



**EUROPEAN COMMISSION**

DIRECTORATE-GENERAL

CLIMATE ACTION

**Directorate C – Climate strategy, governance and emissions from non-trading sectors**

**Unit C3 – Land use and finance for innovation**

## **CALL FOR TENDERS**

CLIMA/C3/SER/2016/0007

**SERVICE CONTRACT ON MARKET TESTING FOR LOW-CARBON  
INNOVATION SUPPORT TO ENERGY INTENSIVE INDUSTRY AND  
TO POWER GENERATION**

# **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 Procurement<sup>1</sup> 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/EU<sup>2</sup>.

### **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.

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<sup>1</sup> 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)

<sup>2</sup> 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 2.6)

### **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](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](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.

In any event, the successful tenderer must provide the documents mentioned in the declaration on honour before signature of the contract and within a deadline given by the contracting authority. This requirement applies to each member of the group in case of joint tender and to subcontractors whose capacity is necessary to fulfil the selection criteria.

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 individually. 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.

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 706, 000 (seven hundred and six thousand euros); this criterion applies to the tenderer as a whole, i.e. the combined capacity of all members of a group and identified subcontractors in case of a joint tender.

**In order to prove their capacity, the tenderer must submit with its tender the following evidence:**

- 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 financial expertise in the field of mechanisms to provide financial support to (innovative) investments as well as in survey techniques to assess market potential, including drafting reports and recommendations.

**Evidence A1:** the tenderer must provide references for 3 projects delivered in these fields in the last three years with a minimum value for each project of € 150.000.

- **Criterion A2:** The tenderer must prove technical expertise in the field of innovative greenhouse gas emission reduction technologies in energy intensive industries, innovative renewable energy sources (RES) (including transport) and carbon capture and storage (CCS) as well as in survey techniques to assess market potential, including drafting reports and recommendations.

**Evidence A2:** the tenderer must provide references for 3 projects delivered in these areas, including at least 1 project related to energy intensive industry within sectors covered by the EU ETS, in the last three years with a minimum value for each project of € 150.000.

- **Criterion A3:** The tenderer must prove capacity to conduct research (including survey techniques) and draft reports in English.

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

- **Criterion A4:** The tenderer must prove its capacity to gather information from and conduct research in all EU countries.

**Evidence A4:** the tenderer must provide references for projects delivered in the last three years, i.e. at least one recent project involving the application of a similar research methodology for a topic with an EU-wide scope.

**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:

**Criterion 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 project(s) of a similar size (at least € 300.000) and coverage (at least 20 countries covered), with experience in management of teams of at least 10 people.

**Evidence B1:** CV

**Criterion B2 - Language quality check:** all members of the core team should have at least C1 level in the Common European Framework for Reference for Languages<sup>3</sup> in English.

**Evidence B2:** a language certificate or past relevant experience.

**Criterion B3 – Financial expert in the development and implementation of financial instruments, including EU funding mechanisms:** Relevant higher education degree or equivalent professional experience and at least 10 years' professional experience in the field.

**Evidence B3:** CV and a relevant publication

**Criterion B4 – Three technical experts (one per sector) in energy intensive industry, innovative RES (including transport) and CCS:** Relevant higher education degree or equivalent professional experience and at least 5 years' professional experience in the field. The expert in energy intensive industry should be able to demonstrate knowledge in relation to the EU ETS in relation to industry.

**Evidence B4:** CV, and for the expert in energy intensive industry, a relevant recent research publication or comparable output related to EU ETS involving energy intensive industry.

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

## **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.

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<sup>3</sup> See [http://www.coe.int/t/dg4/linguistic/Cadre1\\_en.asp](http://www.coe.int/t/dg4/linguistic/Cadre1_en.asp)

## 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 40 points will be attributed to criterion 1, a maximum of 30 points will be attributed to criterion 2, and a maximum of 30 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 20, 15 and 15 points under criteria 1, 2 and 3 respectively, 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.

