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CALL FOR TENDERS

N° 2017/RTD/A6/PP06481/2017

Open Research Europe – The European Commission Open Research Publishing Platform

TENDER SPECIFICATIONS

SINGLE FRAMEWORK CONTRACT

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ANNEXES:

The following documents annexed to the present tender specifications are to be found in separate documents in e-tendering.

- 1) DECLARATION ON HONOUR ON EXCLUSION CRITERIA AND SELECTION CRITERIA (mandatory for submission of the tender)
- 2) POWER OF ATTORNEY (mandatory for submission of the tender)
- 3) LETTER OF INTENT TO BE COMPLETED BY SUB-CONTRACTOR, IF ANY (mandatory for submission of the tender)
- 4) DECLARATION ABOUT SMEs (mandatory for submission of the tender)
- 5) FINANCIAL CAPACITY FORM (only on request)

1. INFORMATION ON TENDERING

1.1. Participation

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

It is also open to all natural and legal persons established in a third country which has a special agreement with the Union in the field of public procurement on the conditions laid down in that agreement. Where the plurilateral Agreement on Government Procurement¹ concluded within the World Trade Organisation applies, the participation in 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.

For tenderers from the United Kingdom:

Please be aware that after the UK's withdrawal from the EU, the rules of access to EU procurement procedures of economic operators, legally established in third countries, will apply to candidates or tenderers from the **United Kingdom** depending on the final outcome of the withdrawal negotiations. In case such access is not provided by legal provisions in force, candidates or tenderers from the UK could be rejected from the procurement procedure.

1.2. Contractual conditions

The tenderer shall bear in mind the provisions of the draft contract (Annex I) which specifies the rights and obligations of the Contractor, particularly those on payments, performance of the contract, confidentiality, and checks and audits.

1.3. Compliance with applicable law

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

1.4. Joint tenders

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

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

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

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

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

1.5. Subcontracting

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

Tenderers are required to identify subcontractors whose share of the contract is above 10 % and whose capacity is necessary to fulfil the selection criteria. The authorised representative of each economic operator acting as an identified subcontractor is required to sign a letter of intent (see Annex 6).

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

1.6. Structure and content of the tender

The tenders must have the following structure:

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

Part B: Non-exclusion (see section 4.1)

Part C: Selection (see section 4.2)

Part D: Technical offer

The technical offer must address at least all minimum requirements described in the technical specifications in a way that allows the evaluation of the offer on the basis of the criteria described in Section 4 of the present. Offers deviating from the requirements or not covering all requirements will be rejected on the basis of non-compliance with the tender specifications and will not be evaluated.

In their technical offers, tenderers shall describe the methodology and a work plan for the implementation of the tasks described in section 2.3, with reference to key activities, deliverables, roles and responsibilities, and timescales for delivery. A list of deliverables, per task shall be found at the end of each task description.

Resources should be clearly associated to each task, i.e. for example the estimate number of person-days for specific kinds of work and travels required for each task, as well as approximately when they are required.

Detailed justification of the costing of peer-reviewed articles (covered by Task 3) that explains the price offered in the financial section shall also be included in the technical offer.

The technical offer shall cover at least the following issues, in a thorough manner, enabling the evaluation of the tender:

1. Technical and methodological approach (approximately 40 pages)
 - 1.1. Task 1
 - 1.2. Task 2
 - 1.3. Task 3
 - 1.4. Task 4

2. Organization of work and resources (approximately 15 pages)
 - 2.1. Allocation of time and resources for tasks and timing
 - 2.2. Team
3. Quality control measures (approximately 10 pages)

Part E: Financial offer

The price for the tender must be quoted in euro using the template for the price schedule (see Annex 8). 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 bear the risks or the benefits deriving from any variation.

Prices must be quoted free of all duties, taxes and other charges. In particular, they must be quoted free of VAT as the European Union is exempt from such charges, as specified under Articles 3 and 4 of the Protocol on the privileges and immunities of the European Union. The tenderer must indicate the amount of VAT but it must be shown separately.

For tenderers established outside the European Union, the price has to contain any applicable duties, taxes or dues.

The quoted prices must include all charges (including all direct and indirect costs related to the execution of the services and travel and subsistence expenses). Therefore, travel and subsistence expenses are not refundable separately.

The tenderer has to offer a price per task per year in the Price Schedule (Annex 8) for tasks 1,2 and 4 and per article, for Task 3. Offers which are incomplete will be rejected. No changes in the Price Schedule are permitted and no other item can be added.

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.

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 also be included in the tender. Please note that the powers of attorney must be tailor-made (the model in Annex 5 is linked to the implementation of the contract and not to the participation in the call for tenders). Subcontractors that are identified in the tender must provide a letter of intent (see Annex 6) signed by an authorised representative stating their willingness to provide the services presented in the tender and in line with the present tender specifications.

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.seem

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 shall be submitted. No form is required 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.seem

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.

In the course of the procedure, tenderers may be requested to register and provide a Participant Identification Code (PIC, 9-digit number), serving as the unique identifier of their organisation in the Participant Register. Tenderer(s) will receive instructions on how to create a PIC in due time.

Upon communication of the tenderer's PIC, the EU Validation Services (Research Executive Agency Validation Services) will contact the tenderer (via the messaging system embedded in the Participant Register) and request the latter to provide the supporting documents necessary to prove the legal existence and status and the economic and financial capacity of the organisation. All necessary details and instructions will be provided via this separate notification.

2. TECHNICAL SPECIFICATIONS

2.1. Background and objectives

2.1.1. Background

Open access is the practice of providing on-line access to scientific information that is free of charge to the user and is free of many restrictions on use (e.g. copyright and license restrictions) and therefore re-usable.³ Open access has the potential to improve scientific research, involve citizens and society in the research process, as well as accelerate innovation. An increasing number of governments, research funding bodies and research performing

³ Official definitions of 'open access' do not exist, but authoritative definitions of open access can be found in key political declarations on this subject, such as the Budapest Declaration (2002, <http://www.budapestopenaccessinitiative.org/read>) and the Berlin Declaration (2003, <https://openaccess.mpg.de/Berliner-Erklaerung>). These definitions describe 'access' in the context of open access as including not only basic elements such as the right to read, download and print, but also the right to copy, distribute, search, link, crawl, and mine.

institutions world-wide have been developing policies to improve open access to the scientific publications resulting from the research they fund.

The European Commission leads by example in relevant policies in view of increasing the socio-economic benefits of research and progressing towards open science. In 2012 it issued a Recommendation to Member States for access to and preservation of scientific information (C(2012) 4890 final of 17.7.2012), while Horizon 2020 mandates that peer-reviewed publications are available immediately in open access through repositories (so-called green open access) and encourages open access publishing (so-called gold open access).⁴ Similarly, Member States develop open access policies, largely aligning in national policies and funding practices with the Commission.

Beyond open access, but catalysed by it, further changes are currently taking place in the way the science and research system functions. These changes - referred to as Open Science - entail a shift towards a more open, collaborative, data-intensive and networked way of doing research and sharing research results, enabled by developments in ICT and related infrastructures and the increasing proliferation of data. Open Science builds on the early and wide sharing of research outputs in open access modes (for example through pre-prints⁵), openness and transparency in the review of research through open peer-review,⁶ supports the participation of citizen-scientists in the research process, and requires the use of new, broader approaches and indicators for evaluating research that are fit for purpose. Open Science is widely supported globally and in Europe.⁷

Key stakeholders involved in the research process (universities, research performing organisations, research funders, libraries, researchers, publishers, and businesses) find themselves in various stages of responding or adapting to the evolving situation. For example, universities are considering new ways to evaluate researchers and requiring new types of research skills from researchers. The societal and economic impact of research is of growing importance to research funding organisations. Publishers are active as they are moving towards models of open access to publications and research data. New generation (alternative) metrics are proposed with regard to determining the impact of research or measuring the output of researchers.⁸

⁴ For an overview of the current open access (OA) mandate in Horizon 2020 see http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/open-access_en.htm

⁵ A scientific publication that has not yet undergone peer-review or editorial scrutiny.

⁶ Open peer review refers to several, closely related forms of scholarly peer review. It includes multiple aspects or layers of openness such as a) open identify, that is making reviewer names public, b) open disclosure, that is making the peer review contents (the reviews, but also the discussion about the paper) publicly available or c) soliciting public contributions to the peer-review process.

⁷ For example Member States have supported open science in 2016 through Council Conclusions, May 27, 2016, Document 9526/16.

⁸ Non-traditional ('alternative' or 'new-generation') metrics have been proposed as a complement or alternative to more traditional citation impact metrics. Although such alternative metrics are often thought of as metrics about articles, they can be applied to people, journals, books, data sets, presentations, videos, source code repositories, web pages, etc. These metrics also cover other aspects of the impact of a work, such as how many data and knowledge bases refer to it, article views, downloads, or mentions in social media and news media. They offer an additional perspective into the broader social impacts of research.

