



EUROPEAN COMMISSION
DIRECTORATE-GENERAL CLIMATE ACTION
Directorate C – Mainstreaming, Adaptation and low Carbon Technology
Unit C.2 – Transport and Ozone

CALL FOR TENDERS

N° CLIMA.C.2/FRA/2013/0007

FRAMEWORK CONTRACT

"Framework contract for services in the field of energy efficiency and CO2 emissions from heavy-duty vehicles' (HDVs): methodology for simulating HDV emissions, certification, analysis and policy development"

WITH REOPENING OF COMPETITION

TENDER SPECIFICATIONS

TABLE OF CONTENTS

1.	INFORMATION ON TENDERING	3
1.1.	Participation and nature of the contract	3
1.2.	Contractual conditions	4
1.3.	Joint tenders	4
1.4.	Subcontracting	4
1.5.	Content of the tender.....	4
1.6.	Identification of the tenderer: legal capacity and status	5
2.	EVALUATION AND AWARD	5
2.1.	Evaluation steps	5
2.2.	Exclusion criteria	6
2.3.	Selection criteria	6
2.4.	Award criteria	9
2.5.	Ranking and Award	10
2.6.	Technical offer	10
2.7.	Financial offer	11
3.	TECHNICAL SPECIFICATIONS	12
3.1.	Description of services.....	12
3.2.	Illustrative tasks	18
4.	CONTENT, STRUCTURE AND GRAPHIC REQUIREMENTS OF THE FINAL DELIVERABLES	21
	ANNEX 1 - ADMINISTRATIVE INFORMATION FORM.....	23
	ANNEX 2 - QUESTIONNAIRE FOR JOINT BIDS AND SUBCONTRACTING	24
	ANNEX 3A - FINANCIAL OFFER TEMPLATE	26
	ANNEX 3B - FINANCIAL OFFER TEMPLATE.....	27
	ANNEX 4 - LEGAL ENTITY AND FINANCIAL IDENTIFICATION FORMS ...	28
	ANNEX 5 - DECLARATION OF HONOUR.....	29
	ANNEX 6 – FINANCIAL CAPACITY	31
	ANNEX 7 - METHOD OF ORDERING SERVICES.....	37
	ANNEX 8 - MODEL CONTRACT FOR THE FRAMEWORK CONTRACT.....	41
	ANNEX 9 - ACKNOWLEDGEMENT OF RECEIPT.....	42

1. INFORMATION ON TENDERING

1.1. Participation and nature of the contract

Participation in this tender procedure is open on equal terms to all natural and legal persons coming within the scope of the Treaties and to all natural and legal persons in a third country which has a special agreement with the Union in the field of public procurement on the conditions laid down in that agreement. Where the Multilateral Agreement on Government Procurement¹ concluded within the WTO applies, the participation to the call for tender is also open to nationals of the countries that have ratified this Agreement, on the conditions it lays down.

The Commission intends to award a *multiple framework contract with reopening of competition* between at least 3 economic operators, provided enough tenderers satisfy the published criteria.

Tenderers' attention is drawn to the fact that the Framework contract does not constitute placement of an order but is merely designed to set the legal, financial, technical and administrative terms governing relations between the contracting parties during the contract term. Orders can only be placed using the model contained in Annex 7 to these Terms of Reference. Following the placement of an order, a specific agreement shall be drawn up for that work. A model specific agreement corresponding to the model contract is provided in Annex 8.

Signature of the Framework contract does not give the contractor(s) any exclusive rights to the services covered by the Framework contract. In any case, the Commission reserves the right, at any time during the Framework contract, to cease placing orders without the contractor(s) having the right to any compensation.

DG Climate Action will be the overall manager for the Framework contract defined in these Terms of Reference. It will be the only administrative contact point as regards the Framework contract.

The aggregated maximum annual amount for which specific contracts can be awarded will not exceed 2,500,000 € (i.e. 10,000,000 € for the total maximum duration of the framework contract). The indicative price of the specific contracts is envisaged to range between 50,000 – 750,000 €, however, it is not excluded that specific contracts be issued outside of this range.

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

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, intellectual property and checks and audits.

1.3. Joint tenders

A joint tender is a situation where a tender is submitted by a group of economic operators (consortium). Joint tenders may include subcontractors in addition to the joint tenderers.

In case of joint tender, all economic operators in a joint tender assume joint and several liabilities towards the Contracting Authority for the performance of the contract as a whole. Nevertheless, tenderers must designate a single point of contact for the Contracting Authority.

After the award, the Contracting Authority will sign the contract either with all members of the group, or with the member duly authorised by the other members via a power of attorney.

1.4. Subcontracting

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

Tenderers must give an indication of the proportion of the contract that they intend to subcontract. See Annex 2, questionnaire for joint bids and subcontracting.

Tenderers are required to identify all subcontractors. Any tenderer intending to subcontract more than 5% of the total annual budget to a subcontractor must, if and when requested, provide all the supporting documents in relation to exclusion and selection criteria (see sections 2.2 and 2.3).

During contract execution, the change of any subcontractor identified in the tender will be subject to prior written approval of the Contracting Authority. Change of experts must be kept to a minimum – it must be duly motivated and should not be subject to change in the first 6 months of the contract implementation. Subsequently requests could be accepted twice a year.

1.5. Content of the tender

The tenders must be presented as follows:

Part A: Identification of the tenderer (see below)

Part B: Evidence for exclusion criteria (see section 2.2)

Part C: Evidence for selection criteria (see section 2.3)

Part D: Technical offer (see section 2.6)

Part E: Financial offer for the illustrative tasks and daily rates for all services including all categories of personnel (see section 2.7)

1.6. Identification of the tenderer: legal capacity and status

The tender must include a cover letter presenting the name of the tenderer (including all entities in case of joint offer) and identified subcontractors if applicable, and the name of the single contact person in relation to this tender.

If applicable, the cover letter must indicate the specific tasks to be subcontracted. Identified subcontractors must provide a letter of intent stating their willingness to provide the services that may be requested under the framework contract.

In case of joint tender, the cover letter must be signed by a duly authorised representative for each economic operator, or by one of the economic operators duly authorised by the other economic operators (with power of attorney).

In order to prove their legal capacity and their status, all tenderers must provide a signed Legal Entity Form with its supporting evidence. The form is available on:

http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm

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 single point of contact in case of joint tender) must provide a Financial Identification Form and supporting documents. Only one form per offer should be submitted (no form is needed for subcontractors and other joint tenderers). The form is available on: http://ec.europa.eu/budget/contracts_grants/info_contracts/index_en.cfm

Tenderers must provide the following information if it has not been included with the Legal Entity Form:

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

2. EVALUATION AND AWARD

2.1. Evaluation steps

The evaluation is based on the information provided in the submitted tender. It takes place in three steps:

- (1) Verification of non-exclusion of tenderers on the basis of the exclusion criteria
- (2) Selection of tenderers on the basis of selection criteria

(3) Evaluation of tenders on the basis of the award criteria (technical and financial evaluation)

Only tenders meeting the requirements of one step will pass on to the next step.