### 1 Quality of the proposed methodology (40 points – minimum threshold 50%)

The degree to which the methodology shows the capacity to analyse, review and evaluate documents and figures, 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 the methods proposed are suited to the needs set out by the Commission in the Technical Description.

### 2 Organisation of the work and allocation of resources (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 (including the expected contribution of the project manager, financial and technical experts, in senior and junior man-hours) 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.

### 3 Quality control measures (30 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 € 530.000 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**

### ***General background and (Internet based) reference documents***

#### ***The Innovation Fund***

The legislative proposal to revise the EU emissions trading scheme after 2020, adopted in July 2015 ([COM\(2015\) 337](#)), includes an Innovation Fund to support innovation in low-carbon

technologies and processes in industrial sectors listed in Annex I of the ETS Directive 2003/87/EC, and to help stimulate the construction and operation of commercial demonstration projects that aim at the environmentally safe capture and geological storage (CCS) of CO<sub>2</sub> as well as demonstration projects of innovative renewable energy technologies.

The proposal for a revision of the ETS Directive foresees that 400 million EU ETS allowances are to be set aside from 2021 onwards to create the Innovation Fund. In addition, 50 million unallocated EU ETS allowances from the period 2013-2020 are foreseen to be reserved for the Innovation Fund before 2021, together with any possible remaining funds from the existing NER 300 mechanism.

The Commission recognises that to bring about the necessary transformation required in the energy system, significant private investment will be needed. Public finances should be used as "seed money" to leverage private investment. This is the thinking behind the NER 300 programme and the future Innovation Fund, as well as the €315 billion European Fund for Strategic Investment launched last year.

The Innovation Fund will build on the existing NER 300 programme (Commission Decision 2010/670/EU, Commission Implementing Decisions C(2012) 9432 and C(2014) 4493, all available at [DG CLIMA website](#)). It has awarded €2.1 billion of funding to 38 projects (1 CCS and 37 RES projects) in 19 Member States through the sale of 300 million EU ETS allowances. This is expected to leverage a further €2.7 billion of private finance. The scope of the new fund should be extended, compared to the NER 300, to cover energy intensive industry. The Innovation Fund will play a crucial role in speeding up the transition by industry in converting to low-carbon technologies.

The Innovation Fund will be one of the largest funding schemes for the demonstration of low-carbon technologies at commercial scale and will contribute to the implementation of the policy framework for climate and energy in the period from 2020 to 2030 ([COM\(2014\) 15](#)).

### ***General and specific objectives***

Different broad modalities for the future set-up of the Innovation Fund were investigated in the context of the evaluation and impact assessment for the review of the EU ETS directive. NER 300 lessons learnt are currently being analysed by the "Service contract on exploring expansion of NER 300 system" (DG CLIMA) and new funding models in the power generation sector by the "Study on innovative financial instruments for first-of-a-kind demonstration projects in the field of energy" (DG RTD).

However, for the new area of financial support to enable demonstration of low carbon innovation in energy intensive industry sectors covered by EU ETS (compared to NER 300), and for implementing NER 300 lessons learnt for energy intensive industry, innovative RES (including transport) and CCS, many different aspects related to implementation of the Innovation Fund such as needs, expected demand, specific procedures and type of innovation need to be analysed.

The contract resulting from this call for tender will in particular analyse the potential for the market intake of the innovation fund, including identifying potential market participants (financing institutions, companies), analysing the investment needs and current financing bottlenecks and opportunities, mapping different financial instruments available and analysing

their pertinence in the context of the innovation fund, analysing the need for innovation investment and lending conditions and where the support from the innovation fund would bring most benefit and analysing innovation investment barriers. Based on the analysis of the demand potential for the market intake and an ex-ante analysis for new financial instruments, the contract should elaborate scenarios and policy options for implementation of the Innovation Fund as well as analyse the impacts of such scenarios and policy options. These specific objectives apply to the four tasks detailed below and the findings should be summarised in the executive summary.

## ***Tasks***

### **Task 1. Introduction**

**Task 1.1** - the contractor will summarise the state-of-play of the Innovation Fund at the launch of the contract and update it regularly until the end of the service contract.

