



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
ENVIRONMENT
Directorate F
Unit F.3

CALL FOR TENDERS

ENV.F.3/SER/2016/0004

Service contract for a

Methodological Framework for the systematic identification of emerging
risks to the environment

TENDER SPECIFICATIONS

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1. INFORMATION ON TENDERING

1.1. Participation

Participation in this procurement procedure is open on equal terms to all natural and legal persons coming within the scope of the Treaties, as well as to international organisations.

It is also open to all natural and legal persons established 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 plurilateral Agreement on Government Procurement¹ concluded within the World Trade Organisation applies, the participation to this procedure is also open to all natural and legal persons established in 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. Compliance with applicable law

The tender must comply with applicable environmental, social and labour law obligations established by Union law, national legislation, collective agreements or the international environmental, social and labour conventions listed in Annex X to Directive 2014/24/EU².

1.4. Joint tenders

A joint tender is a situation where a tender is submitted by a group of economic operators (natural or legal persons). Joint tenders may include subcontractors in addition to the members of the group.

In case of joint tender, all members of the group assume joint and several liability towards the Contracting Authority for the performance of the contract as a whole, i.e. both financial and operational liability. Nevertheless, tenderers must designate one of the economic operators as a single point of contact (the leader) for the Contracting Authority for administrative and financial aspects as well as operational management of the contract.

¹ See http://www.wto.org/english/tratop_e/gproc_e/gp_gpa_e.htm

² Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC (OJ L 94, 28.3.2014, p. 65).

After the award, the Contracting Authority will sign the contract either with all members of the group, or with the leader on behalf of all members of the group, authorised by the other members via powers of attorney.

1.5. Subcontracting

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

Tenderers are required to identify all subcontractors and provide an indication of the proportion of subcontracting. See Annex 2, questionnaire for joint bids and subcontracting.

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

1.6. Structure and content of the tender

The tenders must be presented as follows:

Part A: Identification of the tenderer (see section 1.7)

Part B: Non-exclusion (see section 2.2)

Part C: Selection (see section 2.3)

Part D: Technical offer (see section 3)

Part E: Financial offer (see section 2.5)

1.7. Identification of the tenderer

The tender must include a cover letter signed by an authorised representative presenting the name of the tenderer (including all entities in case of joint tender) and identified subcontractors if applicable, and the name of the single contact point (leader) in relation to this procedure. Coherence must be ensured between the information in the cover letter and in Annex 1.

In case of joint tender, the cover letter must be signed either by an authorised representative for each member, or by the leader authorised by the other members with powers of attorney. The signed powers of attorney must be included in the tender as well. Subcontractors that are identified in the tender must provide a letter of intent signed by an authorised representative stating their willingness to provide the service presented in the tender and in line with the present tender specifications.

The tenderer (and each member of the group in case of joint tender) must declare whether it is a Small or Medium Size Enterprise in accordance with [Commission Recommendation 2003/361/EC](#). This information is used for statistical purposes only.

All tenderers (including all members of the group in case of joint tender) 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.

The tenderer (or the leader in case of joint tender) must provide a Financial Identification Form with its supporting documents. Only one form per tender should be submitted. No form is needed for subcontractors and other members of the group in case of joint tender. 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 solely on the information provided in the submitted tender. It involves the following:

- Verification of non-exclusion of tenderers on the basis of the exclusion criteria
- Selection of tenderers on the basis of selection criteria
- Verification of compliance with the minimum requirements set out in these tender specifications
- Evaluation of tenders on the basis of the award criteria

The contracting authority may reject abnormally low tenders, in particular if it established that the tenderer or a subcontractor does not comply with applicable obligations in the fields of environmental, social and labour law.

The tenders will be assessed in the order indicated above. Only tenders meeting the requirements of one step will pass on to the next step.

2.2.Verification of non-exclusion

All tenderers must provide a declaration on honour (see Annex 5), signed and dated by an authorised representative, stating that they are not in one of the situations of exclusion listed in that declaration on honour.

In case of joint tender, each member of the group must provide a declaration on honour signed by an authorised representative.

In case of subcontracting, subcontractors whose capacity is necessary to fulfil the selection criteria must provide a declaration on honour signed by an authorised representative.

The Contracting Authority reserves the right to verify whether the successful tenderer is in one of the situations of exclusion by requiring, at any point during the procedure, the supporting documents listed in the declaration on honour.

The obligation to submit supporting evidence does not apply to international organisations.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit the documentary evidence if it has already been submitted for another procurement procedure and provided the documents were issued not more than one year before the date of their request by the contracting authority and are still valid at that date. In such cases, the tenderer must declare on its honour that the documentary evidence has already been provided in a previous procurement procedure, indicate the reference of the procedure and confirm that there has been no change in its situation.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit a specific document if the contracting authority can access the document in question on a national database free of charge.