2.2. Exclusion criteria

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

The declaration on honour is also required for subcontractors whose intended share is more than 5% of the total annual budget. They must, if and when requested, provide all the supporting documents in relation to exclusion and selection criteria (see sections 2.2 and 2.3).

The successful tenderer shall provide the documents mentioned as supporting evidence in Annex 5 before signature of the contract and within a deadline given by the contracting authority. This requirement applies to all members of the consortium in case of joint tender and to identified subcontractors whose intended share of the contract is more than 5% of the total annual budget.

2.3. Selection criteria

Tenderers must prove their economic, financial, technical and professional capacity to carry out the work subject to this call for tender.

The evidence requested should be provided by each member of the group in case of joint tender and identified subcontractors whose intended share of the contract is more than 5% of the total annual budget. However a consolidated assessment will be made to verify compliance with the minimum capacity levels.

The tenderer may rely on the capacities of other entities, regardless of the legal nature of the links which it has with them. It must in that case prove to the Contracting Authority that it will have at its disposal the resources necessary for performance of the contract, for example by producing an undertaking on the part of those entities to place those resources at its disposal.

2.3.1. Economic and financial capacity criteria and evidence

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

Financial and economic capacity should be shown by means of the following:

- A simplified balance sheet and profit and loss account, exclusively based on the Annex 6 form attached to these specifications;

In the event that the tenderer – for valid reasons which must be communicated to the Commission - is unable to complete the form as proposed above one of the following alternatives would be acceptable

- a.** financial statements for the last two financial years;
- OR**
- b.** other substantiating documents if the candidate or tenderer cannot, for valid reasons, provide those indicated above

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

2.3.2. Technical and professional capacity criteria and evidence

a. Criteria relating to tenderers

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

- The tenderer must prove experience in the field of scientific research in measurement and simulation and of road vehicles' energy consumption and emissions, vehicle certification and registration, as well as economic and policy analysis related to vehicles' energy consumption and emissions with at least 3 projects delivered in these fields in the last five years with a minimum value for each project of €80.000.
- The tenderer must prove experience of working in English with at least 5 projects delivered in English the last three years showing the necessary language coverage and prove capacity to draft reports in English.
- The tenderer must prove experience of working in a number (at least 3) of EU countries with at least 3 projects delivered in the last three years, the combination of which must show the necessary coverage (i.e. at least 3 countries).
- The tenderer must prove experience in survey techniques, data collection, statistical analyses and drafting reports and recommendations.

The tenderer should notably have:

- (1) demonstrable expertise in the technical, economic and environmental aspects related to vehicle emission reduction technologies and their analysis;

- (2) expertise in automotive industry economics, including cost internalisation and marketing behaviours;
- (3) good knowledge of EU HDV (Heavy Duty Vehicles) and automotive market specificities, including end-user demand;
- (4) knowledge of the EU type approval / registration system, including the European vehicle test procedures;
- (5) open-source software development skills.

The following evidence should be provided to fulfil the above criteria: list of relevant services provided, with sums, dates and recipients, public or private.

b. Criteria relating to the team delivering the service:

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

Framework Contract Manager: The Contractor should propose a Contract manager to have overall responsibility for the running of the Contract. The manager must have documented knowledge and experience relevant to managing projects of at least €100.000 and relevant geographical coverage with experience in management of teams of at least 5 people. The CV of the person appointed by the tenderer as the contract manager should give evidence of at least 3 years prior experience relevant to coordinating services in the area covered by this call for tender.

Project staff foreseen to work under the Framework Contract should demonstrate at least two years' professional experience either (i) in the field of scientific research in measurement and simulation of road vehicles energy consumption and emissions; or (ii) in the field of testing and type approval of vehicles; or (iii) in the field of economic and policy analysis related to vehicles' energy consumption and emissions

The contractor shall ensure that staff initially proposed are not changed except in circumstances beyond its control. If the project manager has to be changed, the new candidate's CV should be submitted to the European Commission in writing for approval prior to their appointment. All other changes of staff must be formalised prior to signature of specific contracts.

Language quality check: at least 1 member of the team should have native-level language skills in English or equivalent, as guaranteed by a certificate or past relevant experience.

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

- The educational and professional qualifications of the persons who will provide the service for this tender (CVs) including the management staff. Each CV provided should indicate the intended function in the delivery of the service(s). Furthermore a consolidated overview of CVs of the proposed staff should be part of the offer.

2.4. Award criteria

The tender will be awarded according to the best-value-for-money procedure. The quality of the tender will be evaluated based on the following criteria. The maximum total quality score is 100 points divided with maximum 50 points for the overall management of the framework contract and maximum 50 points for the illustrative tasks.

Tenders scoring less than 60 in the overall points total will be excluded from the rest of the assessment procedure. Since assessment of the tenders will focus on the quality of the proposed services, tenders 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.

2.4.1. Overall management of the framework contract (max. 50 points)

A maximum of 30 points will be attributed to criterion 1, and a maximum of 20 points will be attributed to criterion 2. 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 18 and 12 points under criteria 1 and 2 respectively, with a minimum total of 30 points.

- Criterion 1 Organisation of the work (maximum 30 points – minimum threshold 18)

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) will be distributed. It also assesses the global allocation of time and resources to the global management of the framework contract.

- Criterion 2 Quality control measures (maximum 20 points – minimum threshold 12)

This criterion will assess the quality control system applied to the management of the framework contract 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. It should be noted that a generic quality system will result in a low score.

2.4.2. Illustrative tasks (max. 50 points)

A maximum of 25 points will be attributed to criterion 1, a maximum of 15 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 15, 10 and 5 points under criteria 1, 2 and 3 respectively, with a minimum total of 30 points.

- Criterion 1 Quality of the proposed methodology (maximum 25 points – minimum threshold 15)

This criterion assesses the suitability and strength of the proposal as measured against the requirements of the illustrative tasks in terms of the technical content, completeness, originality of ideas (*where appropriate*) and proposed effort. The degree to which the methodology shows the capacity to resolve the questions underlying in the service request

in a realistic and well-structured way, as well as whether the methods proposed are suited to the needs set out by the Commission.

- Criterion 2 Organisation of the work (maximum 15 points – minimum threshold 10)

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.

- Criterion 3 Quality control measures (maximum 10 points – minimum threshold 5)

This criterion will assess the quality control system applied to the service foreseen in these illustrative tasks 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 system should be detailed in the tender and specific to the tasks at hand; a generic quality system will result in a low score.

2.5. 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 60 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.

For the purpose of the award, the amount quoted as the maximum price per man-day will be considered as the financial bid. The 3 highest ranked bids 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 60 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.