Open access and open science bring new possibilities in the way research is communicated and in the way research is published. New initiatives and businesses for publishing appear, usually delivering publications in open access. They can be for profit, not-for-profit, institutional, inter alia, and rely on different types of income streams, such as grants, advertisements, Article Processing Charges (APCs). They are often led by scholars and propose innovative approaches to publishing. In parallel, the increasing demand for change in the current publishing system both in terms of modalities, which means not to pay for the access to publications (as is the case currently mostly in subscription-based models), as well as in terms of sustainability, which means that it should be a system that is sustainable for all participants in it, leads to extensive negotiations with established publishers, and open access is part of such discussions.⁹

2.1.2. Aims and objectives

In this context the present call for tender concerns the setting up of a publishing platform (European Commission Open Research Publishing Platform, tentatively named 'Open Research Europe' and referred to as 'the Platform' for short) as a service for Horizon 2020 beneficiaries. The Platform will provide an open access publishing venue without cost to the beneficiaries of Horizon 2020, the European Commission assuming the cost of the development and running of this service, as part of the current call for tender.

The aim is to assist Horizon 2020 beneficiaries and researchers in complying with the Horizon 2020 open access mandate and to increase the uptake of open access for peer-reviewed scientific articles in Horizon 2020. An early internal analysis of the success of the Horizon 2020 policy showed that approximately 60-68% of scientific publications supported by Horizon 2020 were available in open access. The present call for tender seeks to contribute towards improving this performance by offering an additional option to the beneficiaries of Horizon 2020 for fulfilling the open access requirements of the framework programme.¹⁰ The initiative is equally aimed at promoting open access publishing as the standard mode for publishing of the future.

The objectives of the Platform are to:

- Offer a reliable and user-friendly open access publishing venue to scientific publications stemming from Horizon 2020, with rapid publication times.
- Offer to the beneficiaries of Horizon 2020 an open access publishing venue without cost to them for publishing in open access after their grants finish.¹¹

⁹ For example, Finland is one of the many European countries renegotiating publisher agreements that include open access. The Finnish Library consortium handling negotiations with publishers reports on them for reasons of transparency at <http://finelib.fi/negotiations/>. For a recent analysis of the open access publishing market and sustainability see Rob Johnson, Mattia Fosci, Andrea Chiarelli, Stephen Pinfield, Michael Jubb 'Towards a Competitive and Sustainable Open Access Publishing Market in Europe', a study prepared for the OpenAIRE 2020 project on behalf of the European Commission, Research Consulting, February 2017.

¹⁰ Whenever applicable, it is understood in the text that the Platform should not be limited to beneficiaries of Horizon 2020, but also to beneficiaries of its successor programme. This is to be decided at a later stage.

¹¹ [A pilot for reimbursement of APCs](#) post-grant for FP7 has run for a period of almost three years through the project OpenAIRE and is now concluded. The aforementioned study (see previous footnote) in the context of this pilot showed that around 18% of the publications take place once the projects have been concluded.

- Provide to the beneficiaries of Horizon 2020 a high-quality service that meets general and discipline-specific standards of scientific publishing.
- Reinforce the position of the Commission as a funder that leads by example in operationalising open science in its multiannual framework programmes for research and innovation by supporting practices beyond open access to publications, such as open peer-review, the early sharing of research through pre-prints and innovative ('alternative') metrics services as part of the Platform.
- Contribute towards transparency and cost-effectiveness in scientific publishing, as well as towards the exploration of sustainable open access business models.

This type of initiative on the side of a funder is not isolated: public and private funders have begun to offer support to their grantees through publishing venues that they fund. Recent examples are the Health Research Board of Ireland, as well as The Bill and Melinda Gates Foundation and the Wellcome Trust¹², among others, all of which funders have solicited the development of publishing platforms for the use of their grantees on their behalf.¹³

Joining such funder initiatives, the European Commission now also proposes to develop a publishing service for its beneficiaries, and aims to learn from this experience, also in view of planning for FP9. The Horizon 2020 Work Programme 2018-2020 18. *Dissemination, Exploitation and Evaluation*, item 8 'Horizon 2020 Open Research Platform' forms the legal basis for the technical specification of this call for tenders.¹⁴

The Commission will finance the Platform through this procurement procedure for four years. During this time the Commission will regularly review the degree to which the Platform has achieved its objectives, as well as its uptake and decide on the course of action with the aim to ensure the continuity for the Platform as a service, if it proves a successful initiative that is supported by beneficiaries by publishing in it, as well as by institutions.

2.2. Characteristics of the required service

The service to be developed for the European Commission is a publishing platform for original articles stemming from Horizon 2020 funding.¹⁵ The platform is expected to offer services for peer-reviewed publications, as well as the posting of pre-prints. Specifically:

Peer-reviewed scientific articles: the Platform will manage the entire publication process (from submission to publication, as well as post-publication curation and preservation) for original articles submitted to the Platform by Horizon 2020 beneficiaries, including an open peer-review system.

Pre-prints: the Platform must allow Horizon 2020 beneficiaries to post pre-prints, i.e. original manuscripts stemming from Horizon 2020 grants and not having passed peer-review;

Currently, under Horizon 2020, the Commission does not reimburse beneficiaries for open access costs that are incurred after their grants are over.

¹² <https://hrbopenresearch.org/> ; <https://gatesopenresearch.org/> ; <https://wellcomeopenresearch.org/>

¹³ This analysis in no way pre-judges the selection of the contractor to operate the Commission's platform.

¹⁴ The Work Programme 2018-2020 is available at <https://goo.gl/9Mc53X>

¹⁵ Original articles are those that are not considered in another venue for publication or have been published before.

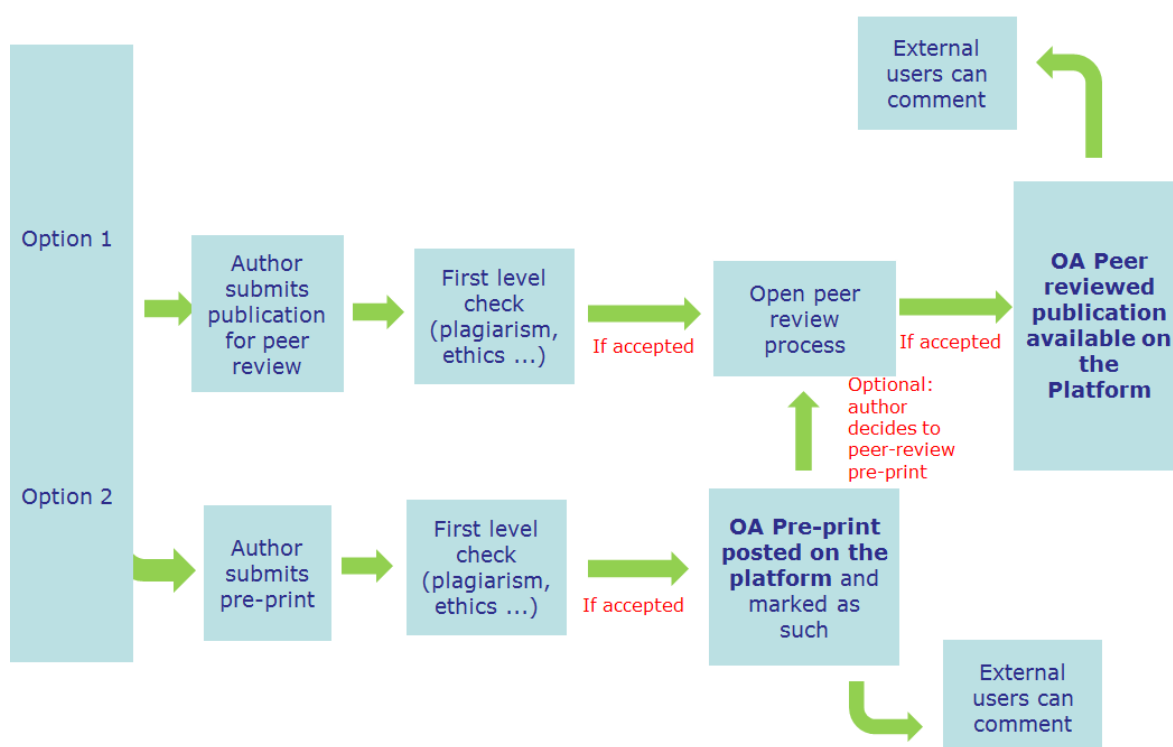
such pre-prints will be posted to the platform subsequent to a basic check concerning ethics issues and plagiarism.

The user community of this platform is two-fold:

1. **Researchers with a Horizon 2020 grant** wishing to use the platform to **publish original articles** resulting from their grants or to **post pre-prints** resulting from their grants, both without cost to them.

2. **All (researchers and citizens)** across the world are able to use the platform to **access articles and post-prints** (read, download, print, text and data mine¹⁶) without barriers such as paywalls or registration requirements.

The Platform must at least support technologically and through explicit publication policies the following workflows for peer-reviewed publications and pre-prints, respectively (Graph 1).



Graph 1: Basic workflow of the Platform

Under Option 1, a Horizon 2020 beneficiary decides to submit an original manuscript to be evaluated and published as a peer-reviewed publication through the Platform from the start. Subsequent to a successful preliminary check the manuscript is peer-reviewed, and if accepted, it is published in the platform as a peer-reviewed article.

¹⁶ Text and Data Mining (TDM) is a research technique relying on new technologies to analyse large quantities of machine-readable information and extract meaningful patterns. See <http://libereurope.eu/text-data-mining/>

Under Option 2, the beneficiaries can submit their pre-prints, which will be posted in the Platform and clearly marked as such, subsequent to a successful first basic check by editors for plagiarism and ethics. Authors have the option to turn the pre-print into a peer-reviewed publication through the Platform, by submitting the pre-printing through the peer-review process, which forms the connection to option 1.

