10 days after the entry into force of the contract. The report shall detail the approach and planning of the work, for discussion and agreement with the Commission. The Contractor shall take into account the comments received by the EC services, during the kick-off meeting and afterwards by email, for the implementation of the tasks.

**D.1.2 Report on state of play and analysis of barriers**: the report shall provide a compendium of the state of play and present the analysis of barriers for each focus area, including also a brief overview of the methodologies used for the data and user requirement collection, the targeted stakeholder groups and respondents, and an analysis of the user requirements.

The final analysis will take into account the comments provided by the EC services on the interim report.

**D.1.3 Final report on barriers analysis and action plans**: it shall include:

- an abstract of no more than 200 words in English;
- an executive summary of maximum 4 pages;
- the description of the background, policy context and aim of the study;
- a brief overview of the approach and methodologies adopted as well as the stakeholders involved;
- the final analysis of the barriers which impede the development and deployment of innovative technological solutions enhancing the integration of the transport system, in the identified focus areas;
- the proposed action plans to help overcome or remove the identified barriers and accelerate progress towards an optimised single and innovative European transport system;
recommendations for possible related new approaches, priorities and themes to be considered in the planning of future EU R&I policy and funding in view of removing and/or overcoming barriers to a single transport system. The recommendations should not be confined to existing structures of EU R&I policy and funding.

The Commission will have 30 days to provide the contractor with its comments on each of the deliverables.

The interim and final deliverables shall be provided according to the following planning.

<table>
<thead>
<tr>
<th>Month of deliverable</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 days after entry into force of contract</td>
<td>D.1.1 Inception report</td>
</tr>
<tr>
<td>M3</td>
<td>D.1.2 Report on state of play and analysis of barriers – interim report</td>
</tr>
<tr>
<td></td>
<td>The interim report shall present the initial findings on the state of play, the identified barriers and initial results of the analysis, including the outcomes of the stakeholders' workshops already held.</td>
</tr>
<tr>
<td>M6</td>
<td>D.1.2 Report on state of play and analysis of barriers – final version</td>
</tr>
<tr>
<td>M7</td>
<td>D.1.3 Draft final report on barriers analysis and action plans</td>
</tr>
<tr>
<td>M9</td>
<td>D.1.3 Final report on barriers analysis and action plans (taking into account the EC comments)</td>
</tr>
</tbody>
</table>

**Intellectual property rights**

The Commission may publish the results of the study. For this purpose, the tenderer must ensure that no restrictions based on confidentiality and/or intellectual property rights are expected from a third party. Should he intend to use data in the study, which cannot be published, this must be explicitly mentioned in the offer.

3.2.4. **Duration of the contract and meetings**

The duration of the contract shall not exceed 9 months. This period is calculated in calendar days.

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

In principle, the deadlines set out above 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 above deliverable timetable and reflected in the workplan in the form of a Gantt chart.

The contractor (team leader and other relevant experts as necessary) is expected to participate in meetings in Brussels as follows:

- **A kick-off meeting** will take place in Brussels at the latest 10 working days following the signature of the contract, in order to settle all the details of the services to be provided, reports, etc. to be undertaken.

- Up to 2 **specific meetings** will be organised in Brussels at relevant stages of the process to discuss the initial main findings and planned work.

  Teleconferences shall be organised as deemed necessary by the EC technical officer or the contractor to address specific issues on the study.

- Following the submission of the draft final report, a **final meeting** will be organised in Brussels to discuss the Commission’s observation. The exact date will be agreed upon with the contractor.

All costs linked to the contractor's participation in meetings and workshop in the frame of the contract including travelling costs, subsistence costs and any additional costs, shall be borne by the contractor. The costs of the participation of speakers and experts external to the contracting team (if required), including their possible remuneration, shall entirely be borne by the contractor.

After a meeting the contractor will:

- draft and provide the minutes of the meeting within 5 working days. The minutes shall be agreed among the meeting participants and the Commission;

- provide all presentations;

- take the discussions into account for the implementation of the following activities and the drafting/finalisation of the reports.

#### 3.2.5. Working methods and quality requirements

The methodologies and approaches to be applied in each task have to be elaborated by the contractor. In the technical offer, the tenderer will describe the proposed approaches and the phases planned for the implementation of the required work, in line with the timeframe provided in these Tender Specifications. The approaches and planning for each task will be further detailed and agreed with the EC services during the implementation of the contract.

The contractor (team leader and other relevant experts) is expected to participate in meetings in Brussels at each relevant stage of the process, as set under section 3.2.4.

All deliverables shall be provided in native-level English in electronic format and shall be text-based (Word and Pdf-versions, not scanned). The reports are addressed to policymakers as an aid to decision-making. They have to be drafted in a proper literate manner and must be fully comprehensible in terms of grammatical structure (complete
sentences, punctuation, explanation of abbreviations, etc.), using simple and non-technical language for a non-specialised audience. Technical explanations shall be given in annexes.