**Task 1.2** - the contractor will summarise the NER 300 design and lessons learnt, mainly based on the conclusions of the above-mentioned contract.

**Task 1.3** – the contractor will summarise design elements and elements for the market intake for the Innovation Fund, in line with the provisions reflected in the Commission's proposal for revision of the ETS Directive. These elements should be drawn from tasks 1.1, 1.2 and the documentation provided by the Commission and will be subject to in-depth analysis in the following tasks.

### **Task 2. Demand for innovation support**

**Task 2.1** - the contractor will analyse the needs of the new area to be covered by the Innovation Fund, namely the special needs of innovation support for energy intensive industry, compared to the needs of support for innovative RES (including transport) and CCS. These needs may be of a financial, technical or other nature. For example, energy intensive industry may be exposed to different risk ratings, type of support or project milestones or may verify their CO<sub>2</sub> emissions in a different manner. It should address at least the following questions for the 6 largest energy intensive industry sectors covered by the EU ETS and compare it to the equivalent needs of the innovative RES (including transport) and CCS sector.

- What are the most promising forms of innovation, including those related to carbon capture and use, that are now at a lower technological readiness level but could be demonstrated during the period 2021-2030 and contribute significantly to European industry speeding up the transition to a low-carbon economy?
- What is the minimum level of support and risk-sharing mechanism needed to efficiently enable a first-of-a-kind investment in low carbon innovation in the industrial sector?
- How can performance be measured and added value maximised in the industrial sector?
- How can the Innovation Fund complement other elements of the existing EU ETS that are of particular relevance to low carbon innovation in this sector?

**Task 2.2** - the contractor will analyse, for all areas to be covered by the Innovation Fund, what type of support the EU could provide in facilitating the development and quick adoption of needed innovation and which modalities for such support would matter. In particular the need for financial instruments such as loans, loan guarantees and equity should be analysed and

compared to the need for cash grants. It should address for industry, RES (including transport) and CCS separately at least the following questions:

- Should there be a specific focus on loans, loan guarantees or equity, or is a combination of these instruments needed?
- Which is the most efficient mode of delivering the financial instrument, taking into account the resource constraints<sup>4</sup> over 2021-2030, potential and timeline for up-scaling, taking into account existing similar instruments?
- How should the governance of the financial instrument be set up between the Commission, financial institution and the Member States?
- Are there different needs between the areas (energy intensive industry, CCS and innovative RES (including transport)) or type of projects for which possible differentiation should be explored in the implementation?
- Would other financial elements of the Innovation Fund matter to overcome financial barriers?
- Should the projects under the Innovation Fund be subject to State aid approval? Under which conditions could the projects benefit from block exemption under State aid rules or even not qualify as State aid?

**Task 2.3** - the contractor will analyse other potential design elements for the Innovation Fund. These are elements, which are not covered yet by NER 300, or elements which would involve a significant change compared to NER 300. It should address at least the following questions:

- Should the technology-specific categories of NER 300 be updated or rather replaced by a more technology-neutral approach? The contractor should develop the chosen approach for the three areas.
- Alternatives for selection of projects should be analysed within the framework for the Innovation Fund as defined in the proposal, for example to consider alternatives for ranking (e.g. based on cost-per-unit-performance or a ranking on innovation)?
- What are the advantages and disadvantages of a different selection approach between the three areas?

A key success factor for innovative projects reaching their final investment decision is an available business case, secured financing and a reliable technology provider. Questions related to this that should be addressed include:

- What are alternatives for assessing the business case in the selection procedure?
- What are alternatives for securing the financing of innovative projects?
- What are alternatives for assessing the reliability of a technology provider?
- What are the alternatives to facilitate (the administrative burden of) submission and assessment of project proposals of similar innovative potential, but proposed by sponsors smaller in scale? (including by SMEs)

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<sup>4</sup> In particular, the 450 million allowances as proposed as part of the proposal revision of the ETS Directive.