In both cases where the aim is to arrive at a peer-reviewed publication through the Platform, an open and fully transparent peer-review process is undertaken, after which the final product is published in the Platform. Registered users of the Platform have the possibility to comment on final peer-reviewed articles and pre-prints. Innovative metrics are made available for both the pre-prints and the peer reviewed articles, in addition to citation metrics.

The Platform interface will be in English, including all the relevant information texts and policies.

In developing this publishing service the following important elements must be adhered to:

- a) Eligible for publication as peer-reviewed articles or posting as pre-prints in the Platform is any original scientific article based on research fully or partially funded by Horizon 2020.
- b) Use of the Platform as an open access publishing venue must be completely free of charge for authors wishing to publish research stemming from Horizon 2020 and their institutions. No article fees or additional charges of any sort will be charged to authors or their institutions by the Contractor for publication in the Platform.
- c) The Platform will have explicit, accessible and transparent publication policies that follow the current scientific norms and standards to support the publication of research of the highest quality.¹⁷
- d) The Platform must support the publication of articles in all of Horizon 2020 programme sections¹⁸ and all six major fields of science of the OECD Frascati Manual.¹⁹
- e) All content published on the Platform must be fully open access immediately on publication, including its metadata, licensed under an open licence, such as Creative Commons²⁰ or equivalent, and offering the ability for seamless Text and Data Mining in accordance with existing practices as such evolve over time.
- f) Authors (or their organisations) must be able to license their work through the Platform.
- g) The Platform must facilitate Open Science practices in scholarly communication by including features such as early sharing of research results through pre-prints and timely publication times, open peer-review, new generation metrics, post-publication comments. Business processes and editorial policies shall encourage innovation and

¹⁷ See inter alia the [European Code of Conduct for Research Integrity](https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf) available at https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf

¹⁸ See <https://ec.europa.eu/programmes/horizon2020/en/h2020-sections>

¹⁹ [Revised field of Science and Technology \(FOS\) classification in the Frascati Manual](#), OECD, DSTI/EAS/STP/NESTI(2006)19/FINAL (2007).

²⁰ Creative Commons: A non-profit organisation that develops, supports, and stewards legal and technical infrastructure to enable sharing of digital outputs, including by the development of a suite of licensing products (www.creativecommons.org).

transparency in scholarly communication for all actors involved in the publishing process, and strive to create incentives to support open access publishing and Open Science practices.

- h) As part of the implementation of this tender the Contractor will be called upon to demonstrate transparency in all processes, including financial transparency of the actual costs of running this service and of the cost per article published.
- i) The Platform must be technologically and organizationally implemented in such a way as not to exclude the possibility of cooperation with or integration of other public funders in the Member States at a later stage.
- j) The technology on which the Platform is based must allow for interoperability with important search engines, portability of data and the platform to new infrastructures, security of content and personal data, responsiveness to increased levels of use (high traffic). The Platform must be transferable for deployment in the servers of the Commission or an assigned third party at the end of the Framework Contract.
- k) The Platform interface must provide various options for content discovery to users and be responsive and user-friendly in its functions.
- l) Protection of personal data must be secured, and the Contractor must comply with the applicable legal framework for personal data held and managed through the Platform according to the terms outlined in the attached Framework Contract Conditions (Annex I, Section II.9).

The Commission envisions a publishing service of the highest technical and scientific standards with wide acceptance by research institutions, authors and other funders. The Contractor will be required to gather broad institutional support and the involvement of the research community in many fields across Europe and beyond in establishing this Platform as a successful and innovative publishing paradigm for research funded by Horizon 2020.

The Commission estimates that the Platform may contain approximately 5600 peer-reviewed articles at the end of the proposed framework contract.²¹ The Platform may contain an unknown number of pre-prints.

To achieve the objectives of this tender and the required characteristics of the service, a set of tasks has been drawn up, as detailed below.

2.3 Description of the tasks

A single framework contract will be signed under the conditions described in Annex 1 and will run for 4 (four) years. There will be one Contractor or a consortium led by one Contractor (see 1.4), with or without subcontractors, who will be awarded this framework contract and who will perform the tasks according to specific contracts. The provisional deliverables listed below for each task will be linked to specific contracts. Tenders will need to address in depth

²¹ An estimate based on the number of publications in FP7 as correlated with the number of publications in the first years of Horizon 2020 suggests that in total around 56.000 articles are likely to be produced with Horizon 2020 grants during four years. The number of pre-prints is unknown. The figure of 5600 peer-reviewed articles represents a rough estimate of approximately 10% of the aforementioned expected publications that the Platform should be able to serve.

in their offers how they will implement the following tasks (see section 1.6 on the format of tenders)

2.3.1. Task 1 – Customize, operate and maintain a scientific publishing platform

Aim: Customize an existing technological infrastructure for scientific publishing with the requirements described below for the European Commission; operate, maintain and update the system so as to reflect the state of the art technological developments and evolving user requirements.

Description: Customization of a technological infrastructure for publishing to perform the workflow described in Graph 1 and in the minimum requirements described below. Once the system is running this task also covers the technical maintenance, including regular updates keeping the Platform aligned to technological developments, updates with latest versions of the technical solution used and user feedback.

The Platform will have to fulfil the following requirements and comprise the following functionalities, to be finalized in collaboration with the European Commission. The following are the minimum non-exhaustive requirements:

General Infrastructure Requirements

- a) The Platform shall be web-based and the Contractor will be responsible to find a hosting solution for it until the end of the contract.
- b) The Platform shall use Commercial Off-The-Shelf (COTS) or open source technologies/components, with well-described licencing and pricing schemas. Propriety/exclusive technologies that are not available to other solution providers are not acceptable.
- c) The Platform shall be developed with such technologies and in such a way that it is possible for the European Commission, or a party designated by the latter, to deploy and operate on its own servers the web-based Platform or part of the Platform and/or to transfer the Platform to a different infrastructure upon termination of the Framework Contract, according to the terms of the Framework Contract (see Annex 1, section I.13.1).
- d) The Platform shall implement interoperable standards, interfaces, protocols, formats or taxonomies, in line with the European Interoperability Framework.²²
- e) The Platform shall allow content and metadata to be harvested by important indexes, services, engines, such as for example Google Scholar, the Directory of Open Access Journals (DOAJ).
- f) The technological solution shall deliver the services described in the present tender specifications without noticeable delay for all categories of users continually and with 99.999% per year uptime.
- g) The Platform shall be highly responsive to increased levels of traffic and the user interface must be ready to receive at minimum of 10,000 (ten thousand) individual user sessions per day with a standard response time of one second and receive at peak levels a minimum 5,000 (five thousand) individual user sessions per second with a response time of no more than two seconds.

²² https://ec.europa.eu/isa2/home_en

- h) The Contractor will develop, document and follow data security and disaster recovery procedures which are adequate to restore the full functionality and content of the portal in less than 24 hours in case of catastrophic failure. They will be documented and discussed in the deliverables of the technical specifications (see end of this Task under deliverables).
- i) The performance must be scalable by increasing the number of servers and/or Central Processing Units and other resources (for example memory, storage, communication bandwidth) accordingly, without the need for additional software development. Adding an additional server shall not require more than the adaptation of a configuration file by the system administrator. The performance overhead introduced by scaling with respect to a single server configuration must be limited. To this end the tenderer shall identify the potential scaling bottlenecks and provide proof that they are addressed properly in the proposed solution.
- j) The Platform's architecture shall be scalable to enable the potential integration of other research funders/performing organizations as publishing partners to the Commission.
- k) The Contractor must ensure data portability, namely that data is easily transferable between systems and applications supporting the implementation without unjustified restrictions.
- l) Protection of personal data must be secured, and the Contractor must comply with the applicable legal framework for personal data held and managed through the Platform according to the terms outlined in the attached Framework Contract Conditions (Annex I, Section II.9).

Specific requirements

- a) The Platform must support the entire publication workflow presented in Graph 1 online, support distinctive roles and their respective workflows in the system (e.g. author, reviewer, reader etc.), correspondence between registered users in the various roles and archiving (audit trail) of events in the process.
- b) Users with roles in the system will need to register, while users who simply wish to visit the Platform and read and download content will not need a prior registration.
- c) Users shall be able to register in the Platform with their ORCID,²³ eduGAIN²⁴ and EU Login²⁵ accounts. The Platform shall enable registered users to comment on articles and/or pre-prints.

²³ ORCID (Open Researcher and Contributor ID) is a nonproprietary [alphanumeric code](https://orcid.org/) to uniquely identify [scientific](#) and other [academic authors](#) and contributors. This addresses the problem that a particular author's contributions to the [scientific literature](#) or publications in the [humanities](#) can be hard to recognize as most [personal names](#) are not unique, they can change (such as with marriage), have cultural differences in name order, contain inconsistent use of first-name abbreviations and employ different [writing systems](#). It provides a persistent identity for humans, similar to that created for content-related entities on digital networks by [digital object identifiers](#) (DOIs). <https://orcid.org/>

²⁴ The eduGAIN service interconnects identity federations around the world, simplifying access to content, services and resources for the global research and education community. eduGAIN enables the trustworthy exchange of information related to identity, authentication and authorisation (AAI). https://www.geant.org/Services/Trust_identity_and_security/eduGAIN.