2.6. Technical offer

The technical offer must cover all aspects including the illustrative tasks required in the technical specifications and provide all the information needed to apply the award criteria. Offers deviating from the requirements or not covering all requirements may be excluded on the basis of non-conformity with the tender specifications and will not be evaluated.

Tenderers' attention is drawn to the fact that the sole objective of each illustrative task is to provide a fair, non-discriminatory basis for comparing the offers. They can in no case be

considered to represent a commitment on the part of the Commission to make orders for the services and quantities indicated. They can therefore give rise to no expectation or legitimate right on the part of the contractor.

2.7. Financial offer

Tenders shall specify one single maximum price per man-day whatever the type of service and qualification requested. The man-day prices must be flat rate and **include all costs** (administrative costs, overheads, project management, quality control, support resources, insurance, travelling and accommodation etc.). ***The amount quoted as the maximum price per man-day will be considered as the financial offer for the purpose of the evaluation of the price element in the award of the framework contract.*** The maximum price per man-day shall be valid for any services offered under a specific contract but contractors may apply lower prices per man-day when bidding for a specific contract. For guidance purposes see Annex 3A.

Furthermore, a financial offer for each illustrative task duly dated and signed by the person authorised to sign on behalf of the organisation. For guidance purposes see Annex 3B.

The price range within which offers will be accepted for the illustrative tasks (details under section 3.2) is as follows:

Illustrative task 1: the budget is fixed at €300 000 – 650 000 (three hundred thousand Euro – six hundred fifty thousand Euro).

Illustrative task 2: The budget is fixed at €175 000 - 225 000 (one hundred seventy five thousand Euro – two hundred twenty five thousand Euro).

Illustrative task 3: The budget is fixed at €100 000 – 125 000 (one hundred thousand Euro – one hundred twenty five thousand Euro).

The prices are excluding VAT (including fees, travel and all other costs such as the purchase of software and data). Any offers received that do not respect the upper limit will be automatically excluded from the evaluation procedure. The lower limit is indicative. **Travel and subsistence expenses are not refundable separately; if applicable they should be included in the lump sum.**

The prices 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

3.1. Description of services

- General background and (Internet based) reference documents

DG Climate Action ("DG CLIMA") leads international negotiations on climate, helps the EU to deal with the consequences of climate change and to meet its targets for 2020, as well as developing and implementing the EU Emissions Trading System.

Road transport contributes about one-fifth of the EU's total emissions of carbon dioxide (CO₂), the main greenhouse gas. CO₂ emissions from road transport increased by nearly 23% between 1990 and 2010, and without the economic downturn growth could have been greater. Transport is the only major sector in the EU where greenhouse gas emissions are still rising. Following a Commission strategy adopted in 2007, the EU has put in place a comprehensive legal framework to reduce CO₂ emissions from new light duty vehicles as part of efforts to ensure it meets its greenhouse gas emission reduction targets under the Kyoto Protocol and beyond.

Heavy Duty Vehicles (HDVs) represent about a quarter of EU road transport CO₂ emissions and some 6% of the total EU emissions. In spite of some improvements in fuel consumption efficiency in recent years, HDV emissions are still rising, mainly due to increasing road freight traffic. A comprehensive strategy to address HDV emissions (from both freight and passenger transport) is therefore essential and under preparation.

While car and van CO₂ emissions (M1-N1 vehicles) are being measured according to an internationally agreed method, HDV emissions are not measured in a standard and consistent way. Consequently no reliable baseline as to the actual amount of these emissions exists. To fill this gap the Commission has already launched a project to establish a measurement simulation tool for HDV CO₂ emissions ("VECTO"). Several contracts have been tendered to this end by DG Climate and the Commission's Joint Research Centre.

Report on the work so far developing a measurement methodology and a simulation tool:
http://ec.europa.eu/clima/policies/transport/vehicles/heavy/docs/hdv_2011_01_09_en.pdf

Studies (links below) have identified technical and fuel CO₂ saving improvements for HDVs employing state-of-the art technologies. According to the TIAX study, from 30% to 50% fuel savings and CO₂ emission reductions would be possible on new vehicles as of 2014, translating in HDV fleet emissions reduction of some 28% by 2030. Mainly based on TIAX estimates, another study by CE Delft (September 2012) produced marginal abatement cost curves and identified a high potential of cost effective technologies possibly translating in 35% reductions new HDV fuel consumption and CO₂ emissions on average.

Studies on HDV CO₂ emission abatement potential:
http://ec.europa.eu/clima/policies/transport/vehicles/heavy/docs/hdv_ghg_faber_maunsell_en.pdf
http://ec.europa.eu/clima/policies/transport/vehicles/docs/ec_hdv_ghg_strategy_en.pdf
http://ec.europa.eu/clima/policies/transport/vehicles/heavy/docs/icct_ghg_reduction_potential_en.pdf

Numerous needs for support are expected in particular to:

- Assist with further policy development
- Assist with further development of measurement, simulation and certification systems and processes
- Enhance the Commission's understanding of related and relevant issues.

The deliverables will vary in nature from request to request (i.e. from a few pages on specific questions to in-depth analysis and scientific as well as programming work on a particular issue or series of issues).

The main deliverables will be agreed as part of the specific agreements undertaken in the context of the framework contract. As examples, the deliverables could be:

- in the form of a final report that may have to be followed, after account has been taken of Commission comments, by a revised version; or
- in the form of a workshop or several workshops accompanied by both a scoping paper and a report of the workshop conclusions
- in the form of a dataset (database) in the MS Excel or MS Access format (it is not foreseen to request web based system, nor other kind of information system)
- in the form of an open-source software programme (royalty free) running under MS Windows.

Reports should be provided electronically in MS Word (version 2010) and PDF format and should be written in clear English. A maximum of five paper copies should be provided of each final report within the deadline stated in the specific agreement.

- General and specific objectives

The expertise sought under this multiple framework contract will be used in the preparation, compilation, cost-benefit and impact assessment analysis of policies to curb CO₂ emissions from heavy duty vehicles.

This may in particular include the further development of the HDV emissions' measurement methodology and simulation tool, as well as of certification procedures on HDV fuel consumption and CO₂ emissions; the evaluation of climate change impacts of road transport legislation; the potential for curbing HDV energy consumption and CO₂ emissions; and the development of policy measures that curb these emissions. Tenderers should cover the full range of foreseen possible services. The specific objectives related to each service contract will be specified in the relevant terms of reference documents.

3.1.1 Further development of the VECTO simulation tool and related needs

Current state-of-play

The Commission has since 2009 been engaged with main industry stakeholders in the development of a simulation tool for whole vehicle CO₂ emissions and fuel consumption that should be applicable to all main categories of HDVs.