**Task 2.4** – the contractor will test the market for the product "Innovation Fund as defined by tasks 2.1 to 2.3". The simulated test market methodology should be applied involving interviewing, monitoring, and introducing the product to a group of especially selected stakeholders. It should address at least the 6 largest energy intensive industry sectors covered by the EU ETS. The purpose of this task is to predict the performance of and potential market of the Innovation Fund once it is launched in the EU Member States.

The contractor will involve the relevant stakeholders in task 2 (Commission, Member States, European Investment Bank and other financial market participants, NGOs, at least 50 energy intensive industry/ innovative RES (including transport)/CCS stakeholders, of which at least 20 will be consulted in depth). Where relevant, he should draw on experience with the implementation of the existing NER 300 based on the studies previously mentioned under general and specific objectives.

### **Task 3. Ex-ante evaluation of a financial instrument**

**Task 3.1** consists of an ex-ante evaluation of how the potential implementation through a financial instrument for the Innovation Fund could be done in accordance with the principles of sound financial management, transparency, proportionality, non-discrimination, equal treatment and subsidiarity. These principles are outlined in the regulation No 966/2012 on the financial rules applicable to the general budget of the Union.

**Task 3.2** - the contractor will assess the potential compliance of a financial instrument for the implementation of the Innovation Fund, in line with tasks 2 and 4, and will include the following: addressing market failures or a sub-optimal investment situation, ensuring additionality and avoiding duplication of existing instruments, non-distortion of competition in the internal market and consistency with State aid rules, leverage effect, alignment of interest in achieving the objectives of the financial instrument such as co-investment, risk-sharing requirements or financial incentives, suitability to mobilise investments in low carbon innovation in combination with other existing or proposed and related instruments at EU level. The task will include a market test of the financial instrument among financial institutions.

The work on both tasks 3.1 and 3.2 will take into account the provisions reflected in the Commission's proposal for revision of the ETS Directive [COM\(2015\) 337](#).

### **Task 4. Support to assess impact of innovation support**

**Task 4.1** - the contractor will explore how the impacts of possible relevant policy options for the Innovation Fund could be assessed, including in relation to the objectives as reflected in the Commission's proposal for revision of the ETS Directive, and relevant outcomes from tasks 1-3 in relation to alternative approaches to projects' selection criteria, support conditionality and management structure. Task 4.1 should take into account where necessary any relevant developments taking place and additional information identified during the course of the ongoing work.

The exploratory analysis should provide for a substantiated approach to cover potential alternatives including at least possible implementation building on the current performance- and grant-based approach as for NER 300, but with extended scope and other relevant provisions in line with the proposal for revision of ETS Directive, as well as an approach based on



implementation through a financial instrument such as an equity fund, loan/loan guarantee facility, or a combination of these two possibilities<sup>5</sup>.

The contractor will analyse to which extent a common approach can be applied to innovative RES (including transport), CCS and energy intensive industry projects or if different policy options, selection criteria and support conditionality are appropriate to ensure effectiveness for the three areas.

**Task 4.2** consists of an assessment of the likely economic, social and environmental impacts of possible policy options, as well as their distribution across stakeholders, following the European Commission's guidelines on impact assessments. Impacts to be assessed should include growth and investment (e.g. access to finance, affected investment flows, impact on investment cycle), increased innovation, ability to enable higher risk investment, competitiveness, administrative burden for the main actors involved in implementation, employment, potential consequences for the geographical distribution of projects, contribution to long term decarbonisation and minimizing environmental risks. Further impacts resulting from task 3.2 should be agreed with the Commission services.

All relevant impacts should be assessed quantitatively, if possible, as well as qualitatively. Similarly, impacts should be monetized whenever possible. When quantifying, spurious precision should be avoided and ranges provided, complemented by qualitative comments. In many cases, quantification will rely on a given set of assumptions. These should be clearly presented. Whenever an assumption is particularly important or uncertain, a sensitivity analysis should be used to check whether changing it would lead to significantly different results. There are several methods to quantify impacts, both in terms of overall methodological approach and specific techniques for individual types of impacts. For each case, the most appropriate method should be used. The choice of method should be clearly justified and explained in the tenderer's offer.