²⁵ The EU Login is the European Commission Authentication Service, <https://webgate.ec.europa.eu/cas/about.html>

- d) The Platform must offer a helpdesk that is efficient and responsive, to address user questions and problems related to its functions (both technical and editorial in nature) via a streamlined online ticketing system.
- e) The Platform interface shall be in the English language.
- f) The Platform shall store content, i.e. pre-prints and peer-reviewed articles, as well as logs of the interactions/processes that have taken place in the publication workflow (i.e. the reviews, interactions and communications with reviewers, between reviewers and authors, between editors and reviewers, etc.).
- g) The Platform must support the use of persistent identifiers (PIDs)²⁶ for authors (e.g. ORCID) and reviewers, pre-prints, publications and reviews (e.g. DOIs)²⁷, research funding organisations, research funding schemes, research performing organisations, research data and other digital objects, in view of seamlessly linking digital information.
- h) The Platform must incorporate *version management*²⁸ of pre-prints and publications, and versions must be clearly marked each with its own proper DOI.
- i) The Platform must allow the easy discovery of and access to content from the wide range of scientific fields covered by the articles it contains in multiple ways; it shall at least allow content to be discovered according to Horizon 2020 programme sections,²⁹ the six major scientific fields and field categories of the OECD Frascati Manual,³⁰ subject keywords, grant schemes, acronym/grant number of the Horizon 2020 project, author name/s and/or institutional affiliations, institutions, author IDs, such as ORCID and similar options to be decided in consultation with the Commission.
- j) The Platform must offer content syndication functionalities and automatic transfer of peer-reviewed publications into author-designated institutional, subject or other repositories that are listed in the directory of open access repositories OpenDOAR³¹ and are OpenAIRE compatible³² and/or important thematic repositories, such as Europe PMC³³. In case the author has not indicated a repository, ZENODO will be the repository of choice.³⁴
- k) The Platform will offer linking pre-prints to articles stemming from them, whether they are in or out of the Platform.

²⁶ A persistent identifier (PID) is a long-lasting reference to a digital document available in the internet, such as a file, web page, or other object. Typically, such identifiers are also actionable, i.e. they lead to the cited resource. See <https://www.dpconline.org/handbook/technical-solutions-and-tools/persistent-identifiers>

²⁷ Digital Object Identifier or DOI is a [persistent identifier](#) or [handle](#) used to uniquely identify objects, standardized by the International Organization for Standardization (ISO). DOIs are in wide use mainly to identify academic, professional, and government information, such as journal articles, research reports and data sets, and official publications though they also have been used to identify other types of information resources, such as commercial videos.

²⁸ [Version management](#) is the management of changes to documents, [computer programs](#), large web sites, and other collections of information. Changes are usually identified by a number or letter code, termed the "revision number", "revision level", or simply "revision". For example, an initial set of files is "revision 1". When the first change is made, the resulting set is "revision 2", and so on. Each revision is associated with a [timestamp](#) and the person making the change. Revisions can be compared, restored, and with some types of files, merged.

²⁹ See <https://ec.europa.eu/programmes/horizon2020/en/h2020-sections>

³⁰ [Revised field of Science and Technology \(FOS\) classification in the Frascati Manual](#), OECD, DSTI/EAS/STP/NESTI(2006)19/FINAL (2007).

³¹ <http://www.opendoar.org/>

³² <https://guidelines.openaire.eu/en/latest/>

³³ <https://europepmc.org/>

³⁴ <https://www.zenodo.org/>

- l) The Platform will facilitate the ability to text and data mine its content without unnecessary technical restrictions on users, and all publications and pre-preprints contained therein will be text-searchable.
- m) The submission process for manuscripts shall encompass the capture of relevant metadata in a *user-friendly* and intuitive way. Metadata shall be stored using standard and interoperable formats (such as, for example, Dublin Core). Metadata shall be openly available under a liberal Creative Commons licence, minimally a CC-BY, or equivalent type of licence.
- n) The Platform must technically support the linking of publications and pre-prints with underlying data (peer-reviewed publication or pre-print), as far as the author has made it available.
- o) Provisions for automatic processes for long-term archiving of the content external to the Platform shall be made (for example such as LOCKKS³⁵), for automated checks for plagiarism (for example through services such as ithenticate³⁶), and for indexing with established services (e.g. Google Scholar, Directory of Open Access Journals (DOAJ), among others).
- p) The Platform shall support machine-readable licenses, such as Creative Commons.
- q) The Platform will offer insights into the usage and readership of articles to the public, as well as through personalized access to the authors of articles (reflecting views, downloads, shares, citations, mentions on other outreach channels, geography/ location of readership).
- r) The Platform will provide a suite of innovative metrics at least at the level of the article and author, thus facilitating the transition to next generation metrics for open science.³⁷
- s) The Platform infrastructure will include a tool to log and present advanced statistics about the portal usage and will be accessible to the Commission. Statistics from this tool will be included in the Usage pattern reports, which will be deliverables for this Task (see below deliverables 1.13).
- t) The Platform will include an automated monitoring tool to enable generating reports on various statistics regarding the usage of the Platform by researchers as authors (the number of submitted articles, per discipline and institution; the average time for publication and for peer-review).
- u) The Platform shall offer a user feedback mechanism allowing visitors to leave input on the functioning of the Platform and suggest improvements. Tenderers will include a proposal on the organisational processes to support such a mechanism as a fruitful way of potentially improving the Platform.
- v) The Contractor will maintain the Platform infrastructure for the duration of the contract. It will undertake further developments to improve the quality of the user interface and the capacity of the infrastructure as is deemed necessary in consultation with the Commission. The offer will describe the tenderer's proposed processes as to how suggestions for modifications or improvements that may result from user feedback mechanisms and from the Internal Advisory Group (see 2.4.2 and 2.4.3) can be considered during the maintenance phase. The Contractor will report in the deliverable on the technical maintenance and upgrades (below 1.9-1.12) on suggestions for improvements received, which specific enhancements are needed and which ones are actually implemented or will

³⁵ <https://www.lockss.org/>

³⁶ <http://www.ithenticate.com/>

³⁷ See <https://ec.europa.eu/research/openscience/pdf/report.pdf>

be implemented. Tenderers shall factor such changes into their offer, as indicated in the instructions in the Price Schedule, Annex 8.

- w) As part of the handover (see below section 3.6) the Contractor will develop, document, and test a process that will allow a third party (e.g. the Commission or another designated party) to fully take over run and maintain the entire Platform infrastructure, and, if necessary, to redeploy it in a new environment. The process must be tested at regular intervals and the results of the tests must be reported in dedicated deliverables (below 1.14-1.15). The process must at least include the items listed in the draft framework contract special condition I.13.1 on Phasing-out (Annex 1).

The list of the functionalities of the Platform will be finalized in consultation with the Commission and testing will be planned, upon which the positive opinion of the Commission will be required regarding satisfaction with the functional and non-functional characteristics of the Platform. If the Platform functionalities are not satisfactory within 15 working days upon the written notice for improvements by the Commission, the latter may make use of article II.15 of the Framework Contract on liquidated damages.

Deliverables (indicative)

- 1.1 Technical specifications of the platform (customization, operation, monitoring, further development)-first issue (M3)
- 1.2 Technical specifications of the platform (customization, operation, monitoring, further development)-second issue (M15)
- 1.3 Technical specifications of the platform (customization, operation, monitoring, further development)-third issue (M30)
- 1.4 Technical specifications of the platform (customization, operation, monitoring, further development)-fourth issue (M45)
- 1.5 Platform in beta for testing (M5)
- 1.6 Platform in alpha with all functionalities (M9)
- 1.7 Platform-intermediate version (M28)
- 1.8 Platform in final version (M46)
- 1.9 Platform maintenance and upgrade report, including testing-first issue (M12)
- 1.10 Platform maintenance and upgrade report, including testing-second issue (M24)
- 1.11 Platform maintenance and upgrade report, including testing-third issue (M36)
- 1.12 Platform maintenance and upgrade report, including testing-fourth issue (M46)
- 1.13 Quarterly usage pattern reports (M6-M48)- every four months-twelve issues
- 1.14 Handover report version 1 (M30)
- 1.15 Handover report version 2 (M45)
- 1.16 Training of Commission and or other designated staff in the operation of the platform as part of the hand-over process (M46-48)

2.3.2. Task 2 – Business process and sustainability

Aim: To establish and run business processes for the publishing service such that enable the workflow envisaged for the Platform (Graph 1) to be implemented in the optimal way, leading to the publication of high quality content and to transparency at all levels; processes and policies will ensure the timely performance of all activities from submission to publication, and timely indexing of all versions of pre-prints/publications. It is the interest of the Commission to have a publishing platform that promotes the swift sharing of information

with rapid publication times, which, however, do not compromise scientific standards. Business processes and policies to be developed shall strive to promote innovative perspectives in publishing, openness and early sharing of research, incentivizing of the parties involved in the publishing cycle and transparency. The final aim of the task is to develop a plan for sustainability of the service beyond the initial contract.

Description: This task covers the development of business processes for the operation of the Platform as a publishing service leading to high-quality articles and pre-prints. The task covers issues such as: development of operational/business processes; development of publication policies; development of governance for the Platform. It entails the handling of incoming publications, from submissions to publication. Finally, this task also entails the development of business and sustainability planning, to help to gradually define the future of the Platform, in collaboration with the Commission.