2.3.Selection criteria

Tenderers must prove their legal, regulatory, 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. Declaration and evidence

The tenderers (and each member of the group in case of joint tender) and subcontractors whose capacity is necessary to fulfil the selection criteria must provide the declaration on honour (see Annex 5), signed and dated by an authorised representative, stating that they fulfil the selection criteria applicable to them. In case of joint tender or subcontracting, the criteria applicable to the tenderer as a whole will be verified by combining the various declarations for a consolidated assessment. Only the lead tenderer needs to confirm compliance with the selection criteria as listed in Annex 5. Other members of the group can leave this section blank but should in any case sign and date the form.

This declaration is part of the declaration used for exclusion criteria (see section 2.2) so only one declaration covering both aspects should be provided by each concerned entity.

The Contracting Authority will evaluate selection criteria on the basis of the declaration on honour and evidence submitted for the legal and regulatory, financial and economic and technical and professional capacity of the tenderers.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit the documentary evidence if it has already been submitted for another procurement procedure and provided the documents were issued not more than one year

before the date of their request by the contracting authority and are still valid at that date. In such cases, the tenderer must declare on its honour that the documentary evidence has already been provided in a previous procurement procedure, indicate the reference of the procedure and confirm that there has been no change in its situation.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit a specific document if the contracting authority can access the document in question on a national database free of charge.

2.3.2. Legal and regulatory capacity criteria and evidence

Tenderers must prove that they are allowed to pursue the professional activity necessary to carry out the work subject to this call for tenders. The tenderer (including each member of the group in case of joint tender) must provide the following information in its tender if it has not been provided with the Legal Entity Form:

- For legal persons, a legible copy of the notice of appointment of the persons authorised to represent the tenderer in dealings with third parties and in legal proceedings, or a copy of the publication of such appointment if the legislation applicable to the legal person requires such publication. Any delegation of this authorisation to another representative not indicated in the official appointment must be evidenced.
- For natural persons, if required under applicable law, a proof of registration on a professional or trade register or any other official document showing the registration number.

2.3.3 Economic and financial capacity criteria and evidence

The tenderer must have the necessary economic and financial capacity to perform this contract until its end. The tenderer must comply with the following selection criteria:

Annual turnover of the last two financial years above EUR 200.000; this criterion applies to the tenderer as a whole, i.e. the combined capacity of all members of a group in case of a joint tender.

On request from the contracting authority, the tenderer should be able to provide the following evidence at short notice.

- Copy of the profit and loss accounts for the last two years for which accounts have been closed from each concerned legal entity;
- 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, it may prove its economic and financial capacity by any other documents which the Contracting Authority considers appropriate. In any case, the Contracting Authority must at least be notified of the exceptional reason and its justification. The Commission reserves the right to request any other document enabling it to verify the tenderer's economic and financial capacity.

2.3.4 Technical and professional capacity criteria and evidence

a. Criteria and evidence relating to tenderers

Tenderers (in case of a joint tender the combined capacity of all members of the group and identified subcontractors) must comply with the criteria listed below:

The project references indicated below consist of a list of relevant services provided in the past three years, with the sums, dates and clients, public or private, accompanied by statements issued by the clients.

- **Criterion A1:** The tenderer must prove experience in the fields of environment and risk management.

Evidence A1: The tenderer must provide references for 3 projects delivered in these fields in the last three years.

- **Criterion A2:** The tenderer must prove capacity to work in English.

Evidence A2: The tenderer must provide references for 3 projects delivered in the last three years showing the necessary language coverage.

- **Criterion A3:** The tenderer must prove capacity to draft reports in English.

Evidence A3: The tenderer must provide one document of at least 10 pages (report, study, etc.) in this language that it has drafted and has either published, or has delivered to one of its clients in the last two years. The verification will be carried out on 5 pages of the document.

- **Criterion A4:** The tenderer must prove experience in organising and running workshops or seminars in multinational contexts.

Evidence A4: The tenderer must provide references for 3 workshops / seminars organised in the last three years with participants coming from at least three different countries.

In order to prove their capacity, the tenderer must submit with its tender the evidence listed above.

b. Criteria and evidence relating to the team delivering the service:

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

B1 - Project Manager: At least 5 years' 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 and coverage, with experience in management of teams of at least 5 people.

Evidence B1: CV

B2 - Language quality check: at least 2 members of the team should have at least C1 level in the Common European Framework for Reference for Languages³ in English.

Evidence B2: A language certificate or past relevant experience (for non-native speakers).

B3 - Expert in risks to the environment: Relevant higher education degree or at least 4 years' professional experience in the field of risks to the environment.