**Task 4.3** – the contractor will compare the policy options with regard to their effectiveness (the extent to which the options would achieve the objectives), efficiency (the benefits versus the costs) and coherence of each option with the overarching objectives of EU policies, as well as their compliance with the proportionality principle, based on the assessment of the various impacts in task 4.2 and their distribution across affected stakeholders. Cost-benefit analysis and cost-effectiveness analysis are the most commonly used methods to do this. The contractor should choose one (or a mix of both) depending on the number and nature of impacts and objectives, the extent to which benefits and costs can be monetized (or quantified) and the relevance of distributional concerns.

### ***Input by the Contracting Authority***

The following documents are the starting point for the work:

---

<sup>5</sup> Possible policy options may change until the start of task 4.1 to reflect and include emerging experiences with the NER 300 and/or proposals for the Innovation Fund. The contractor must demonstrate in his methodology how he will be able to accommodate such changes.

- Proposal for a Directive of the European Parliament and of the Council amending Directive 2003/87/EC to enhance cost-effective emission reductions and low-carbon investments, COM(2015) 337 and the accompanying impact assessment and evaluation study, all available at [DG CLIMA website](#)
- Commission Decision 2010/670/EU laying down criteria and measures for the financing of commercial demonstration projects that aim at the environmentally safe capture and geological storage of CO<sub>2</sub> as well as demonstration projects of innovative renewable energy technologies under the scheme for greenhouse gas emission allowance trading within the Community established by Directive 2003/87/EC of the European Parliament and of the Council and its Award Decisions under the first and second call C(2012) 9432 and C(2014) 4493, all available at [DG CLIMA website](#);
- Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, A policy framework for climate and energy in the period from 2020 to 2030, [COM\(2014\) 15](#)
- Communication from the Commission - Towards an Integrated Strategic Energy Technology (SET) Plan: Accelerating the European Energy System Transformation ([C/2015/6317](#))
- Low Carbon Roadmaps in energy intensive industries, innovative RES and CCS related to the Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, A roadmap for moving to a competitive low carbon economy in 2050, [COM\(2011\)112](#)
- Regulation No [966/2012](#) of the European Parliament and the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union
- Guidelines on impact assessments – European Commission, [2015](#)

The Commission will provide the contractor with access to other documents, including the results of ongoing studies, when necessary to implement the required activities.

### ***Intermediate outputs and deliverables***

An inception report shall be produced within 8 weeks of signature of the contract and include the updated methodology and plan of work after the kick-off meeting with the Commission.

For the interim meeting of month 9, the Contractor shall prepare an interim report, which will describe progress on each task, any difficulties encountered and a plan to deal with them.

### ***Final output and deliverable***

The final report, to be submitted 18 months after contract signature, shall contain the final deliverables under each task and an executive summary of not more than 10 pages.

### ***Details on deliverables***

Three paper copies of the inception, interim and final reports shall be submitted. Additionally, the reports shall be submitted in electronic format (both word and pdf). The Commission is currently using Microsoft Word 2010 and Adobe reader XI.

The Contractor shall be responsible for minutes of meetings with the Commission and stakeholders, inception, interim, draft and final tasks reports under this contract. The Contractor shall ensure that these are clear, concise, and operational.

All reports shall follow the content and structure of the analysis of these technical specifications, show the consistency with the methodology and contain tables and graphics as appropriate. Each task will have its separate report. As many of the tasks are interlinked, the reports shall be finalised only after all tasks are completed. Each draft report shall focus and clearly report on what is new, the status of any findings and conclusions (e.g. whether they are tentative or more final), any problems encountered and how they will be surmounted, and the next steps and timetable.

The reports and documents shall be written in English in a clear and concise form. In particular for Task 4, but also wherever relevant, the Contractor shall provide to the Commission the excel sheets including formulas used to calculate the various outcomes of the tasks.