In the project “Reduction and testing of Greenhouse Gas Emissions from Heavy duty vehicles” (call for tender ENV.C.3/SER/2009/0038) a simulation based test procedure where the relevant components of the HDV were tested and, based on these data, a simulation tool calculating the fuel consumption and the CO₂ emissions in vehicle class specific test cycles was chosen as the method that delivers robust results for CO₂ figures from HDVs and which appears manageable for manufacturers and public administrations that have to deal with a test procedure.

The relevant data needs for the simulation of HDV CO₂ data that have been identified include the engine fuel efficiency map, vehicle weight, rolling resistance coefficients, aerodynamic drag specifications, moments of inertia from the vehicle including standardised bodies or trailers, the specifications of the gear boxes and efficiency of the auxiliaries.

Such a simulation based approach should allow cost efficient testing of multiple HDV variations by compiling the measured component data in the simulator. This approach also makes it possible to easily assess the CO₂ emissions impact of improved trailer and body structure design. The proposed test procedure has been applied experimentally on three HDV categories and appears to give reliable results.

The simulation based methodology so far consists of:

- On-road measurement of driving resistances (eg. bearings, wheels, tyres)
- Determination of drivetrain losses (eg. gearbox)
- Determination of power demand of engine auxiliaries (eg. cooling fan) and other consumers (eg steering pump)
- Measurement of the engine fuel consumption map as extension to the engine's type approval tests (like described in the regulation (EC) 595/2009² for EURO VI
- Simulation of the fuel consumption and the resulting CO₂-emissions from the vehicle using the aforementioned input data for predefined representative driving cycles.

Main possible tasks regarding the VECTO simulation tool

Further development of the HDV CO₂ simulation tool in terms of:

- Expanding the test procedures to new components (like sailing strategies, air condition systems, compressor)
- Improvement of the measurement methodology in terms of higher accuracy and precision (minimise the gap between simulation results and real world measurement, make the test results better repeatable)
- Manage and support validation of the simulation tool (set up together with stakeholders and JRC testing and do tests on your own)
- Further develop the proposed computer simulation method to cover all relevant categories of HDV vehicles (eg. city busses, construction vehicles)
- Assistance with the development of HDV CO₂ certification procedure based on use of the measurement and simulation test methodology³
- Develop quality management procedures to be used in and after the certification procedure to validate the generated CO₂ values (eg. test procedures like PEMS (Portable Emission Measurement System) or fuel flow meter).

² <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:188:0001:0013:EN:PDF>

³ See report from “LOT 2: Development and Testing of a certification procedure for CO₂ emissions and fuel consumption of HDV” from the Tender ENV.C.3/SER/2009/0038

3.1.2 Background to policy preparation aspects and related needs

Climate forcing emissions from HDVs, their manufacture and the energy life cycle

The primary climate forcing emissions related to HDVs is at present CO₂ emitted from vehicle exhausts as a result of fuel combustion. This is likely to remain the major focus, however other aspects may be of increasing importance or require assessment to consider whether they should be addressed in legislation. Other climate forcing emissions from vehicle exhausts may need to be considered and will include methane, N₂O and black carbon. Other climate forcing gases might be emitted from vehicles in use.

Some energy system powertrain combinations have the effect of shifting the main climate forcing emissions from the vehicle use to upstream installations. The emission of climate forcing emissions elsewhere in the energy lifecycle therefore is a key factor that may need to be assessed and analysed.

Changes in vehicle construction and materials used allied with improving energy efficiency in vehicle use have the effect of decreasing the importance of climate forcing emissions from the use phase of vehicles and increasing the importance of emissions from the construction and disposal phases. The implications of this and assessment of how it might need to be addressed are factors that also may require analysis.

Specific aspects of current EU road vehicle legislation having a bearing on CO₂ emissions and its implementing measures

The main legislation concerns type approval Euro VI (Regulations 589/2009, 582/2011 & 64/2012), driver training and licensing (Directive 2003/59/EC), public tendering of HDVs (Directive 2009/33), weights and dimensions (Directive 96/53), road user charging ("eurovignette" Directive 99/62, revised 2011/67), cabotage (Regulation EC/1072/2009), tyres (Regulation 661/2009), speed (Directive 92/6, amended by Directive 2002/85), ITS (Directive 2010/40), bio-fuels (directives 98/70 and 2009/30). These are supported by various pieces of secondary legislation. This legislation is also accompanied by other legislation addressing specific vehicle aspects such as air conditioning, tyres, gear shift indicators and biofuel.

It may be necessary to assess any aspect of the above legislation, either in view of assessing how it is functioning, whether it can be improved or whether other changes may be desirable or appropriate with the view to reducing HDV CO₂ emissions.

Technologies, costs, benefits, cost effectiveness, supply constraints, price premia, other economic impacts and other implications of measures to reduce climate forcing emissions from vehicles

The forthcoming strategy and EU legislation expected to address HDV fuel consumption and CO₂ performance will be based upon an understanding of the technology that is currently, or is likely to be, available. These options have then been assessed in view of their costs and benefits and considered in terms of their relative cost effectiveness and potential to be supplied and used in vehicles.

The need can arise for this knowledge to be updated or extended or for more detailed analysis of specific aspects including technology costs to be developed. It might be desirable for elements of this assessment to be supported by use of vehicle simulation tools.

Past vehicle market changes as regards evolution in vehicle segments, equipment provided, cost, technical aspects, manufacturers' offer, impact on climate forcing emissions

HDVs placed on the market evolve over time. Understanding of these changes is necessary in developing policy and updating and amending the legislation as appropriate. This may include the need to purchase databases or other sources of information that provide this information. The contractor should also have the ability to monitor and assess such past developments and to provide insights and information on current trends in the market.

It is also desirable for the contractor to be able to identify what these changes are in response to, for example developments in technology or trends in the market or other factors. Expertise needs to be available to translate the understanding of market developments into implications for climate forcing emissions, technological potential and cost effectiveness.

Insight on market, technology and regulatory developments taking place in other regions of the world

Japan was the first to adopt an HDV fuel consumption rule in 2007. In 2011 the US adopted a CO₂ emissions rule, followed by Canada in 2012. China has taken preliminary steps in view of an emissions rule, and discussions are taking place in India on this issue.

Experience gained in other countries may be useful in assessing policy options and regulatory choices. Expertise with wide international coverage will be needed in this context.

Future changes in technical aspects, market trends, developments in the HDV transport sector and HDV manufacturing

The types or specification of vehicles offered by manufacturers or demanded by the HDV fleet operators may change in the future. This may be in response to developments in technology or trends in the market or interaction with other markets or areas. These changes and trends could lead to changes in the cost or effectiveness of policy measures to reduce climate forcing emissions from HDVs. It is therefore necessary to have the ability to provide insights and information on developing trends in the market. Expertise needs to be available to translate the understanding on market developments into implications for climate forcing emissions, technological potential and cost effectiveness.