Evidence B3: CV

In order to prove their capacity, the tenderer must submit with its tender the evidence listed above and a summary table with names, intended functions and relevant professional and technical experience of the team members.

2.4. Compliance with the minimum requirements

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 rejected on the basis of non-compliance with the tender specifications and will not be evaluated.

2.5. Award criteria

The contract will be awarded to the most economically advantageous tender, according to the 'best price-quality ratio' award method. The quality of the tender will be evaluated based on the following criteria. The maximum total quality score is 100 points.

A maximum of 60 points will be attributed to criterion 1, a maximum of 30 points will be attributed to criterion 2 and a maximum of 10 points will be attributed to criterion 3. In addition a minimum threshold will be set up under this system of points:

- Technical sufficiency levels: Selected companies will have to score a minimum of 30, 15 and 5 points under criteria 1, 2 and 3, with a minimum total of 65 points.

Assessment of the tenders will focus on the quality of the proposed services therefore tenderers should elaborate on all points addressed by these specifications in order to score as many points as possible. The mere repetition of mandatory requirements set out in these specifications, without going into details or without giving any added value, will only result in a very low score. In addition, if certain essential points of these specifications are not expressly covered by the tender, the Commission may decide to give a zero mark for the relevant qualitative award criteria.

³ See http://www.coe.int/t/dg4/linguistic/Cadre1_en.asp

1 Quality of the proposed methodology (60 points – minimum threshold 50%)

The degree to which the methodology shows the capacity to design, conduct and analyse the requested work (methodology design and testing through a workshop), in accordance with the needs of the contracting authority. Furthermore the tender must demonstrate the capacity to resolve the questions underlying in the tender in a realistic and well-structured way, as well as demonstrate whether and how the methods proposed are suited to the needs set out by the Commission in the Technical Specifications.

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

This criterion will assess how the roles and responsibilities of the proposed team and of the economic operators (in case of joint tenders, including subcontractors if applicable) are distributed for each task. It also assesses the global allocation of time and resources to the project and to each task or deliverable, and whether this allocation is adequate for the work. The tender should provide details on the allocation of time and resources and the rationale behind the choice of this allocation. Details should be provided as part of the technical offer and not simply as part of the financial offer. The offer should also include details on the capacity to ensure language quality checking and on how the continuity of the service can be guaranteed in case of absence of a member of the team.

3 Quality control measures (10 points – minimum threshold 50%)

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

2.5.1 Ranking and Award

Having examined the tenders from a technical point of view, the evaluation committee will proceed considering which is the economically most advantageous offer taking into account **only those tenders that have obtained at least 65 out of the 100 points that are available for the technical quality of the bid**. The evaluation committee will then proceed with the financial comparison of the tenders retained for further consideration according to the ranking procedure below.

The bid offering the best value for money will be chosen, provided that the minimum number of points cited above is achieved. The ranking of the tenders will be calculated as follows:

- All bids that do not reach the stated technical sufficiency levels for each individual award criteria will not be considered for contract award.
- All bids that have passed the individual levels and score 65 or higher are deemed to be technically sufficient. Then the price is divided by the total number of points awarded to obtain the price-quality ratio. The award of the contract will be made in accordance with the lowest ratio.

The Commission reserves the right not to select any tender if the amounts tendered exceed the budget envisaged for this project.

2.6. Financial offer

The maximum budget allocated to this contract is fixed at € 100.000 (one hundred thousand Euros) excluding VAT (including fees, travel and all other costs. NB **Travel and subsistence expenses should be part of the lump sum and will not be refunded separately**). Any offers received that do not respect this maximum budget will be automatically excluded from the evaluation procedure. For guidance purposes see Annex 3.

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.

3. TECHNICAL SPECIFICATIONS

The EU's 7th Environment Action Programme⁴ approved by the European Parliament and Council highlights the need for an improvement in "our understanding of and ability to evaluate and manage emerging environmental and climate risk". This is to be done by "adopting a systematic and integrated approach to risk management, particularly in relation to the evaluation and management of new and emerging policy areas and related risks as well as the adequacy and coherence of regulatory responses."⁵ The goal is to ensure, by 2020, that "the understanding of, and the ability to evaluate and manage, emerging environmental and climate risks are greatly improved".

This systematic approach to risk should "improve the EU's capacity to identify and act upon technological developments in a timely manner, while providing reassurance to the public".⁶ The approach should be based on a systemic dialogue/mechanism for i) early recognition, ii) preliminary assessment ('pre-scoping'), and iii) determination of the EU-wide significance of emerging risks.⁷ The expectation is that this will help the EU to manage emerging risks stemming from new technological developments, which is seen as a pre-condition for public acceptance of certain new technologies.

⁴ [General Union Environment Action Programme to 2020 "Living well, within the limits of our planet"](#) .