Reports, which are preparing the kick-off, interim and final meetings shall be sent to the Commission at least 2 weeks in advance of the respective meeting.

The Commission shall endeavour to provide comments to the contractor within 2 weeks of reception of a report.

Finally, any deliverable shall include a disclaimer specifying that the views included in it are not those of the Commission but only those of the contractor.

All deliverables developed by the contractor for the Commission shall be considered as confidential. Consequently, the contractor shall not disseminate to any third party under any circumstances.

The list of main deliverables with the corresponding timetable is set out in the table below:

<b>Tasks</b>	<b>Deliverables/meetings</b>	<b>Timing (from contract's signature)</b>
	Kick off meeting	Month 1
	Inception report, including the list of stakeholders (max 30 pages)	Month 2
Task 1	Draft Task 1 report (max 30 pages)	Month 3
Task 2	Draft Task 2 report (max 50 pages)	Month 9
Task 3	Draft Task 3.1 report	Month 9
	Interim report	Month 9
	Interim meeting	Month 9
Task 3	Draft Task 3 report (max 50 pages)	Month 12
Task 4	Draft Task 4 report (max 50 pages)	Month 17
	Final meeting	Month 18
	Final report	Month 18

### ***Guidance on methodology***

The Contractor shall develop a methodological approach for achievement of the tasks and present it in its offer. The appropriate methodology will be a key aspect in achieving the objectives of the contract. The proposed methodology will be assessed under award criterion 1 (see section 2.5).

The work to be carried out is split into 4 tasks. As an indicative estimation, it is envisaged that the share of resources to be allocated for each task, would be respectively: Task 1: 10%; Task 2: 35%; Task 3: 25%; Task 4: 30%. Senior team members should participate in each task. The expected allocation of resources per task and team member should be part of the offer.

The data collection may include the use of tools, such as:

- desk research;
- analysis of the relevant legislative and non-legislative documents described above;
- surveys among stakeholders,
- targeted telephone interviews or meetings with stakeholders;
- any other tools deemed appropriate for the purpose of the analysis.

The contractor shall involve stakeholders willing to contribute to the report, in particular for task 2. Stakeholders invited to participate shall be identified and listed in the inception report. It shall be noted, which stakeholders have rejected their involvement, and what consequences this might have for the reliability of the result of the assessment.

The service contract will be followed by a Commission's Steering Group, which will attend the kick-off, interim and final meeting and will review the draft reports.

### ***Performance and quality requirements***

Deliverables shall be delivered in time, be fully in line with the above-mentioned details on deliverables and take into account the review by the Commission's Steering Group, in order not to activate the clause on price reduction.

### ***Delivery time and maximum number of progress meetings planned with the Contracting Authority***

The following meetings and teleconferences shall be organised by the contractor to keep the Commission updated on the tasks performed:

- A kick-off meeting to be held in month 1 of the contract at the Commission's premises in Brussels;
- An interim meeting in month 9 to provide the Commission with an overview of the progress on all tasks;
- A bi-weekly teleconference to keep track of progress made and answer questions arising from the work;

- A final meeting to be held in month 18 at the Commission's premises in Brussels. During this meeting, the final report shall be presented.

The contractor will be invited to 3 expert meetings on low-carbon innovation organised by the Commission in Brussels during the 18 months of the contract.

***Intellectual property rights***

Intellectual property rights are covered by the service contract clauses I.10 and II.13.

***Duration of the tasks***

The tasks should be completed within 18 months of the signature of the contract. The execution of the tasks may not start before the contract has been signed.

***Place of performance***

The place of performance of the tasks shall be the contractor's premises or any other place indicated in the tender, with the exception of the Commission's 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)**

<b>Type of service provider</b>	<b>Position within the project team</b>	<b>Number of working days</b>	<b>Allocation of tasks</b>	<b>Proportion of the contract in %</b>	<b>Costs in €</b>
<b>Lead contractor</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i><b>Sub-total</b></i>	.....		.....	.....
<b>Sub-contractor 1</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i><b>Sub-total</b></i>	.....		.....	.....
<b>Sub-contractor 2</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i><b>Sub-total</b></i>	.....		.....	.....
<b>Sub-contractor 3</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i><b>Sub-total</b></i>	.....		.....	.....
<b>Travel/other costs<sup>1</sup> (if applicable)</b>					
	<b>Total</b>	.....		.....	.....