The main drivers of the HDV freight and passenger transport activity influence the volume of HDV energy consumption and CO₂ emissions. Expertise in the area of transport demand, the main features of transport freight and passenger supply, modal shift, as well as the structure, behaviour and performance of HDV transport services will be needed and play a key role in assessing the potential for CO₂ emission cuts and appropriate policy tools.

Emissions of conventional air pollutants and noise from vehicles and their interaction with climate forcing emissions

Continuing efforts are likely to be needed to further reduce vehicle pollutant emissions to enable air quality standards to be met and undesired negative impacts on human health and the environment, especially in urban areas to be addressed. Reductions in vehicle noise may also be desirable to reduce disturbance and improve public health.

In some cases it may be that certain pollutant emissions can have climate forcing impacts and therefore reductions in these would deliver benefits in both areas. In addition, some technologies used to reduce one of these problems may have benefits for the other. There may also be areas where action to address one problem exacerbates the other.

In view of all these factors it may be desirable to have an understanding of the interactions between any relevant standards or actions relating to air pollutant or noise emissions and the technologies and measures deployed to achieve them and climate forcing emissions from HDVs. In addition to better understanding the interactions it may also be necessary to design policy interventions that ensure overall the most beneficial approaches to addressing these problems simultaneously.

Technical and legal advice on vehicle registration procedures

Upon the finalisation of the HDV CO₂ emissions simulation VECTO tool a registration procedure will be prepared to register and record HDV CO₂ emissions. In designing this procedure experience gained by national registration authorities with existing type approval legislation (e.g. on Euro VI) may provide useful insight. Technical and legal advice on ways to design registration procedures on HDV CO₂ emissions and notably on how to translate technical recordings into the necessary regulation would be part of this task.

Other aspects of HDV markets, technology and environmental impacts

The contractor should ensure that they have available the necessary expertise to address other ad-hoc issues that may arise in relation to HDV markets, HDV fleet operations, technology and vehicle environmental impacts that may be relevant to addressing heavy duty vehicle climate forcing impacts. This requirement implies a good general overall insight into HDV markets for whole vehicles or tractors produced by OEMs, for component manufacturers and for body/trailer manufacturers; the same applies to technologies used and vehicle environmental impacts. The contractor should further have a good understanding of end-user markets, mainly freight transport (by trucks) and passenger transport (by bus/coach).

Fuel technologies and related price developments that could influence HDV energy performance and CO₂ performance

HDV fuel consumption and CO₂ performance is expected to be highly influenced by developments as regards new low GHG fuels; technical and market survey expertise will be needed in this field. The contractor should further demonstrate an ability to broaden the understanding of HDV energy needs and tank-to-wheel emissions taking into consideration upstream energy needs and well-to-tank emissions, and thereby assessing well-to-wheel emissions.

Global trade and competitiveness implications of EU HDVs standards to reduce climate forcing emissions

EU future legislation for HDVs to reduce their climate forcing emissions could impact on the marketability and competitiveness of EU manufactured HDVs in positive and negative ways. The expected legislation could also improve or weaken the relative ability for EU based manufacturers to compete in the EU HDV market. It is desirable to be able to explore these issues and assess the nature and scale of the effects that could arise. In addition to assessment of the current situation, this may also involve making forecasts on relevant aspects such as market shares, profitability and employment in EU HDV manufacturing.

Main needs / task areas related to policy preparation support:

- Support further development of HDV GHG strategy;
- Review various aspects of HDV legislation in relation to HDV fuel consumption and GHG emissions;

- Review national HDV registration procedures;
- gather and assess information on HDV manufacturing industry as well as HDV freight and passenger transport services markets;
- re-assess HDV CO₂ emission abatement potential in view of latest technological developments;
- re-assess costs and benefits of abatement technologies and overall cost effective emission abatement potential;
- international comparisons with other countries in particular those having already adopted an HDV fuel consumption or HDV GHG emissions rule;

3.2. Illustrative tasks

For the purpose of the evaluation of tenders, offers should address the illustrative tasks indicated below. The tenderer should treat them as specific requests and provide detailed bids including separate budgets for each. These tasks are chosen as examples of services that could be asked for under the framework contract.

These bids should be of sufficient detail to allow the Commission to assess whether tenderers have demonstrated a sufficient understanding of the possible work required and are able to put together a methodology and team to undertake the services effectively. Attention will be paid to the appropriateness of the distribution of work between categories of staff so as to ensure quality and value for money. The bids for the illustrative tasks will form part of the basis for the award process as set out in paragraph 2.4.

Task 1 - Further development of the measurement methodology and the design of the HDV CO₂ simulation tool to new categories

Task and general guidance on methodology

The previous project "Development and Testing of a certification procedure for CO₂ emissions and fuel consumption of HDV" from the Tender ENV.C.3/SER/2009/0038 provided a model⁴ on how to measure and simulate CO₂ emissions from a few categories of HDVs (long haul, regional delivery, coaches). A successor contract is under way until May 2014 (end of the current contract SI2. 628995). The simulation tool is to be extended to cover further relevant HDV categories like construction vehicles, utility HDV and city buses. For example in an HDV concrete mixer additional auxiliaries like a concrete pump and an electric engine for the concrete cylinder are included. These systems consume energy and thus contribute to the fuel consumption of the vehicle. This fuel consumption has to be measured in tests under different test conditions, calculated in a model and included in the VECTO simulation tool.

The measurement method and simulation tool are to be tested during a validation exercise with participating bodies like manufacturers, technical services and type approval

⁴ See report under http://ec.europa.eu/clima/policies/transport/vehicles/heavy/docs/hdv_2011_01_09_en.pdf

authorities. This task consists in incorporating all the steps needed to further develop the HDV CO₂ simulation tool, the related software, and the test procedure to a final level to be used in a type approval legislation.

Final output and deliverables

The language for all manuals, reports and documentation for the purpose of the software will be English.

The software source code and all the IPR rights to the code shall be transferred to the Union for further use and free distribution as explained in the FWC Article I.8 and further in Article II.10. The contractor has to assign to the Union all exclusive IPR rights on the resulting simulation program to use the whole program and its source code as stipulated in the FWC. This includes the possibility that a future certification tool can be developed based on the simulation tool and can incorporate the code provided or parts of it.

If the contractor uses existing open source software to develop the simulation software, it shall ensure that all pre-existing rights to the software, its elements and its source code are fully and irrevocably transferred to the Union unless the relevant open source licences state otherwise. In such cases, the contractor shall ensure that the IPR are licensed to the Union in accordance with Article II.10.3.

The tool shall be able to run, at least, on a PC with the Commission's standard software configuration (at the time of the delivery), without the assumption of the existence of any other pre-installed software. Presently the Commission PC platform is based on a MS-Windows 7 operating system.

The tool is to be delivered as a stand-alone executable file with a user friendly interface. The contractor will create mock-ups of that interface which need to be accepted by the EC before the implementation of the simulation tool. Together with the executable, the contractor will deliver one detailed user manual (also electronically available via one menu item of the executable), all files containing the source code and a set of technical documentation allowing any further contractor to rebuild the executable and to further develop or maintain it.