All the deliverables shall include an abstract of no more than 200 words and a 1-2 page executive summary. The text shall be of quality suitable for publication.

Where applicable, pictures should be submitted in high resolution wherever possible. In addition, three hard-copies shall be sent to the technical officer. The contractor shall also abide to the guidelines provided under section 4, below.

3.3 **SPECIFICATIONS OF LOT 2: INTERNATIONAL ASSESSMENT AND ACTION PLANS OF THE FOCUS AREAS**

3.3.1 **Objectives**

The international dimension of each focus area listed under section 3.1. above will be addressed taking into account efforts and developments with selected countries/regions – USA, Japan, Korea, China, India, and Brazil. The variation in the type of countries included is to enable a wide investigation not only in terms of geographical coverage, but also in terms of patterns of research collaborations, levels of innovation and identification of best practices. Such diversity is expected to provide a better understanding of the strengths and weaknesses of the EU transport system with respect to highly industrialised and emerging economies in each of the focus areas in terms of barriers and optimisation possibilities of the transport system. Furthermore, emerging insights/recommendations could strengthen the international dimension of the existing transport research and innovation cooperation with these same countries with the final aim to move towards a more integrated transport system.

The objectives of the work to be carried out are to:

- Provide a study and analysis of the USA, Japan, Korea, China, India and Brazil international transport research and innovation systems, research priorities and strategic orientations for each of the focus areas.

- Assess the current transport system and industry structures in these same countries together with current market, regulatory conditions and financing of transport programmes, with a focus on the barriers to the development and deployment of innovation which impede an integrated transport system.

- Compare international best practices on removing barriers and optimising transport systems with the state of the EU transport system.

- Propose priorities and actions plans and recommendations to strengthen the international dimension of the existing transport research and innovation cooperation between the EU and these same countries.

- Identify the relevant transport stakeholders in each country and propose relevant collaboration mechanisms, as far as possible.
3.3.2. Tasks

The study will include 3 main tasks:

Task 2.1: Examination stage

Task 2.2: Development of the international action plans and recommendations of the focus areas

Task 2.3: Experts and stakeholders validation workshops

Task 2.1: Examination stage

The examination stage will include both desk research and field work to better understand the transport systems in each of the focus areas in the USA, Japan, Korea, China, India and Brazil.

In each of the identified countries and focus areas, the state of play analysis will assess the current transport system and industry structures together with current market, regulatory conditions and financing of transport programmes, with a focus on the barriers to the development and deployment of innovation, which impede an integrated transport system.

Key relevant stakeholders, including transport and other relevant industries such as telecommunications, research, administrations, regulators and civil society, etc., will be identified and consulted (e.g. through surveys and direct interviews). Mechanisms for stakeholder consultation will be implemented with the aim to validate the resulting assessment.

Visual representation(s) or mapping of the findings per each focus area should be provided, as far as that is possible.

The offer shall clearly explain the methodology for the assessment of the state of play in the identified countries. It shall describe the approach to the desk research, the identification of the relevant stakeholders and their consultation.

Task 2.2: Development of the international action plans and recommendations of the focus areas

Based on the state of play assessment, the study will note particular international lessons/practices emerging in each focus area, which would enable a more competitive and integrated transport system and stimulate the development and deployment of innovative solutions.

The identified best lessons/practices will be compared with the state of the EU transport system to provide a better understanding of its strengths and weaknesses with respect to both highly industrialised and emerging economies in each of the focus areas in terms of barriers and optimisation of the transport system.

The study will then suggest action plans and recommendations on the specific international best lessons/practices which have been identified and suggest how, if relevant, these can be adopted within the EU in order to support the development of an optimised single and innovative European transport system, in the identified focus areas. The proposed actions
will consider e.g. available technologies and future developments, framework conditions (rules, standards, incentives) for deployment, research and innovation gaps and needs, cost-benefit analysis and achievability in the short, mid- and long-term.

The study will also identify transport research and innovation collaboration priorities between these countries and the EU, with the final aim of strengthening the international dimension of the existing transport research and innovation cooperation with these same countries.

In the perspective of the overall development of the international dimension of each of the focus areas, some additional elements to be addressed and compared could be structured, as an example, along the four high-level clusters, as shown below:

- **strengthening of the EU competitiveness**: enabling global networks; technology and industrial policy objectives; R&D policy objectives; regulatory objectives;

- **addressing market access issues**: objectives addressing specific trade and/or development issues with the countries above;

- **contribution to addressing global challenges**: objectives related to specific sector policies (e.g. environment, security, societal challenges such as the aging population, etc.);

- **identification of global players and programmes**: objectives to identify key actors in each country; the main R&D&I programmes and financing being used.

Each cluster can then be broken down into further sub-level objectives.