**Signature of Tenderer**

.....

**Date**

.....

\_\_\_\_\_

<sup>1</sup> 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](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](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:   ('the person')	Full official name:  Official legal form:  Statutory registration number:  Full official address:  VAT registration number:  ('the person')

### **I – SITUATION OF EXCLUSION CONCERNING THE PERSON**

➤ declares that the above-mentioned person is in one of the following situations:	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 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 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	<input type="checkbox"/>	<input type="checkbox"/>

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; 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.		
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## II – SITUATIONS OF EXCLUSION CONCERNING NATURAL PERSONS WITH POWER OF REPRESENTATION, DECISION-MAKING OR CONTROL OVER THE LEGAL PERSON

### *Not applicable to natural persons, Member States and local authorities*

➤ declares that 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 company directors, members of management or supervisory bodies, and cases where one natural person holds a majority of shares) is in one of the following situations:	YES	NO	N/A
Situation (c) above (grave professional misconduct)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (d) above (fraud, corruption or other criminal offence)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (e) above (significant deficiencies in performance of a contract )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (f) above (irregularity)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## III – SITUATIONS OF EXCLUSION CONCERNING NATURAL OR LEGAL PERSONS ASSUMING UNLIMITED LIABILITY FOR THE DEBTS OF THE LEGAL PERSON

➤ declares that 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:	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"/>
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#### IV – GROUNDS FOR REJECTION FROM THIS PROCEDURE

➤ declares that the above-mentioned person:	YES	NO
h) has distorted competition by being previously involved in the preparation of procurement documents for this procurement procedure.	<input type="checkbox"/>	<input type="checkbox"/>

#### V – REMEDIAL MEASURES

If the person declares one of the situations of exclusion listed above, it must indicate measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. This 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 illustrates the remedial measures taken must be provided in annex to this declaration. This does not apply for situations referred in point (d) of this declaration.

#### VI – EVIDENCE UPON REQUEST

Upon request and within the time limit set by the contracting authority the person must provide information on the persons that are members of the administrative, management or supervisory body. It must also provide the following evidence concerning the person itself and concerning 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.

The person is not required to submit the evidence if it has already been submitted for another procurement procedure. The documents must have been issued no more than one year before the date of their request by the contracting authority and must still be valid at that date.

The signatory declares that the person has already provided the documentary evidence for a previous procedure and confirms that there has been no change in its situation:

Document	Full reference to previous procedure
<i>Insert as many lines as necessary.</i>	

## VII – SELECTION CRITERIA

➤ declares that the above-mentioned person complies with the selection criteria applicable to it individually as provided in the tender specifications:	YES	NO	N/A
(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"/>	<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"/>	<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"/>	<input type="checkbox"/>

➤ if the above-mentioned person is the <b>sole tenderer</b> or the <b>leader in case of joint tender</b> , declares that:	YES	NO	N/A
(d) the tenderer, including all members of the group in case of joint tender and including subcontractors if applicable, complies with all the selection criteria for which a consolidated assessment will be made as provided in the tender specifications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## VII – EVIDENCE FOR SELECTION

The signatory declares that the above-mentioned person is 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.

The person is not required to submit the evidence if it has already been submitted for another procurement procedure. The documents must have been issued no more than one year before the date of their request by the contracting authority and must still be valid at that date.

The signatory declares that the person has already provided the documentary evidence for a previous procedure and confirms that there has been no change in its situation:

Document	Full reference to previous procedure
<i>Insert as many lines as necessary.</i>	

***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.***

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:** CLIMA/C3/SER/2016/0007

**Your reference:**

We wish to confirm the receipt and opening of your offer<sup>1</sup>. 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

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<sup>1</sup> 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.