Budget

The indicative budget earmarked for this task is between €300 000 and €650 000.

Timeline and meetings

The tenderer is to deliver a final report after 16 months, with possible revisions upon Commission comments after 18 months. A kick-off meeting in Brussels is needed in the first month of the project.

Other

The proposal must indicate if any parts of the task will be sub-contracted and if so which and to whom.

Task 2 - Light-weighting as a means of reducing HDV energy consumption and CO₂ emissions

Task and general guidance on methodology

This specific task would involve a survey and analysis of the potential for light-weighting of HDVs. The methodology for assessing this potential shall take into consideration the light-weighting potential, with state-of-the-art technologies (existing) or on-going developments (forward looking scenario), of all main elements of a vehicle, e.g. the motor, transmission, chassis, cabin, the rolling train, auxiliaries, and the body/trailer.

This survey and analysis would entail:

- a) a comprehensive assessment of options and technical developments in this field;
- b) an assessment of the energy and CO₂ emissions benefits of light-weighting of each option and as a whole (cumulating the main compatible options), for the main categories of HDVs;
- c) a cost benefit analysis of options with marginal abatement cost curves based on fuel saving benefits vs options costs; and,
- d) an assessment of cost effective light-weighting potential as a whole for HDV fuel consumption and CO₂ emissions, for the main categories of HDVs. The assessment shall be provided with two scenarios, assuming (i) state-of-the-art technologies and (ii) forward looking based on on-going developments.

Budget

The budget earmarked for this task is between €175 000 and €225 000.

Timeline, deliverables and meetings

The tenderer needs to deliver a final report (in English) after 16 months, with possible revisions upon Commission comments after 18 months. A kick-off meeting in Brussels is needed in the first month of the project. Regular meetings will take place in Brussels to take stock of intermediate results, final findings, and discuss the way forward.

Other

The proposal must indicate if any parts of the task will be sub-contracted and if so which and to whom.

Task 3 - International comparison

Task. General guidance on methodology

The contractor will be asked to follow the technical regulations and development of HDV related CO₂ regulations in other parts of the world, in particular US, Japan, China, Korea, Brazil, India and Russia. The contractor is expected to (i) collect and compile existing and draft legislation and related registration/ certification procedures; (ii) carry out in each country a series of interviews with relevant administrations, type approval authorities and/or technical services, as well as HDV manufacturers; (iii) analyse, assess and compare countries' approaches and achievements in implementing the relevant regulations. This shall enable the sharing of knowledge and expertise where appropriate and exploit synergies between the various work efforts of other parties.

Budget: The budget earmarked for this task is between €100 000 and 125,000.

Timeline, deliverables and meetings

The tenderer needs to deliver one report by country (US, China, Japan, Korea, Brazil, India and Russia) after 10 months, that may be revised upon Commission comments in

reports to be submitted after 12 months. A kick-off meeting in Brussels is needed in the first month of the project. Meetings will take place in Brussels after 5 months to take stock of intermediate results, and after 11 months to discuss final findings.

Other

The proposal must indicate if any parts of the task will be sub-contracted and if so which and to whom.

Place of performance

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

4. CONTENT, STRUCTURE AND GRAPHIC REQUIREMENTS OF THE FINAL DELIVERABLES

All studies produced for the European Commission and Executive Agencies shall conform to the corporate visual identity of the European Commission by applying the graphic rules set out in the European Commission's Visual Identity Manual, including its logo⁵.

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

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

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

4.1. Content

4.1.1. Final study report

The final study report shall include:

- an abstract of no more than 200 words and an executive summary of maximum 6 pages, both in English and French;
- the following standard disclaimer:

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

⁵ The Visual Identity Manual of the European Commission is available upon request. Requests should be made to the following e-mail address: comm-visual-identity@ec.europa.eu

Commission does not guarantee the accuracy of the data included in this study. Neither the Commission nor any person acting on the Commission's behalf may be held responsible for the use which may be made of the information contained therein."

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

4.1.2. Publishable executive summary

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

- the following standard disclaimer:

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

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

4.3. Graphic requirements

For graphic requirements please refer to the template available at http://ec.europa.eu/environment/funding/calls_en.htm (study template final report). The cover page shall be filled in by the contractor in accordance with the instructions provided in the template. For further details you may also contact comm-visual-identity@ec.europa.eu.

ANNEX 1 - ADMINISTRATIVE INFORMATION FORM

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

This questionnaire should only be completed if your tender involves a joint bid or subcontracting.

Joint bid (refer to paragraph 1.3)

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 1.4)

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:

.....

.....

.....

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 3A - FINANCIAL OFFER TEMPLATE

DAILY RATES APPLICABLE TO THE FRAMEWORK CONTRACT

These daily rates will be applied to all subsequent specific contracts awarded under this framework contract.

The man-day prices must be flat rate and **include all costs** (administrative costs, overheads, project management, quality control, support resources, insurance, travelling and accommodation etc). *The amount quoted as the maximum price per man-day will be considered as the financial offer for the purpose of the evaluation of the price element in the award of the framework contract.* The maximum price per man-day shall be valid for any services offered under a specific contract but contractors may apply lower prices per man-day when bidding for a specific contract.

Category	Price per man-day (in EURO)
Flat rate price per man-day	

Signature of Tenderer

.....

Date

ANNEX 3B - FINANCIAL OFFER TEMPLATE

ILLUSTRATIVE TASK N° _____

(FOR GUIDANCE PURPOSES ONLY – PLEASE COMPLETE ONE PER ILLUSTRATIVE TASK)

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 %	Daily rate in €	Costs in €
Lead contractor						
	
	
	Sub-total	
Sub-contractor 1						
	
	Sub-total	
Sub-contractor 2						
	
	Sub-total	
Sub-contractor 3						
	
	Sub-total	
.....						
External experts						
	
	Sub-total	
	Total	

Signature of Tenderer

.....

Date

.....

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)

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

ANNEX 5 - DECLARATION OF HONOUR

Declaration of honour with respect to the Exclusion Criteria and absence of conflict of interest

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

☐ in his/her own name (*for a natural person*)

or

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

full official name :

official legal form :

full official address :

VAT registration number :

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

- a) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
 - b) has been convicted of an offence concerning professional conduct by a judgment of a competent authority of a Member State which has the force of *res judicata*;
 - c) has been guilty of grave professional misconduct proven by any means which the contracting authorities can justify including by decisions of the European Investment Bank and international organisations;
 - d) is not in compliance with all its obligations relating to the payment of social security contributions and the payment of taxes in accordance with the legal provisions of the country in which it is established, with those of the country of the contracting authority and those of the country where the contract is to be performed;
 - e) has been the subject of a judgement which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such activity is detrimental to the Union's financial interests;
- is a subject of an administrative penalty for being guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in a procurement procedure or failing to supply this information, or having been declared to be in serious breach of its obligations under contracts covered by the Union's budget.