⁵ *ibid.*

⁶ *ibid.*

⁷ Annex 6 to the Impact Assessment accompanying the Proposal for a Decision on a General Union Environment Action Programme to 2020 "Living well, within the limits of our planet", COM(2012) 710 final, p. 133.

Various approaches aimed at tackling emerging risks (with links to the environment) exist within the EU as well as at international level, e.g.:

- The Environment Directorate General of the European Commission coordinates the [Science for Environment Policy](#) service, designed to inform policy-makers about the latest environmental research findings, including emerging environmental issues. The renewed service (from 2017) shall have an increasing focus on emerging risks, incl. from new technological developments.
- The Health and Food Safety Directorate General of the European Commission coordinates two [Scientific Committees](#) which draft opinions on risks: SCHER – Scientific Committee on Health and Environmental risks, and SCENIHR – Scientific Committee on Emerging and Newly Identified Health Risks.⁸ A recent example is the [Position Statement on emerging and newly identified health risks](#). This Directorate General makes frequent use of [MediSys](#) - a targeted version of the European Media Monitoring, managed by the European Commission's Joint Research Centre – as a pre-alert on threats to health.
- Within the European Food Safety Agency ('EFSA'), the [Scientific Committee and Emerging Risks](#) Unit is responsible for establishing procedures to monitor, collect and analyse information and data in order to identify emerging risks for food and – through an internal task force – provides input into the work of the risk assessment activities of EFSA's Scientific Panels and Scientific Committee. In 2011, a working group produced a [report](#) on how to proceed "Towards a methodological framework for emerging risk identification".
- The European Environment Agency produces a [State of the Environment Report](#) every five years in which 'megatrends' are also assessed. It has also produced two important retrospective reports, [Late Lessons from early warnings: the precautionary principle 1896-2000](#) (2001) and [Late Lessons from early warnings: science, precaution, innovation](#) (2013). The reports document 34 case studies that collectively illustrate how ignoring evidence of potential hazards has resulted in damaging and costly impacts on the environment and human health.
- The Research and Innovation Directorate General of the European Commission and the Joint Research Centre have considerably consolidated experience on foresight approaches and tools.
- UNEP produces the [Year Book Emerging Issues in our Global Environment](#).
- The World Economic Forum produces an annual Global Risks Report through a [Risk Response Network](#). The 2016 Global Risks Report has recently been published.

⁸ According to Decision C(2015)5383 SCHER and SCENIHR will be replaced by a Scientific Committee on Health, Environmental and Emerging Risks (SCHEER).

- OECD has published [Emerging Risks in the 21st Century](#) (released in 2003). In 2003 OECD launched a Futures Project on Risk Management Policies to assist OECD countries identify emerging risks and consider how best to address them.

A comprehensive and systematic approach on identifying emerging risks to the environment at EU level does not yet exist. However, within the recently established Environment Knowledge Community – 'EKC' (Directorates General for Environment, Climate Action, Research and Innovation, the Joint Research Centre, Eurostat, and the European Environment Agency) one of the objectives is to "Strengthen the Commission's capacity to anticipate emerging issues, including through foresight tools as well as to monitor and identify opportunities and complex risks and foresee their impact on environment and society". A methodological framework for the identification of emerging risks should support the EKC in achieving their primary goal under this objective, namely "to build a joint, participatory foresight capacity, to anticipate and understand new and emerging issues requiring a policy approach, as well as related risks and opportunities"⁹.

3.1. General and specific objectives

General objective:

In the context of protecting and conserving the environment throughout the European Union, the general objective of this contract is to devise a methodological framework for the identification of emerging risks to the environment, such that timely and effective policy action at EU level can be considered.

Specific objectives:

- To provide an **overview of state-of-the-art approaches, tools and best practices** linked with the identification of emerging risks that could apply in the context of protecting the environment;
- To develop an inclusive and participatory **methodological framework** for the systematic identification of emerging risks to the environment in the EU.

3.2. Tasks and timing

Task 1: Review of existing methods, methodologies and tools (Month 1-2)

Task 2: Brainstorming with EKC representatives and experts (Month 2-3)

Task 3: Draft methodological framework (Month 3-5)

Task 4: Workshop and subsequent refinement of the methodology (Month 6-8)

⁹ Environment Knowledge Community Roadmap, internal document. The Roadmap will be provided to the selected contractor.

Task 1: Review of existing methods, methodologies and tools

The contractor shall examine the existing literature (whether in journals, from web-based or from any other relevant source) on the identification of emerging risks to the environment, in order to support the development of the methodological framework proposed under Task 3.

The review shall identify existing best practices (methods, methodologies and tools) carried out in the field of emerging risks, e.g. examples of early identification approaches already in use at national (especially EU Member State), EU or international level (see illustrative list provided above) that could contribute to establishing a European system for the identification of emerging risks to the environment. Particular attention should be devoted to the practices in use by the partners of the Environment Knowledge Community (see membership above).