Furthermore, the resulting international dimension should cover public R&D government central funding and should not address other levels such as research institutes or private bodies, except as an example of best practice, should one be identified.

The tenderer shall explain the methodology to identify the international best lessons/practices, compare the emerging findings with the EU transport system and propose actions and recommendations.

To enable a comparative analysis with the EU transport system (based on the findings of Lot 1) and avoid duplication of effort, there shall be close synergy and collaboration between the selected contractors from Lot 1 and Lot 2.

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**Task 2.3: Experts and stakeholders validation workshops**

Experts and stakeholders validation workshops will provide a significant contribution to this study. In order to enable a sharing of different perspectives and a validation of findings and international action plans of the focus areas, at least 2 workshops will be organised. The workshops will bring together targeted participant experts and stakeholders from each of the identified countries of analysis. The experts and stakeholders should collectively cover the different focus areas and have real, practical experience and knowledge of transport policy, research and innovation systems.

The targeted experts and stakeholders shall receive the drafts of the international assessment and the action plans in advance of the workshops in order to have the opportunity to make corrections, as part of the validation process. The workshops should
be held in a "participatory" style format composed of small break-out sessions, rapporteurs for each group and an overall concluding session.

Commission representatives will take part in the workshops as observers and/or contributors.

All costs linked to the participation of the targeted experts in the validation workshops shall be borne by the contractor.

3.3.3. Outputs and Deliverables

The contractor will provide the following deliverables:

**D.2.1 Inception report**: to be presented at the kick-off meeting to be held 10 days after the entry into force of the contract. The report shall detail the approach and planning of the work, for discussion and agreement with the Commission. The Contractor shall take into account the comments received by the EC services, during the kick-off meeting and afterwards by email, for the implementation of the tasks.

**D2.2 Experts and Stakeholders Validation Workshops**: at least 2 validation workshops with targeted experts and stakeholders.

**D.2.3 Final report on the international assessment and action plans of the focus areas**: it shall include:

− an abstract of no more than 200 words in English;

− an executive summary of maximum 4 pages;

− the description of the background, policy context and aim of the study;

− a brief overview of the approach and methodologies adopted as well as the stakeholders involved;

− the final assessment of the current transport systems in each country together with international action plans, in the identified focus areas, as well as an overview of the key stakeholders;

− the comparison analysis of the identified international best lessons/practices with the state of the EU transport system and the actions proposed to support the development of an optimised single and innovative European transport system, in the identified focus areas;

− recommendations for possible transport research and innovation collaboration priorities between these countries and the EU.

The Commission will have 30 days to provide the contractor with its comments on each of the deliverables.

The interim and final deliverables shall be provided according to the following planning.
<table>
<thead>
<tr>
<th>Month of deliverable</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 days after entry into force of contract</td>
<td>D.2.1 Inception report</td>
</tr>
<tr>
<td>M4</td>
<td>D.2.3 Report on the international assessment and action plans of the focus areas – interim report</td>
</tr>
<tr>
<td></td>
<td>The interim report shall present the draft results of the desk research and assessments of the transport systems in each of the focus areas in the selected international countries. It will also integrate the comments of targeted experts and stakeholders made during the workshop (D2.2) to be held in M3.</td>
</tr>
<tr>
<td>M3 and M8</td>
<td>D2.2 Experts and Stakeholders Validation Workshops</td>
</tr>
<tr>
<td>M7</td>
<td>D.2.3 Draft final report on the international assessment and action plans of the focus areas</td>
</tr>
<tr>
<td>M9</td>
<td>D.2.3 Final report on the international assessment and action plans of the focus areas</td>
</tr>
<tr>
<td></td>
<td>(The report and action plans will have been validated by experts and stakeholders as well as take into account comments provided by the EC)</td>
</tr>
</tbody>
</table>

**Intellectual property rights**

The Commission may publish the results of the study. For this purpose, the tenderer must ensure that no restrictions based on confidentiality and/or intellectual property rights are expected from a third party. Should he intend to use data in the study, which cannot be published, this must be explicitly mentioned in the offer.

### 3.3.4. Duration of the contract and meetings

The duration of the contract shall not exceed 9 months. This period is calculated in calendar days.

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

In principle, the deadlines set out above 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 above deliverable timetable and reflected in the workplan in the form of a Gantt chart.

The contractor (team leader and other relevant experts as necessary) is expected to participate in meetings in Brussels as follows:
− A **kick-off meeting** will take place in Brussels at the latest 10 working days following the signature of the contract, in order to settle all the details of the services to be provided, reports, etc. to be undertaken.

− Up to 2 **specific meetings** will be organised in Brussels at relevant stages of the process to discuss the initial main findings and planned work.

  Teleconferences shall be organised as deemed necessary by the EC technical officer or the contractor to address specific issues on the study.