- *(Only for legal persons other than Member States and local authorities, otherwise delete)* declares that the natural persons with power of representation, decision-making or control⁶ over the above-mentioned legal entity are not in the situations referred to in b) and e) above;
- declares that [the above-mentioned legal person][he][she]:
- g) has no conflict of interest in connection with the contract; a conflict of interest could arise in particular as a result of economic interests, political or national affinity, family, emotional life or any other shared interest;
- h) will inform the contracting authority, without delay, of any situation considered a conflict of interest or which could give rise to a conflict of interest;
- i) has not granted and will not grant, has not sought and will not seek, has not attempted and will not attempt to obtain, and has not accepted and will not accept any advantage, financial or in kind, to or from any party whatsoever, where such advantage constitutes an illegal practice or involves corruption, either directly or indirectly, inasmuch as it is an incentive or reward relating to award of the contract;
- j) provided accurate, sincere and complete information to the contracting authority within the context of this procurement procedure ;
- acknowledges that [the above-mentioned legal person][he][she] may be subject to administrative and financial penalties⁷ if any of the declarations or information provided prove to be false.

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

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

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

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

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

Full name

Date

Signature

⁶ This covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares.

⁷ As provided for in Article 109 of the Financial Regulation (EU, Euratom) 966/2012 and Article 145 of the Rules of Application of the Financial Regulation

ANNEX 6 – FINANCIAL CAPACITY

Explanation – please read carefully before completing the financial capacity form (in a separate [excel table](#))

How to complete Annex 6

Simplified balance sheet and profit and loss account

Annex 6 has to be completed by all private tenderers (and their partners in case of a consortium).

Tenderers considered as public bodies or international organisations shall not complete this form. Private tenderers shall indicate if they are profit making or non profit making companies/organisations.

The purpose of this form is to collect financial data based on your company's/organisation's balance sheets. Please find below a correspondence table giving an explanation on the regrouping of different accounts with respect to the 4th Accounting Directive.

You should carefully complete this form. Given its complexity, we advise you to have the form completed by a professional accountant or an auditor. The data reported will be used to evaluate the financial viability of the company/organisation. Therefore it is very important that data reported are accurate. The Commission may wish to cross check the data with those reported in the official certified accounts.

The amounts have to be filled in Euros (for financial statements established in other currencies please refer to EC InforEuro exchange rates available on <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&SearchField=&Period=2003-9&Delim=,&Language=en> according to the closing date of the statement)

Abbreviation t-1 and t0

The abbreviation *t0* represents the last certified historical balance sheet and profit and loss account; *t-1* is the balance sheet prior to the last certified one. Consequently, the *closing date t0* is the closing date of the last certified historical balance sheet; the *closing date t-1* is the closing date of the balance sheet prior to the last one. *Duration t0* is the number of months covered by the last historical balance sheet. *Duration t-1* is the number of months covered by the previous certified historical balance sheet.

Results

The data submitted will be used to calculate the following ratios:

- 1) *Quick Ratio* = $\frac{\text{Current assets} - \text{Stocks} - \text{Debtors} > 1 \text{ year}}{\text{Short term debt (bank and non bank)}}$
indicates if the tenderer could face his short terms obligations
- 2) *GOP Ratio* = $\frac{\text{Interest}}{\text{GOP}}$
compares the interest paid with the gross operation profit (Autonomy)
- 3) *Profitability (1)* = $\frac{\text{GOP}}{\text{Turnover}}$
measures the risk of the company in its business cycle (proportion of the economic surplus generated by the business activity)
- 4) *Profitability (2)* = $\frac{\text{NOP (i.e. GOP - depreciation)}}{\text{Turnover}}$
measures the risk of the company in its business cycle (after depreciation)
- 5) *Solvency* = $\frac{\text{Total debt}}{\text{Equity}}$
shows the proportion of external financing of the company (independence of the tenderer from external financing)

** Activity ratio : $\frac{\text{contract amount by year}}{\text{turnover}}$

Determines the importance of the market for the tenderer and its ability to manage the complementary volume of activity.

The financial data will be used to assess the applicant's liquidity, solvency, financial profitability, and the ability to meet obligations and manage the complementary volume of activity. Financial capacity assessment shall guarantee a selection of tenderers with sound and sufficient financial resources allowing them to run their activities over the period of implementation of the contract. In cases where the financial performance of the applicant is not stable, the Commission may seek to safeguard the interest of the European Union by asking for a guarantee from a bank or financial institution equal to the amount of the pre-financing payment.

BALANCE SHEET	CORRESPONDANCE 4 th ACCOUNTING DIRECTIVE	
ASSETS	ASSETS / 4th ACCOUNTING DIRECTIVE (Article 9)	
1. Subscribed capital unpaid	A. Subscribed capital unpaid	A. Subscribed capital unpaid (including called capital)
2. Fixed assets	C. Fixed Assets	
2.1. Intangible fixed assets	B. Formation expenses as defined by national law C. I. Intangible fixed assets	B. Formation expenses as defined by national law C.I.1. Cost of research and development C.I.2. Concessions, patents, licences, trade marks and similar rights and assets if they were: (a) acquired for valuable consideration and need not be shown under C (I) (3); or (b) created by the undertaking itself C.I.3. Goodwill, to the extent that it was acquired for valuable consideration C.I.4. Payments on account
2.2. Tangible fixed assets	C.II. Tangible fixed assets	C.II.1. Land and buildings C.II.2. Plant and machinery C.II.3. Other fixtures and fittings, tools and equipment C.II.4. Payment on account and tangible assets in course of construction
2.3. Financial assets	C.III. Financial assets	C.III.1. Shares in affiliated undertakings C.III.2. Loans to affiliated undertakings C.III.3. Participating interests C.III.4. Loans to undertakings with which the company is linked by virtue of participating interest C.III.5. Investments held as fixed assets C.III. 6. Other loans C.III.7. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value)
3. Current assets	D. Currents assets	
3.1. Stocks	D.I. Stocks	D.I.1. Raw materials and consumables D.I.2. Work in progress D.I.3. Finished products and goods for resale D.I.4. Payment on account
3.2.1. Debtors due after one Year	D.II. Debtors, due and payable after more than one year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings

3.2.2. Debtors due within one year
3.3. Cash at bank and in hand
3.4. Other current assets
Total assets

	D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
D.II. Debtors due and payable within a year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
D.IV. Cash at bank and in hand	D.IV. Cash at bank and in hand
D.III Investments	D.III.1. Shares in affiliated undertakings D.III.2. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value) D.III.3. Other investments
Total assets	