Following this review, a summary should be supplied, highlighting the methods, methodologies and tools most relevant for environmental protection. The summary should clearly detail, for each method, methodology and tool listed (possibly by using the SWOT analysis or similar):

- A short description, including deliverables, timelines and resources used where applicable;
- Why each method, methodology or tool is relevant in the context of building an EU methodological framework for emerging risks to the environment, also explaining how far the method/tool involves other actors;
- Effectiveness and limitations.

On the basis of this summary, the contractor shall propose a preliminary analysis of the findings with a view to developing a systematic framework for the identification of emerging risks to the environment.

Task 2: Brainstorming with EKC representatives and experts

The contractor should organise a brainstorming session with risk and foresight experts coming from the EKC partners and other relevant experts (max. 20 participants). The contractor will present the findings and preliminary analysis under Task 1. The most relevant methods/methodologies/tools from entities external to the EKC (around 3-4) should be presented directly by the entity that has devised them, in order to foster an objective discussion. The purposes of the brainstorming session should be to:

- Inform EKC partners about typical practices and allow for sharing of concrete examples;
- Review and discuss the list provided by the contractor, including highlighting of feasibility, gaps and needs;
- Discuss the draft analysis with a view to identifying the key characteristics that a European system for the identification of emerging risks to the environment should encompass;
- EKC partners to define the main orientations for Task 3.

DG ENV will cover the costs of the brainstorming meeting (travel and subsistence of participants) outside the scope of this contract and host the meeting at its premises in Brussels. The contractor will take care of the organisation of the meeting, including the identification of the best practices, the contacts with external participants, the preparation of the background material, the management of the meeting and the production of the final report (a draft to be supplied to the Commission within 5 working days of the end of the session). The list of

participants is to be approved by DG ENV in advance. The meeting shall last no more than a day.

Task 3: Draft methodological framework

On the basis of the findings under Task 1 and 2, the contractor should produce a draft methodological framework for the systematic identification of emerging environmental risks in the EU. The objective of such a framework should be to inform, in a timely manner, EU policy-makers on emerging environmental risks, to facilitate timely policy action and its implementation.

The framework should clearly describe the initial steps that the DG ENV and its EKC partners could take, highlighting in particular three phases:

1. early identification of emerging risks, including identification of appropriate data and information sources;
2. scoping of the identified potential risks, to allow for their prioritisation;
3. determination of their significance, their likely impacts, potential costs and the probable availability of resources and time available to tackle the risk.

The methodology should highlight how any proposed tool would contribute to the overall approach set out in the methodology.

In evaluating the different potential tools for use within the methodological framework, the contractor shall pay particular attention to integrate sources that provide: scientific knowledge, lay knowledge, expert knowledge and relevant information coming from stakeholders (incl. media). The contractor shall build upon relevant approaches and tools identified under Task 1, notably:

- the European Media Monitoring tool managed by the Joint Research Centre (as a source to detect issues coming from the media or other web sources);
- the Science for Environment Policy news alert (to integrate scientific information);
- already existing expert groups and foresight activities.

Some elements in particular should be highlighted in the description of the methodological framework:

- Clear definition of the terminology used, notably of “emerging environmental risks” (e.g. what an environmental risk is, what characteristics enable it to be classified as “emerging”, etc.), supported by appropriate referencing. A starting point may be the operational definition adopted by EFSA in 2007: “an emerging risk to human, animal and/or plant health is understood as a risk resulting from a newly identified hazard to which a significant exposure may occur or from an unexpected new or increased significant exposure and/or susceptibility to a known hazard”¹⁰;

¹⁰ Definition and description of emerging risks within the EFSA's mandate. [EFSA/SC/415 Final](#).

- Criteria to use to categorise emerging risks according to, e.g., their source (physical, biological, industrial etc.); type and magnitude of impact, differentiating between impacts on the environment, human health or both; assessment of probability; geographical extent of likely impacts. This list is non-exhaustive and all categories should be correlated with prioritisation and follow-up action set out in the methodology;
- Individuals or entities to be involved at each stage of the methodology, which should be participatory in nature, while at the same time setting out the pathway for operational and timely progress. The tools and approaches specific to the involvement of the various actors should also be indicated.

The contractor shall also include a flow chart showing how the framework should work and how the various components interconnect.