− Following the submission of the draft final report, a **final meeting** will be organised in Brussels to discuss the Commission’s observation. The exact date will be agreed upon with the contractor.

All costs linked to the contractor’s participation in meetings and workshop in the frame of the contract including travelling costs, subsistence costs and any additional costs, shall be borne by the contractor. The costs of the participation of speakers and experts external to the contracting team (if required), including their possible remuneration, shall entirely be borne by the contractor.

After a meeting the contractor will:

− draft and provide the minutes of the meeting within 5 working days. The minutes shall be agreed among the meeting participants and the Commission;

− provide all presentations;

− take the discussions into account for the implementation of the following activities and the drafting/finalisation of the reports.

### 3.3.5. Working methods and quality requirements

The methodologies and approaches to be applied in each task have to be elaborated by the contractor. In the technical offer, the tenderer will describe the proposed approaches and the phases planned for the implementation of the required work, in line with the timeframe provided in these Tender Specifications. The approaches and planning for each task will be further detailed and agreed with the EC services during the implementation of the contract.

The contractor (team leader and other relevant experts) is expected to participate in meetings in Brussels at each relevant stage of the process, as set under section 3.3.4.

All deliverables shall be provided in native-level English in electronic format and shall be text-based (Word and Pdf-versions, not scanned). The reports are addressed to policymakers as an aid to decision-making. They have to be drafted in a proper literate manner and must be fully comprehensible in terms of grammatical structure (complete sentences, punctuation, explanation of abbreviations, etc.), using simple and non-technical language for a non-specialised audience. Technical explanations shall be given in annexes.

All the deliverables shall include an abstract of no more than 200 words and a 1-2 page executive summary. The text shall be of quality suitable for publication.
Where applicable, pictures should be submitted in high resolution wherever possible. In addition, three hard-copies shall be sent to the technical officer. The contractor shall also abide to the guidelines provided under section 4. below.

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\(^\text{12}\). The Commission is committed to making online information as accessible as possible to the largest possible number of users including those with visual, auditory, cognitive or physical disabilities, and those not having the latest technologies. The Commission supports the Web Content Accessibility Guidelines 2.0 of the W3C.

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

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

4.1. Content

4.1.1. Final study report

The final study report shall include:

- an abstract of no more than 200 words and an executive summary of maximum 6 pages in English [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

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\(^\text{12}\) The Visual Identity Manual of the European Commission is available upon request. Requests should be made to the following e-mail address: [comm-visual-identity@ec.europa.eu](mailto:comm-visual-identity@ec.europa.eu)
The 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 Commission. The Commission does not guarantee the accuracy of the data included in this study. Neither the Commission nor any person acting on the Commission’s behalf may be held responsible for the use which may be made of the information contained therein.”

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

4.2. Graphic requirements

For graphic requirements please refer to the template provided in the Annex 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 tenders MOVE/C2/2015-582

<table>
<thead>
<tr>
<th>Identity</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the tenderer</td>
<td></td>
</tr>
<tr>
<td>Legal status of the tenderer</td>
<td></td>
</tr>
<tr>
<td>Date of registration</td>
<td></td>
</tr>
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<td>Country of registration</td>
<td></td>
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<tr>
<td>Registration number</td>
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<tr>
<td>VAT number</td>
<td></td>
</tr>
<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)(^{13})</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Address</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Address of registered office of tenderer</td>
<td></td>
</tr>
<tr>
<td>Where appropriate, administrative address of tenderer for the purposes of this invitation to tender</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact Person</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Surname:</td>
<td></td>
</tr>
<tr>
<td>First name:</td>
<td></td>
</tr>
<tr>
<td>Title (e.g. Dr, Mr, Ms):</td>
<td></td>
</tr>
<tr>
<td>Position (e.g. manager):</td>
<td></td>
</tr>
</tbody>
</table>

\(^{13}\) For natural persons
Telephone number:  
Fax number:  
E-mail address:  

<table>
<thead>
<tr>
<th>Legal Representatives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Names and function of legal representatives</strong> and of other representatives of the tenderer who are authorised to sign contracts with third parties</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Declaration by an authorised representative of the organisation[^14]</th>
</tr>
</thead>
<tbody>
<tr>
<td>I, the undersigned, certify that the information given in this tender is correct and that the tender is valid.</td>
</tr>
</tbody>
</table>

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

[^14]: 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

(The undersigned:)

☐ 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 control\textsuperscript{15} 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\textsuperscript{16} 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 ___________________________

\textsuperscript{15} This covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares.

\textsuperscript{16} 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 ………………………………… on [dd/mm/yyyy]

Place and date:

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

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17 To be filled in and signed by each partner in a joint tender except the lead partner.
ANNEX 4
Standard Word template for studies

*Please see separate document*
ANNEX 5
DRAFT CONTRACT

Please see separate document