The following are required to fulfil this task. The following are the minimum non-exhaustive requirements:

Platform governance and business processes

- a) Development of the Platform governance, taking into consideration: the clauses regarding intellectual property mentioned in the contract to be signed (Annex I, section II.13) and the central role of the European Commission; the interest of the European Commission in developing a sustainable service of high standards that is useful for a range of stakeholders involved in the research process across Europe; the nature and legal status of the Contractor; the nature of the process of developing this publishing service through this tender. The final form of the governance of the Platform will be agreed with the European Commission.
- b) The publishing platform will possess a scientific advisory board to advise on the policies, processes and strategy; The Advisory board shall comprise between 20 and 30 internationally established scholars that represent all six major fields of science of the Frascati Manual. They shall be balanced in terms of gender and disciplines. The Commission will approve the Advisory Board members to be selected by the Contractor.
- c) Development and implementation of business processes to operationalize the Platform as a publishing service, with distinct roles in the publishing process (e.g. editorial, business managers, reviewers etc.).

Platform editorial processes and policies

- a) Establish and modify as needed the editorial policies of the Platform. They shall be fit-for-purpose and adhere to the highest scientific standards, enabling the beneficiaries of Horizon 2020 from all fields to publish in it, and they will include at least the following:
 - Eligibility for publication or pre-print posting to all articles partially or fully funded by Horizon 2020.
 - Articles submitted for peer-review and publication, as well as pre-prints, shall be original, i.e. not considered in another venue for publication or have been published before.
 - Full and immediate open access to all content with no restrictions.
 - No charges whatsoever to be required from authors or their institutions.
 - Authors (or their organizations) will not be required to transfer their intellectual property rights, but will license publications.
 - All publications and pre-prints will be licensed by authors with Creative Commons licenses CC-BY or CC0, or equivalent standard open and machine-readable

- licenses, in such a manner that search engines can identify the publications as such.
- Rigorous, swift and transparent peer-review process complying with the COPE core practices for editors and journal publishers, as well as the ethical guidelines for reviewers, for high scientific quality of the publications.³⁸
 - The Contractor shall implement an open peer-review approach that also helps promote the review as an independent and valuable scholarly output in the academic system.
 - The Platform shall automatically send to repositories all peer-reviewed articles per the specifications above enabling compliance with Horizon 2020 requirements (see Task 1).
 - The Platform shall have data policies that are explicit and aligned with Horizon 2020 requirements; publications supported by data shall be linked to the data, and data supporting publications shall be openly accessible under the principle 'as open as possible, as closed as necessary' and stored in appropriate repositories.
 - The policies must adhere to COPE core ethics practices and promote integrity and transparency in research publication.³⁹
 - ORCID or similar identification systems will be required for authors interested in publishing through the Platform or posting pre-prints.
- b) Processes and policies shall be fully transparent and published in the Platform, alongside explicit information for authors and reviewers, including frequently asked questions (FAQs general and for specific types of users).
- c) The language to be used for communication of processes and policies in the Platform and the language of publication in the Platform will be English.

Handling of the editorial workflow

- a) Supervision of the publishing workflow of submissions (pre-prints and articles for peer-review), including initial ethics and plagiarism checks for articles and pre-prints, the distribution of articles to reviewers and monitoring of the review process, the handling of the production process and the publication of articles.

Sustainability of the publishing service

- a) Develop a sustainability strategy to plan for the smooth operation of the publication Platform beyond the four years that will be financed through the current procedure. The sustainability strategy shall contribute towards the involvement with the publishing Platform in the future of important stakeholders in publishing, e.g. universities, funders, libraries, research communities and scholarly societies, among others, and demonstrating its value to them. Potential synergies shall be explored, along with business scenarios and planning for continued funding and for the possible development of additional/diverse revenue streams.
- b) Document the business model (processes, actors and costs) of the operation of the Platform as a publishing service as part of the sustainability deliverables. The Contractor

³⁸ <https://publicationethics.org/core-practices> and "COPE Ethical Guidelines for Peer Reviewers - English" (PDF, 145 KB. Version 2, September 2017).

³⁹ See previous footnote.

shall also provide clear information about the final costs per article, how operations and costs are affected by scaling up, and similar issues that contribute to knowledge of the actual costs of publishing and to transparency.

Handover of the Service

- a) As part of the handover (see below section 3.6) the Contractor will outline the handover of the business process of running the Platform as a publishing service that will allow a third party (e.g. the Commission or another designated party) to fully take over and run the Platform as a publishing service. This concerns the non-technical aspect of the handover, (the technical is addressed under Task 1). The process will be agreed with the Commission through deliverables (2.16-2.17). The process must at least include the items listed in the Framework Contract special condition I.13.1 on the Phasing-out of the implementation of the Framework Contract (Annex 1).

Deliverables (indicative)

The following deliverables are indicative and more may be required; they will be listed in the specific contracts.

- 2.1. Platform governance-first issue (M2)
- 2.2. Platform governance-intermediate issue (M20)
- 2.3. Platform business processes-first issue (M3)
- 2.4. Platform business processes-intermediate issue (M20)
- 2.5. Platform editorial policies-first issue (M4)
- 2.6. Platform editorial policies-second issue (M15)
- 2.7. Platform editorial policies-third issue (M30)
- 2.8. Scientific advisory board-first issue (M4)
- 2.9. Scientific advisory board-intermediate issue (M27)
- 2.10. Publication of governance, business processes, editorial processes, scientific advisory board online in the platform webpage (M6)
- 2.11. Final platform governance, business processes, editorial policies, scientific advisory board (M45)
- 2.12. Sustainability strategy- first version (M6)
- 2.13. Sustainability strategy-second version (M18)
- 2.14. Sustainability strategy-third version (M36)
- 2.15. Sustainability strategy-final version (M46)
- 2.16. Handover report-first iteration (M30)
- 2.17. Handover report-final iteration (M46)

2.3.3 Task 3 - The content of the platform

Aim: produce and provide open access to preprints and peer-reviewed articles stemming from Horizon 2020 funding.

Description: this task entails all the production activities that lead to the publication of high-quality peer-reviewed articles and the posting of pre-prints on the publishing platform. For example, language editing and proofreading, layout of articles and processing in various

formats; the publication of high-quality content with specific minimum technical standards; processing Persistent Identifiers (PIDs) and similar tasks.

The following are the minimum non-exhaustive requirements:

- a) Editing, proofreading, layout and final preparation/production of the articles for publication;
- b) Content in the Platform shall not only be of high scientific quality, but also of high technical quality and in multiple formats (HTML, XML, PDF) to allow for seamless and free-of-charge reuse, including text and data mining, indexing (metrics) etc.
- c) At its formal launch (estimated M9 see Task 1 above), the Commission envisions that the Platform shall contain approximately a total of 100 items (pre-print posts and peer-reviewed publications, at least half of which peer-reviewed publications) covering all six major fields of science of the Frascati Manual.
- d) At the end of this Framework Contract, the Platform may contain 5600 peer-reviewed articles. These indicative numbers must in no way influence and/or compromise the integrity of the peer-review process to be implemented. The Contractor will be fully transparent regarding the costing of services overall and on a per-article basis to the European Commission, as well as to the public. For specifics on the pricing and offer for articles, see Annex 8 (price schedule).
- e) The Contractor will not charge the Commission for the process leading to the posting of pre-prints or for articles that have been rejected during the initial checks and have not undergone peer-review. The Contractor will not charge the Commission for different versions of the same article.

Deliverables (indicative)

The deliverables will be listed in the specific contracts.

- 3.1. Report on publication of articles-first version (M12)
- 3.2. Report on publication of articles-first version (M24)
- 3.3. Report on publication of articles-first version (M36)
- 3.4. Report on publication of articles-final version (M48)

2.3.4. Task 4 – Communication

Aim: ensure uptake of the Platform through a dedicated communication campaign at the beginning of the contract implementation and ongoing communication activities for the entire duration of the contract implementation.

Description: communication to ensure awareness of and gradual interest and commitment towards this new initiative is essential for the take-up of the work to be undertaken. The communication strategy must facilitate a strong momentum around the project already before the Platform is launched. Particular attention is pointed towards communication activities targeted towards Horizon 2020 beneficiaries. The overall aim of the communication strategy shall ensure maximum interest for submissions by authors with articles stemming from Horizon 2020 grants and maximum institutional interest in supporting the initiative.

The following are the minimum non-exhaustive requirements :

- a) Make proposals to the European Commission for the adoption of the formal name of the Platform, in consultation with the Commission. The provisional name of the Platform is 'Open Research Europe'. The final decision on the name rests with the Commission.
- b) Make proposals, accordingly, to the Commission on the domain name, for which the final decision also rests with the Commission.
- c) Develop and implement a communication strategy in order to ensure that the Platform is widely known and supported by the research community, research institutions, funders and other relevant stakeholders and the public. This includes both offline and online means directed at least to the aforementioned audiences, as well as for the general public.
- d) Develop the visual identity of the Platform in line with the requirements related to the visual identity of actions financed by the Commission.⁴⁰
- e) During the pre-launch phase, and as part of the communication strategy, the Contractor shall develop and deliver an awareness and outreach activity plan to promote the immediate use of the Platform by researchers as a publishing venue.
- f) Develop and ensure that a common visual identity is used in a consistent and coherent manner in all deliverables, including presentations, publications and on the website, and complying with the relevant Commission rules and guidance.⁴¹
- g) All communication activities for the Platform shall be in English.