Task 4: Workshop and refinement of the methodology

The draft methodological framework developed under Task 3 will be reviewed and discussed in a workshop involving around 30 EU experts. DG ENV will cover the costs of the workshop (travel and subsistence of participants) outside the scope of this contract and will host the workshop at its premises in Brussels. The contractor will take care of the organisation of the workshop, including the identification of a balanced range of participants (including academics and experts in the field of environmental risk management, as well as EKC representatives and other interested Commission services), invitations and subsequent contacts with the participants, the preparation of workshop material, the management of the workshop and the production of the final report, a draft of which must be supplied within 5 working days of the end of the workshop. The list of participants will need to be approved by DG ENV in advance. The workshop shall last one day.

Having analysed and synthesised the information and guidance gathered from the workshop, the contractor will revise the proposed methodological framework and produce a final draft version of the framework no later than 10 working days after the end of workshop.

3.3. Meetings

A kick-off meeting for this contract will take place at the Commission premises in Brussels no later than 2 weeks after it has been signed by both the contractor and the contracting authority.

The contractor is required to travel to the Commission premises in Brussels for the brainstorming and the workshop described in Tasks 2 and 4 and for a final meeting. The final meeting will take place after the execution of Task 4 and no later than 8 months after the signature of the contract.

Regular communication between the contractor and the Commission will be essential throughout the execution of the contract. Audio- and video-conferencing may be used where practicable.

3.4. Deliverables and timing

All intermediate and final deliverables shall be provided in English, proof-read to a high standard, in MS-Word and pdf formats. The final report should include an executive summary of no more than 4 pages, in English and French.

- i. **Inception report:** to be delivered to the Commission in both Word and PDF format within 10 working days following the kick-off meeting. The contractor shall present an inception report based on the discussions held with the contracting authority at the kick-off meeting.
- ii. **Review of existing methods, methodologies and tools:** to be delivered to the Commission in both Word and PDF format within 10 weeks of the kick-off meeting.
- iii. **Report of the brainstorming meeting:** to be delivered to the Commission in both Word and PDF format within 10 working days following the brainstorming meeting.
- iv. **Draft methodological framework:** to be sent to the Commission in both Word and PDF format within the 5 months following signature of the contract by both parties.
- v. **Report on the expert workshop:** to be delivered to the Commission in both Word and PDF format within the 10 working days following the expert workshop.
- vi. **Final report with revised methodological framework:** to be delivered to the Commission in both Word and PDF format not later than 7 months after the signature of the contract by both parties. It will include the literature and tools review and the methodology revised in light of the relevant findings from the workshop.

3.5. Duration of the tasks

All tasks are to be completed within 8 months of the signature of the contract by both parties. The execution of the tasks may not start before the contract has been signed.

3.6. Place of performance

The place of performance of the tasks shall be the contractor's premises or any other place indicated in the tender and approved by the Commission. The inception and final meetings as well as the brainstorming and the expert workshop (Task 2 and 4) will take place on Commission premises.

ANNEX 1 - ADMINISTRATIVE INFORMATION FORM

(To be signed by the tenderer only or the lead tenderer in the case of joint bids)

Organisation or individual:

NAME:

ADDRESS:

Address where contract should be sent to (if different from above):

.....

PERSON AUTHORISED TO SIGN CONTRACT:

Name and position:

PERSON FOR ROUTINE CONTACT:

Name and position:

ADDRESS:

Telephone and E-mail:

Signature of Tenderer

ANNEX 2 – QUESTIONNAIRE FOR JOINT BIDS AND SUBCONTRACTING

(To be completed and signed by the lead tenderer)

Joint bid (refer to paragraph 1.4)

1. Does your bid involve more than one tenderer? Yes ☐ No ☐

Questions 2 - 4 shall be answered only if you have answered yes to question 1.

2. Please fill in the name of the company having power of attorney for the group of tenderers and acting as a co-ordinator:

3. Please fill in the names of the other companies taking part in the joint offer:

4. If a consortium or similar entity exists, please fill in the name and the legal status of the entity:

Subcontracting (refer to paragraph 1.5)

5. Does your bid involve subcontracting? Yes ☐ No ☐

If the answer is yes, please complete question 6, and the next page per sub-contractor.

6.

List of sub-contractors:

Percentage of subcontracting:

.....

.....

.....

.....

Reasons, roles, activities and responsibilities of sub-contractors.

Please complete this page for each sub-contractor (one page per sub-contractor):

Name of the sub-contractor:

.....

Official legal form:

.....

Country of registration:

.....

Statutory registration number:

.....

(Internet address, if applicable):

.....

Official address in full:

.....

.....

Contact person:

.....

Telephone number:

.....

Reasons for subcontracting:

.....

Role, activities and responsibilities of the sub-contractor:

.....

The volume or the proportion of the sub-contracting:

.....

Do you intend to rely on capacities from the sub-contractor in order to fulfil the selection criteria? If yes, specify which selection criterion - financial and economic capacity or technical and professional capacity - and be aware that the tenderer must provide the documents which make it possible to assess the selection criteria.

.....