LIABILITIES
4. Capital and reserves
4.1. Subscribed capital
4.2. Reserves
4.3. Profit and loss brought forward from the previous years
4.4. Profit and loss for the Financial year
5. Creditors
5.1.1 Long term non-bank debt

LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)	
A. Capital and reserves	
A.I. Subscribed capital	A.I. Subscribed capital
A.II. Share premium account	A.II. Share premium account
A.III. Revaluation reserve	A.III. Revaluation reserve
A.IV. Reserves	A.IV.1. Legal reserve, in so far as national law requires such a reserve A.IV.2. Reserve for own shares A.IV.3. Reserves provided for by the articles of association A.IV.4. Other reserves
A.V Profit and loss brought forward from the previous years	A.V Profit and loss brought forward from the previous years
A.VI. Profit or loss for the financial year	A.VI. Profit or loss for the financial year
C. Creditors	
B. Provisions for liabilities and charges (> one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation

	C. Creditors (> one year)	B.3. Other provisions C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
5.2.1. Long term bank debt	C. Creditors "credit institutions" (> one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
5.1.2. Short term non-bank Debt	B. Provisions for liabilities and charges (= one year) C. Creditors (= one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
5.2.2. Short term bank debt	C. Creditors "credit institutions" (= one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
Total liabilities	Total liabilities	

PROFIT AND LOSS ACCOUNT
6. Turnover
7. Variation in stocks
8. Other operating income
9. Costs of material and consumables
10. Other operating charges
11. Staff costs
12. Gross operating profit
13. Depreciation and value adjustments on non financial assets
14. Net operating profit
15. Financial income and value adjustments on financial assets
16. Interest paid
17. Similar charges
18. Profit or loss on Ordinary activities
19. Extraordinary income and

PROFIT AND LOSS ACCOUNT / 4TH ACCOUNTING DIRECTIVE (Article 23)	
1. Net turnover	1. Net turnover
2. Variation in stock of finished goods and in work in progress	2. Variation in stocks of finished goods and in work in progress
3. Work performed by the undertaking for its own purposes and capitalized. 4. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized 4. Other operating income
5. (a) Raw materials and consumables 5. (b) Other external charges	5. (a) Raw materials and consumables 5. (b) Other external charges
8. Other operating charges	8. Other operating charges
6. Staff costs	6. (a) Wages and salaries 6. (b) social security costs, with a separate indication of those relating to pensions
Gross operating profit .	
7. Depreciation and value adjustments on non financial assets	7. (a) Value adjustments in respect of formation expenses and of tangible and intangible fixed assets 7. (b) Value adjustments in respect of current assets, to the extent that they exceed the amount of value adjustments which are normal in the undertaking concerned
Gross operating profit - Depreciation and value adjustments on non-financial assets	
Financial income and value adjustments on financial assets	9. Income from participating interests 10. Income from other investments and loans forming part of the fixed assets 11. Other interest receivable and similar income 12. Value adjustments in respect of financial assets and of investments held as current assets
Interest paid	13. Interest payable and similar charges
Similar Charges	
Profit or loss on ordinary activities	15. Profit or loss on ordinary activities after taxation
Extraordinary income and	16. Extraordinary income

Charges
20. Taxes on profits
21. Profit or loss for the Financial year

charges	17. Extraordinary charges
Taxes	14. Tax on profit or loss on ordinary activities 19. Tax on extraordinary profit or loss 20. Other taxes not shown under the above items
Profit or loss for the financial year	21. Profit or loss for the financial year

ANNEX 7 - METHOD OF ORDERING SERVICES

When the Commission wishes to procure services under the framework contract, it will send all the contractors a request for services by post or E-mail. The request will set out the terms of reference for the service(s) required, including the price covering all expenses and the performance deadlines in keeping with the contract terms, and a deadline for making bids (usually around 15 working days depending on the nature of the tasks being requested).

The contractors will provide the Commission with a written offer for the services required (electronic offers will not be accepted), including a team of experts whom he proposes to entrust with the work in question, an outline of the methodologies proposed, a work programme and a lump-sum price for the service(s), based on the price schedule defined in Annex 3 to these tender specifications.

The Commission services concerned will examine the offers received. The assessment will consist of an assessment of the quality and a comparison with the price. The specific contract will be awarded to the best offer received, on the basis of the award criteria established below.

Within 15 working days of a specific contract being sent by the Commission to the Contractor, the Commission shall receive it back, duly signed and dated.

The requester will be the Director of Directorate CLIMA.C.

A maximum of 25 points will be attributed to criterion 1, a maximum of 15 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 15, 10 and 5 points under criteria 1, 2 and 3 respectively, with a minimum total of 30 points.

Tenders scoring less than 60 in the overall points total or less than 50% in the points awarded for a single criterion will be excluded from the rest of the assessment procedure. Since assessment of the tenders will focus on the quality of the proposed services, tenders 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 (25 points – minimum threshold 15 points)

This criterion assesses the suitability and strength of the proposal as measured against the requirements of the illustrative tasks in terms of the technical content, completeness, originality of ideas (*where appropriate*) and proposed effort. The degree to which the methodology shows the capacity to resolve the questions underlying in the service request in a realistic and well-structured way, as well as whether the methods proposed are suited to the needs set out by the Commission.

2 Organisation of the work (15 points – minimum threshold 10 points)

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.

3 Quality control measures (10 points – minimum threshold 5 points)

This criterion will assess the quality control system applied to the service foreseen in these illustrative tasks 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 system should be detailed in the tender and specific to the tasks at hand; a generic quality system will result in a low score.

The bid offering the best value for money will be chosen, provided that the minimum number of points cited above is achieved. Best value for money 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 60 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 the particular piece of work or to reject any offers that do not comply with the pre-agreed rates in the framework contract.

Specimen: SERVICE REQUEST

Under framework contract No
between the Commission and

Pursuant to the above-mentioned framework contract, concluded between the Commission and your company, we request an offer for the service specified below:

1. Designation of service requested	
2. Requester (name and function)	
3. Specific terms of reference	See annex
4. Estimated duration of the work (calendar days) Proposed starting and completion dates	
5. Maximum budget available for the services	€
6. Expected result	
7. Requester's address (to which the offer is to be sent)	
8. Requester's signature	
9. Date of signing request	

Thank you in advance for responding rapidly to this request by submitting an offer in accordance with the provisions of the framework contract within 15 working days. Please also advise the Commission services with 5 working days if you do not intend to submit an offer.

Annex: Specific terms of reference

Specimen: SERVICE / STUDY REQUEST – ANNEX “Specific Terms of Reference”

1. Context/General information
2. Subject of the request
3. Tasks to be performed, guide and details of how the tasks are to be carried out, meetings to be held
4. Estimated expertise requirement
5. Deliverables
6. Estimated timetable
7. Budget

ANNEX 8 - MODEL CONTRACT FOR THE FRAMEWORK CONTRACT

ANNEX 9 - 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.C.2/FRA/2013/0007

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.