Deliverables (indicative)

The deliverables will be listed in the specific contracts.

- 4.1. Communication strategy- first version (M3)
- 4.2. Communication strategy- intermediate version (M23)
- 4.3. Communication strategy- final version (M35)
- 4.4. Report of Communication activities and their impact (M15)
- 4.5. Report of Communication activities and their impact (M30)
- 4.6. Report of Communication activities and their impact (M45)
- 4.7. Campaign to inform all Horizon 2020 beneficiaries EU funders and research institutions about the platform and elicit submissions- strategy, means, materials used (M3)
- 4.8. Visual identity of the platform (M3)

2.4 Reports and meetings with the Commission

2.4.1 Reports

The Contractor must supply the Commission with the following reports, related to planning and reporting of the work to be discussed during meetings with the Commission to assess

⁴⁰ See https://ec.europa.eu/europeaid/work/visibility/_en

⁴¹ See previous footnote.

progress and plan further (see next section on Meetings). These reports will be included as deliverables of the specific contracts.

Implementation of the tasks in the context of the Framework Contract begins on the date on which the first specific contract enters into force, i.e. the date of signature of the contract by the last contracting party (M1).

The deadlines set out below cannot be extended. The Contractor is deemed solely responsible for delays caused by subcontractors or other third parties (except for rare cases of force majeure).

<u>Month</u>	<u>Meeting</u>	<u>Planning reports</u>	<u>Annual Reports</u>	<u>Relation to Contract</u>
1	Framework Contract Kick-off meeting	N/A	N/A	Framework Contract
2	Inception meeting	Inception report and Annual Work Plan I	N/A	Specific Contract
13	Annual Progress meeting I	Annual Work Plan II	Interim report I	Specific Contract
25	Annual Progress meeting II	Annual Work Plan III	Interim report II	Specific Contract
37	Annual Progress meeting III	Annual Work Plan IV	Interim report III	Specific Contract
46	Final meeting	N/A	Final report	Specific Contract
TBD	Possible meeting for Framework Contract overall progress discussion	N/A	N/A	Framework Contract

Inception report

This report shall describe how the Contractor is going to implement the Framework Contract as a whole, including the organizational and managerial structure the Contractor has/will set up to guarantee that all objectives of the contract are met. The report shall also specify in detail the resources and objectives provided. A detailed work plan including the allocation of personnel per task per number of working-days shall be provided.

Annual Work Plan

An Annual Work Plan (AWP) must be delivered by the Contractor in approximately 20 pages each year. It will set out the activities that the Contractor will be accomplishing quarterly. The annual work plan shall include all planned tasks required to meet the deliverables laid down in the specific contracts and as the the overall objective of the framework contract. The AWP can be revised on the initiative of either the Commission or the Contractor. The Commission or the Contractor has to inform all contracting parties well in advance (2 weeks) before any amendment to the AWP can be approved. The EC is solely responsible for approving the final version of it. Any amendment to the AWP is subject to the prior approval of the Commission.

Interim reports

Each of the interim reports will focus on reporting for the work between months M1-12, M12-24, M25-36, respectively.

The interim reports must:

- describe concisely and precisely the progress achieved over the reporting period in the implementation of the framework contract
- include a SWOT analysis, best practices, lessons learnt and recommendations for the following period based on the experience during the reporting period
- include a section about possible problems in the performance of the contract, mitigating measures implemented and impact
- include a financial table, showing budgetary consumption against total budget

Each report (except the final version of the final activity report) must have an introductory page providing an overview and orientation of the report. It shall describe, on the one hand, what parts of the document have been carried over from previous reports or have been recycled from other documents, and on the other hand, represent progress of the study work with reference to the work plan.

Final report

The Contractor shall deliver the final report at the end of the framework contract (M47). It shall provide a coherent overview of the work performed in the duration of the framework contract, as well as the important results and achievements. It must outline difficulties, as well as suggest paths for the future and also on the basis of the other deliverables included in the specific contracts. The final report will be discussed at the final meeting of the Contractor with the European Commission and will be finalized by month 48 and submitted electronically, subsequent to comments and possible requests for modifications/improvements by the Commission.

The final report must also include:

- information defined in 3.6 (handover)
- an abstract of no more than 200 words and an publishable executive summary between 3000 and 4000 words in English.

Both the final report and the publishable executive summary must also contain the following:

- specific identifiers which must be incorporated on the cover page provided by the Contracting Authority;
- the following 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 report. 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.”

Report format and delivery modes

The Contractor must supply the Commission with one copy of each of the reports by electronic mail. Electronic files must be provided in .doc or .docx format. The final activity report must also be delivered in .pdf format and in 10 hard copies. Reports are associated in time with meetings where progress and further planning is discussed (see next section on meetings). Drafts of reports are due 10 days before the scheduled meeting. Annual work plans and interim reports shall be no longer than 20 pages (excluding annexes), while the inception report, and the final report shall be between 30-50 pages (excluding annexes) and provide a concise and clear description of what will be done/has been achieved.

2.4.2 Meetings

Meetings within the Framework Contract

The Contracting Authority will organise soon after the signature of the framework contract one kick-off meeting at the Contracting Authority's premises in Brussels with the Contractors in order to plan and implement the implementation of the foreseeable specific contracts. If needed and requested by the Contracting Authority, a second meeting will take place to discuss the progress of work and compliance with the procedures and with the quality standards.

Meetings within the Specific Contracts

A schedule of annual meetings at the Contracting Authority's premises will be agreed with the Contractor for this assignment, in line with the timetable provided above and aligned with the reporting schedule. A total number of five meetings is provisioned, namely an inception meeting and a final meeting at the beginning and end of the contract, and three meetings annually in between.

The aim of the annual meetings will be to assess and guide the work of the Contractor. In particular, they will allow setting-up the initial orientations, review progress at critical milestones and review the deliverables of the assignment, take corrective actions and change course of action, where necessary and within the parameters set by the framework contract and specific contracts. The inception meeting will serve to present the workplan to the Commission and elicit discussion about modalities, as well as change course of action on details, upon agreement between the Commission and the Contractor and within the limits of the Contract. The final meeting will serve to discuss the outcomes of the contract and sustainability issues (scenarios for future strategy development).

Such meetings will be attended by the project leader and senior staff members of the Contractor's team, as required. They will also be attended by members of an Internal Advisory Group (IAG) that the Commission has set up to monitor the performance of the Framework Contract. Other (external) experts might be invited by the Commission to participate. The Contractor will be present with relevant senior staff. All meetings will be chaired by the Commission (normally the chair of the IAG) and will take place in Brussels, unless explicitly agreed otherwise between the Commission and the Contractor. Each meeting will last one day unless agreed otherwise, according to the timetable indicated above (see earlier section on reporting).

The Contractor shall set up the annual progress meetings according to the following specifications:

- The Contractor shall prepare the agenda and send to the Commission 10 days before each meeting. The agenda will be proposed by the Contractor and approved by the Commission.
- The Contractor will deliver to the Commission the reports (interim and annual planning reports) corresponding to each meeting ten days before the meeting, along with any other preparatory documents.
- Within 5 working days following each meeting, the Contractor will circulate draft minutes of the meeting to all participants, together with copies of presentations given during the meeting and other related documents. The minutes shall be concise and concentrate on major decisions and shall list the open action points for the next reporting period.
- The finalised minutes, taking account of comments by all members of the IAG, shall be drafted by the Contractor and sent to the Commission no later than 10 working days after the meeting.

Audio and/or video conferences may also take place when necessary, and as agreed between the Commission and the Contractor.

2.4.3 Deliverables and terms of their approval

Deliverables are the ones listed at the end of each Task in section 2.3, as well as the interim and final reports, listed in section 2.4.1. They be listed in the relevant specific contracts. Except for the deliverables (reports) linked to payments, the Commission shall have 15 days from receipt to approve or reject deliverable(s) which are connected to specific contracts for Tasks 1, 2 and 4 and the Contractor shall have 15 days in which to submit additional information or a new deliverable. If the Commission does not react within this period, the report shall be deemed to be approved. In accepting or rejecting deliverables the Commission takes the opinion of the Internal Advisory Group into account.

2.5 Graphic requirements of the deliverables

2.5.1 Requirements for publication on the Internet

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

For the publishable executive summary the Contractor must respect the W3C guidelines for accessible pdf documents as provided at: <http://www.w3.org/WAI/>.

2.5.2 Graphic requirements

The Contractor must deliver all deliverables in full compliance with the corporate visual identity of the European Commission, by applying the graphic rules set out in the European Commission's Visual Identity Manual, including its logo. The graphic rules, the Manual and further information are available at:

http://ec.europa.eu/dgs/communication/services/visual_identity/index_en.htm

A simple Word template will be provided to the Contractor after contract signature. The Contractor must fill in the cover page in accordance with the instructions provided in the template. The use of templates for reports is exclusive to European Commission's Contractors.

3. CONTRACT TO BE AWARDED

Initiation of a tendering procedure imposes no obligation on the European Commission to award the contracts.

3.1 General terms of the contract

The contract that will be signed is a single framework contract. A draft of the framework contract to be concluded is annexed to these Tender Specifications (Annex I). It specifies the rights and obligations of the Contractor. No changes can be accepted by the Commission.

For the implementation, Article I.4.2 of the framework contract applies.