Tenderer:

Date:

Signature:

ANNEX 3 – FINANCIAL OFFER TEMPLATE

(To be completed and signed by the tenderer only or the lead tenderer in the case of joint bids)

(for guidance purposes only)

Price and Estimated budget breakdown

Calculation of the costs (incl. travel, overheads, consumables and any other related costs)

Type of service provider	Position within the project team	Number of working days	Allocation of tasks	Proportion of the contract in %	Costs in €
Lead contractor					

	<i>Sub-total</i>
Sub-contractor 1					

	<i>Sub-total</i>
Sub-contractor 2					

	<i>Sub-total</i>
Sub-contractor 3					

	<i>Sub-total</i>
Travel/other costs ¹ (if applicable)					
	Total

Signature of Tenderer

.....

Date

.....

¹ Will be reimbursed on a lump-sum basis.

ANNEX 4 - LEGAL ENTITY AND FINANCIAL IDENTIFICATION FORMS

These forms can be downloaded from

http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm
m (Legal entity form)

(To be signed by the tenderer and all members of the group in the case of joint tender (not necessary for subcontractors))

http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm
(financial identification form)

(One form per offer to be signed by the tenderer or lead tender in the case the of joint tender)

**ANNEX 5 - DECLARATION ON HONOUR ON
EXCLUSION CRITERIA AND SELECTION CRITERIA**

(To be completed by the tenderer, all members of a joint tender and any subcontractor whose capacity is necessary to fulfil the selection criteria)

Comments [in grey italics in square brackets] are to be deleted and/or replaced by appropriate data.

The undersigned [*insert name of the signatory of this form*], representing:

<i>(only for natural persons)</i> himself or herself	<i>(only for legal persons)</i> the following legal person:
ID or passport number:	Full official name: Official legal form: Statutory registration number: Full official address: VAT registration number:

➤ declares whether the above-mentioned person is in one of the following situations or not:		
SITUATION OF EXCLUSION CONCERNING THE PERSON	YES	NO
a) it is bankrupt, subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended or it is in any analogous situation arising from a similar procedure provided for under national legislation or regulations;	<input type="checkbox"/>	<input type="checkbox"/>
b) it has been established by a final judgement or a final administrative decision that the person is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the contracting authority is located or those of the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
c) it has been established by a final judgement or a final administrative decision that the person is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the person belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:		
(i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) entering into agreement with other persons with the aim of distorting	<input type="checkbox"/>	<input type="checkbox"/>

competition;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) violating intellectual property rights;	<input type="checkbox"/>	<input type="checkbox"/>
(iv) attempting to influence the decision-making process of the contracting authority during the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>
(v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>
d) it has been established by a final judgement that the person is guilty of any of the following:		
(i) fraud, within the meaning of Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) corruption, as defined in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of EU Member States, drawn up by the Council Act of 26 May 1997, and in Article 2(1) of Council Framework Decision 2003/568/JHA, as well as corruption as defined in the legal provisions of the country where the contracting authority is located, the country in which the person is established or the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) participation in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA;	<input type="checkbox"/>	<input type="checkbox"/>
iv) money laundering or terrorist financing, as defined in Article 1 of Directive 2005/60/EC of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
(v) terrorist-related offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;	<input type="checkbox"/>	<input type="checkbox"/>
(vi) child labour or other forms of trafficking in human beings as defined in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
e) the person has shown significant deficiencies in complying with the main obligations in the performance of a contract financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an Authorising Officer, OLAF or the Court of Auditors;	<input type="checkbox"/>	<input type="checkbox"/>
f) it has been established by a final judgment or final administrative decision that the person has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;	<input type="checkbox"/>	<input type="checkbox"/>
g) for the situations of grave professional misconduct, fraud, corruption, other criminal offences, significant deficiencies in the performance of the contract or irregularity, the applicant is subject to: i.facts established in the context of audits or investigations carried out by the Court of Auditors, OLAF or internal audit, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body; ii.non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics; iii.decisions of the ECB, the EIB, the European Investment Fund or international organisations;	<input type="checkbox"/>	<input type="checkbox"/>

iv. decisions of the Commission relating to the infringement of the Union's competition rules or of a national competent authority relating to the infringement of Union or national competition law; or v. decisions of exclusion by an authorising officer of an EU institution, of a European office or of an EU agency or body.		
--	--	--

[Only for legal persons other than Member States and local authorities, otherwise delete this table]

- declares whether a natural person who is a member of the administrative, management or supervisory body of the above-mentioned legal person, or who has powers of representation, decision or control with regard to the above-mentioned legal person (this covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares) is in one of the following situations or not:

SITUATIONS OF EXCLUSION CONCERNING NATURAL PERSONS WITH POWER OF REPRESENTATION, DECISION-MAKING OR CONTROL OVER THE LEGAL PERSON	YES	NO
Situation (c) above (grave professional misconduct)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (d) above (fraud, corruption or other criminal offence)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (e) above (significant deficiencies in performance of a contract)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (f) above (irregularity)	<input type="checkbox"/>	<input type="checkbox"/>

- declares whether a natural or legal person that assumes unlimited liability for the debts of the above-mentioned legal person is in one of the following situations or not:

SITUATIONS OF EXCLUSION CONCERNING NATURAL OR LEGAL PERSONS ASSUMING UNLIMITED LIABILITY FOR THE DEBTS OF THE LEGAL PERSON	YES	NO	N/A
Situation (a) above (bankruptcy)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (b) above (breach in payment of taxes or social security contributions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- declares whether the above-mentioned person is in one of the following situations or not:

GROUND FOR REJECTION FROM THIS PROCEDURE	YES	NO
h) has not distorted competition by being previously involved in the preparation of procurement documents for this procurement procedure;	<input type="checkbox"/>	<input type="checkbox"/>
i) has provided accurate, sincere and complete information to the contracting authority within the context of this procurement procedure;	<input type="checkbox"/>	<input type="checkbox"/>
➤ acknowledges that the above-mentioned person may be subject to rejection from this procedure and to administrative sanctions (exclusion or financial penalty) if any of the declarations or information provided as a condition for participating in this procedure prove to be false.		

REMEDIAL MEASURES

If the person declares one of the situations of exclusion listed above, it should indicate the measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. They may include e.g. technical, organisational and personnel measures to prevent further occurrence, compensation of damage or payment of fines. The relevant documentary evidence which appropriately illustrates the remedial measures taken should be provided in annex to this declaration. This does not apply for the situations referred in point (d) of this declaration.

EVIDENCE UPON REQUEST

Upon request and within the time limit set by the contracting authority the person shall provide information on the persons that are members of the administrative, management or supervisory body, as well as the following evidence concerning the person or the natural or legal persons which assume unlimited liability for the debt of the person:

For situations described in (a), (c), (d) or (f), production of a recent extract from the judicial record is required or, failing that, an equivalent document recently issued by a judicial or administrative authority in the country of establishment of the person showing that those requirements are satisfied.

For the situation described in point (a) or (b), production of recent certificates 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 person is liable, including for example, VAT, income tax (natural persons only), company tax (legal persons only) and social security contributions. Where any document described above is not issued in the country concerned, it may be replaced by a sworn statement made before a judicial authority or notary or, failing that, a solemn statement made before an administrative authority or a qualified professional body in its country of establishment.

If the person already submitted such evidence for the purpose of another procedure, its issuing date does not exceed one year and it is still valid, the person shall declare on its honour that the documentary evidence has already been provided and confirm that no changes have occurred in its situation.

➤ declares whether the above-mentioned person complies with the selection criteria as provided in the tender specifications:		
SELECTION CRITERIA	YES	NO
(a) It has the legal and regulatory capacity to pursue the professional activity needed for performing the contract as required in section 2.3.2 of the tender specifications;	<input type="checkbox"/>	<input type="checkbox"/>
(b) It fulfills the applicable economic and financial criteria indicated in section 2.3.3 of the tender specifications;	<input type="checkbox"/>	<input type="checkbox"/>
(c) It fulfills the applicable technical and professional criteria indicated in section 2.3.4 of the tender specifications.	<input type="checkbox"/>	<input type="checkbox"/>
➤ declares that the above-mentioned person will be able to provide the necessary supporting documents listed in the relevant sections of the tender specifications and which are not available electronically upon request and without delay. <i>Only the lead tenderer needs to confirm compliance with the selection criteria as listed above. Other members of the group can leave this section blank but should in any case sign and date the form.</i>		

Full name

Date

Signature

ANNEX 6 - ACKNOWLEDGEMENT OF RECEIPT



EUROPEAN COMMISSION
DIRECTORATES-GENERAL
ENVIRONMENT AND CLIMATE ACTION
SRD - Shared Resources Directorate
SRD.2 - Finance

(Please fill in your address)

ACKNOWLEDGEMENT OF YOUR TENDER

Our reference: ENV.F.3/SER/2016/0004

Your reference:

We wish to confirm the receipt and opening of your offer¹. Your offer will now be evaluated by the Commission and its experts. You will be informed of the result in due course.

We thank you for your interest.

MarketsTeam
SRD.2

¹ Your personal contact data has been recorded in a database used by the Markets Team of unit SRD.2 for the administrative management of offers. The Commission is bound by Regulation 45/2001 on the protection of individuals with regard to the processing of personal data by the Union institutions and bodies. For more information, and to exercise your rights to access and eventually correct data concerning you, please don't hesitate to contact us.