Depending on its needs, the European Commission will address its request for services in the means of specific contracts, depending on its needs.

Each specific contract will specify the deliverables to be provided during its implementation and the timetable for its implementation (indicative deliverables per task described above in section 2.3 on the Tasks).

The Contractor must perform the contract to the highest professional standards.

The Contractor will have sole responsibility for complying with all legal obligations incumbent on him/her, notably those arising from employment law, tax law and social legislation.

The Contractor may neither represent the Commission nor behave in any way that would give such an impression. The Contractor must inform third parties that he/she does not belong to the European public service, but is exercising the tasks on behalf of the European Community. No tasks of budget implementation can be entrusted to the Contractor.

The Contractor will be solely responsible for the staff carrying out the work, which may not be placed in a position of dependency in relation to the Commission.

3.2 Duration of the framework contract

The contract will start after both parties have signed it and the maximum duration of the framework contract is four years (48 months). See Article I.3.3 of Annex 1.

3.3 Special conditions of the framework contract

3.3.1 The implementation of the framework contract and the specific contracts:

For the implementation of the contract the Article I.4.3 of the framework contract applies.

3.3.2 Specific Contracts under the Framework Contract

Two types of specific contracts are planned under the framework contract: the first type of specific contract (Draft Model Specific Contract I) will be to implement Tasks 1, 2 and 4 described above (section 2.3), while the second type of specific contract (Draft Model Specific Contract II) will be for the publication of the peer-reviewed articles of the platform, i.e. Task 3. They are attached at the end of the Draft Framework Contract (Annex 1).

The first type of specific contract entails interim payments to the Contractor.

As regards the second type of specific contract, the Contractor will be paid interim payments on the basis of the number of articles published on the platform upon delivery of relevant deliverables (namely, 3.2 and 3.3).

The details of the two different types of specific contracts are set out in Article 4 of the model specific contracts (type I and type II) attached to the draft framework contract (Annex 1)

Deliverables

Each specific contract will specify the reports and deliverables to be provided during its implementation. The deliverables comprise those listed under Tasks 1-4 and the activity reporting listed in section 2.4.

Financial offer of the specific contracts

The financial offer of each specific contract must be completed using the Price Schedule form that will be annexed in each request for services.

3.3.3 Administrative arrangements for the management of the Framework contract at the European Commission level

DG RTD will be the overall manager for the Framework Contract defined in these tender specifications which includes the role of contact point for the Contractor. It will also be responsible for general coordination and maintaining an overview on the use of the Framework Contract. DG RTD is the Contracting Authority responsible for any modification of the Framework contract.

3.4 Payments

3.4.1 Terms of Payment

For the terms of payments see Draft Specific Contract I, Article 4 regarding Tasks 1, 2 and 4 and see Draft Specific Contract II, Article 4 for payments regarding Task 3. These draft contracts are annexed to the Framework Contract (Annex 1).

3.4.2. Costs

- Any costs incurred directly or indirectly during the implementation of the contract (e.g. travel and/or subsistence) are to be borne by the Contractor and will not be reimbursed by the Commission.
- All documentation required in order to provide full support for the publishing infrastructure must be made available to any subsequent provider. Any costs for preparing such documentation shall be borne by the supplier of the technical infrastructure of the Platform.
- As part of the implementation of this tender the Contractor will be called upon to demonstrate transparency in all processes, including the financial transparency of the actual costs of running this service and of the cost per article published.

3.5 Exploitation, Copyrights and Intellectual Property Rights

Exploitation of the results of the Framework Contract is described in section I.10 of the model contract (Annex 1).

Compliance with copyright law and other intellectual property legislation is of utmost importance to the Commission. In providing the services, the Contractor must ensure all compliance with applicable copyright provisions, other intellectual property legislation and the conditions in these tender specifications.

The framework contract for services (see Article II.13 of the General Conditions, Annex 1) includes detailed provisions related to license or transfer of pre-existing rights and to the Contractor's obligations related to intellectual property rights.

A list of all *pre-existing rights* to the *results* or parts of the *results* or a declaration stating that there are no such *pre-existing rights*, as provided for in Article II.13.4 of the Framework Contract (Annex 1), will be required of the Contractor with interim and final payments for specific contracts relating to Tasks 1, 2 and 4, according to Draft Specific Contract I, Article 4 (annexed to the Framework Contract, Annex 1). Additionally, according to article II.13.5, the Contractor warrants that it possesses rights to transfer to the European Commission pre-existing rights and has fulfilled all its responsibilities to the relevant rights holders.

3.6 Hand-over

The Contractor shall contribute to a complete, timely and smooth handover of the services to the European Commission or a third designated party towards the end of the contract. Preparations for the handover will start early in the Framework Contract.

The handover includes preparation of handover reports for the technical and business process of operating the Platform as a publishing service (see above Tasks 1 and 2 and related deliverables). The aim is to allow a smooth transition that will allow the Commission or a third party to take over the deployment and operation of the platform, as well as the related business processes.

The handover will culminate in the so-called Phase-out period of the Framework Contract, which shall start six months before the expiry of the contract, or before the termination date. During the Phase-out period the Contractor shall gradually transfer the service allowing a smooth continuation of all activities performed under the contract. Specifically, the Contractor will ensure that the Commission and/or a third party assigned by it has all the necessary knowledge gradually to take over all of the activities necessary for the smooth operation of the Platform as a publishing service, as well as providing assistance when needed.

The Contractor will be contractually obliged to ensure that the process is smooth and the handover possible, see Article I.13.1 of the Framework Contract (Annex 1).

4. EVALUATION AND AWARD

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 European Commission 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 to the next step.

4.1. Verification of non-exclusion

All tenderers must provide a declaration on honour (see Annex 2), 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. To this end, each member of the group must duly fill in sections I to VI of above-mentioned declaration; in section VII they shall indicate 'N/A', as this will be filled in only by the leader.

In case of subcontracting, all subcontractors whose share of the contract is above 10 % or all subcontractors whose capacity is necessary to fulfil the selection criteria must provide a declaration on honour signed by an authorised representative. To this end, they must duly fill in sections I to VI of above-mentioned declaration; in section VII they shall indicate 'N/A', as this will be filled in only by the leader.

The Contracting Authority reserves the right to verify whether the successful tenderer is in one of the situations of exclusion by requiring the supporting documents listed in the declaration of honour.

The successful tenderer must provide the documents mentioned as supporting evidence in the declaration on honour before signature of the contract and within a deadline given by the European Commission. This requirement applies to each member of the group in case of a joint tender. It also applies to all subcontractors whose share of the contract is above 10 % or to all 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 tenders, 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 European Commission 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 a joint tender, or a subcontractor) is not required to submit a specific document if the European Commission can access the document in question on a national database free of charge.

4.2. Selection criteria

Tenderers must prove their legal, regulatory, economic, financial, technical and professional capacity to carry out the work subject to this procurement procedure.

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.

4.2.1. Declaration and evidence

For the selection criteria, the tenderer (sole tenderer or leader in case of joint tender) must provide the declaration of honour (by filling in section VII of Annex 2) stating that the tenderer, including all members of the group in case of joint tender and including subcontractors if applicable, fulfils the selection criteria, for which a consolidated assessment will be carried out.

This declaration is part of the declaration used for exclusion criteria (see section 4.1) so only one declaration covering both aspects shall be provided by each concerned entity.

The European Commission will evaluate selection criteria on the basis of the declaration of honour. Nevertheless, it reserves the right to require evidence of the legal and regulatory, financial and economic and technical and professional capacity of the tenderer at any time during the procurement procedure and contract performance. In such case the tenderer must provide the requested evidence without delay. The European Commission may reject the tender if the requested evidence is not provided in due time.

After the contract award, the successful tenderer will be required to provide the evidence mentioned below before signature of the contract and within a deadline given by the European Commission. 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.

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 European Commission 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 European Commission can access the document in question on a national database free of charge.

4.2.2. Legal and regulatory capacity

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.

4.2.3. Economic and financial capacity criteria

The tenderer must have the necessary economic and financial capacity to perform this contract until its end. In order to prove their capacity, the tenderer must comply with the following selection criteria.

- **Criterion F1:** The annual turnover of the last two financial years must be above EUR 1 000 000; this criterion applies to the tenderer as a whole, i.e. the *combined capacity* of all members of a group in case of a joint tender.

Evidence (to be provided on request):

- Copy of the profit and loss accounts and balance sheet for the last two years for which accounts have been closed from each legal entity concerned and Annex 7 completed on the basis of these documents
- Failing that, appropriate statements from banks

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 document which the Contracting Authority considers appropriate. In any case, the Contracting Authority must at least be notified of the exceptional reason and its justification. The Commission reserves the right to request any other document enabling it to verify the tenderer's economic and financial capacity.

4.2.4. Technical and professional capacity criteria and evidence

A. Criteria 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 evidence must be provided only on request.

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 confirming successful implementation (where applicable).

- Criterion A1 – proven experience in developing and implementing IT infrastructure solutions for scientific publishing

1. Including a publishing platform that enables to fulfil the publishing workflow described in the characteristics of the required service (section 2.2) (i.e., submission, peer-review, publication, support of PIDs, interoperability with major indexers and search engines).
2. In several countries, at least three of which must be EU Member States, at the time of the tender submission

Evidence A1: The tenderer must provide a concise description of the main functionalities of at least 1 infrastructure solution for scientific publishing, which has been operational for the last three years and is used in numerous countries at the time of the tender submission.

- Criterion A2 – proven experience in developing and managing sustainable scientific publishing services

1. In several countries, at least three of which must be EU Member States, at the time of the submission of tenders
2. Including the development of publication policies and the management of the entire publication process from submission to publication, including post-publication curation and preservation.
3. Including previous experience in providing such scientific publication services in more than one scientific **field described in the OECD Frascati Manual.**⁴²
4. Including developing a successful sustainability strategy for a publishing service with diverse revenue streams.

Evidence A2: The tenderer must provide evidence and details for at least 1 scientific publishing service developed, including business processes and policies, rolled out and managed without interruption in the last three years and used in numerous countries at the time of the tender submission in more than one of the major scientific fields of the OECD Frascati Manual, and possessing a business strategy resulting in a steady flow of revenue from diverse sources and through the support of diverse stakeholders.

- Criterion A3 – proven experience in communication and dissemination

1. Including proven experience in providing a wide array of communication tools, print and online, for the promotion of a publishing service and the development of branding (including visual identity) for such a service.
2. Including experience in targeted communication towards different research stakeholders during the setup of a scientific publishing service.

Evidence A3: The tenderer must provide evidence of communication campaign(s) developed in the field of scientific publishing and rolled out across Europe intended towards diverse audiences.

B. Criteria relating to the team delivering the service

- Criterion B1 capability requirements of the team

It is up to the Contractor to demonstrate the suitability and experience of the team.

Indicatively, and as a minimum, the following profiles will be required to develop and maintain an open access publishing service (non-exhaustive list):

⁴² Since Horizon 2020 covers all scientific research, it is essential that the contractor has experience in scientific publishing in more than one field

- Profile 1: a project/business manager (over ten years of experience) in relevant services, with experience in open access publishing;
- Profile 2: handling editors (senior, over 5 years of experience and junior, between 2-5 years of experience);
- Profile 3: certified IT developers and IT support (senior and junior, as above);
- Profile 4: certified software engineer (at least 2 years of experience);
- Profile 5: metadata specialist/librarian (at least 2 years of experience);
- Profile 6: communications experts (senior and junior, as above).

Evidence B1: Evidence will consist of the CVs of the team responsible to deliver the service. It is not excluded that an individual expert contributes experience under more than one profile, and their role(s) in the proposed implementation should be specified.

CVs shall be prepared using the Europass CV.⁴³

- **Criterion B2 – language capacity:** the tenderer must prove experience of working in English (C2 level in the Common European Framework for Reference for Languages⁴⁴), in particular as regards scientific publishing.

Evidence B2: the tenderer must provide references to scientific publishing services delivered in English to the required level that have been operational in the last three years and through the CVs of the relevant team members.

4.2.5. Compliance with minimum requirements

Tenders must comply with all the minimum requirements set out in these Tender Specifications. Offers deviating from the requirements or not covering all minimum requirements set out in the tender specifications will be rejected on the basis of non-compliance with the tender specifications and will not be further evaluated.

4.3. Award criteria

The contract will be awarded based on 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.

Definitions of terms used in the award criteria:

In the following *feasibility* refers to an assessment of the practicality of the proposed approach to achieve the stated objectives – is it realistically doable?

In the following *relevance* refers to an assessment of suitability of the proposed approach to achieve the stated objectives -is it fit for purpose?

⁴³ Template available at <https://europass.cedefop.europa.eu/en/documents/curriculum-vitae>.

⁴⁴ See http://www.coe.int/t/dg4/linguistic/Cadre1_en.asp

In the following *effectiveness* refers to an assessment of the degree to which the proposed approach will be successful in achieving the stated objectives – will it produce the desired results?

Tenders must score a minimum of 70% for each criterion and sub-criterion and a minimum of 70% in total. Tenders that do not reach these minimum scores will be rejected and the tenders will not be ranked.

1. Quality and appropriateness of the proposed technical and methodological approach for delivering the tasks described under section 2.4 (70 points – minimum score 70%, i.e. 49 points)

This criterion will assess the relevance, quality and credibility of the strategies and methodologies proposed for performing the tasks set out in section 2.4 and for achieving the Platform as a service set out in section 2.2 of these tender specifications.

Indicative: The answer should be given using approximately 40 pages, excluding annexes

- 1.1. This sub-criterion will assess the feasibility, relevance and effectiveness of the *proposed technical infrastructure/IT solutions for the Platform*, (as described in Task 1 section 2.3.1) (20 points – minimum score 70%, i.e. 14 points).
- 1.2. This sub-criterion will assess the feasibility, relevance and effectiveness of the *proposed approach towards developing and managing the publications service of the pre-prints and scientific peer reviewed articles, including open peer-review and next generation metrics* (as described in Task 2, section 2.3.2) (40 points – minimum score 70%, i.e. 28 points).
- 1.3. This sub-criterion will assess the feasibility, relevance and effectiveness of the *proposed approach for, ensuring communication and dissemination and development of business strategies for sustainability* (link to Task 4, section 2.3.4) (10 points – minimum score 70%, i.e. 7 points).

2. Organisation of the work and resources (20 points – minimum score 70%, i.e. 14 points)

Indicative: The answer should be given using approximately 15 pages, excluding annexes

This criterion will assess how the roles and responsibilities of the proposed team and of the different 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 Tasks specified in section 2.3, and whether this allocation is adequate for the work. The tender shall provide an overview of the allocation of time and human resources and the rationale behind the choice of this allocation. Details shall be provided as part of the technical offer. The costing of the service shall be easily comprehensible and transparent, and shall aim to demonstrate the cost-efficiency of the service to be offered. Costing of article fees shall be justified. Clear reference to the task requirements shall be made in presenting how the work will be organized, and the parameters offered in the Price Schedule (Annex 8) respected.

3. Quality control measures (10 points – minimum score 70% i.e. 7 points)

The answer should be given preferably in approximately 10 pages, excluding annexes

This criterion will assess the quality control system applied to the service foreseen in these tender specifications. 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.

3.1 Quality control approaches to ensure high quality of deliverables and key performance indicators per task (5 points- minimum score 70%, i.e. 3,5 points).

3.2 Quality control to ensure continuity in service in the case of withdrawal of team member(s) (5 points- minimum score 70%, i.e. 3,5 points).

4.4. Ranking of tenders

The contract will be awarded to the most economically advantageous tender, i.e. the tender offering the best price-quality ratio determined in accordance with the formula below. A weight of 60/40 is given to quality and price.

score for tender X	=	<table><tr><td>cheapest price</td></tr><tr><td>price of tender X</td></tr></table>	cheapest price	price of tender X	*	100	*	price weighting (40 %)	+	total quality score (out of 100) for all award criteria of tender X	*	quality criteria weighting (60 %)
cheapest price												
price of tender X												

The tender ranked first after applying the formula will be awarded the contract.

5. ANNEXES

1. Draft framework contract
2. Declaration on honour
3. Legal entity form
4. Bank account form
5. Model Agreement/Power of attorney.
6. Letter of intent to be completed by subcontractors if any
7. Financial capacity form
8. Price schedule
- 9 Declaration concerning small of medium enterprises

ANNEX 1 - Draft Framework Contract

DRAFT FRAMEWORK CONTRACT

See separate document published under the "Document Library" tab of e-Tendering.

ANNEX 2 - Declaration on honour on exclusion and selection criteria

See separate document published under the "Document Library" tab of e-Tendering.

ANNEX 3 - Legal Entity

LEGAL ENTITY FORM

A FORM THAT YOU WILL FIND UNDER THE FOLLOWING LINK:

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

HAS TO BE COMPLETED BY THE TENDERER AND HAS TO BE ANNEXED TO THE TENDER.

IN CASE OF JOINT TENDER, THIS DOCUMENT HAS TO BE COMPLETED BY EACH JOINT TENDERER

ANNEX 4 - Bank Account

BANK ACCOUNT FORM

A FORM THAT YOU WILL FIND UNDER THE FOLLOWING LINK:

http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.seem

HAS TO BE COMPLETED BY THE TENDERER AND HAS TO BE ANNEXED TO THE TENDER.

IN CASE OF JOINT TENDER AND SUB-CONTRACTING, ONLY THE LEADING TENDERER HAS TO PROVIDE THE COMMISSION WITH THIS FORM.

THIS DOCUMENT SHALL BE SPECIFICALLY COMPLETED FOR THE ACCOUNT ON WHICH THE PAYMENTS WILL BE MADE DURING THE EXECUTION OF THE CONTRACT.

ANNEX 5 - Model of Agreement / Power of Attorney

See separate document published under the "Document Library" tab of e-Tendering.

ANNEX 6 - Letter of intent for subcontractors

See separate document published under the "Document Library" tab of e-Tendering.

ANNEX 7 - Accounting Balance Sheet

See separate document published under the "Document Library" tab of e-Tendering.

ANNEX 8 - Price schedule

Implementing the European Commission Open Research Publishing Platform

N° 2017/RTD/A6/PP06481/2017

Tenderer: _____

Date: _____

Signature: _____

The tenderer has to offer a price in euros for each item of the price schedule below, to be implemented through specific contracts.

- The European Commission will pay the Contractor to deliver the tasks for the development of the platform, its services and business processes, communication and sustainability (Tasks 1, 2 and 4). An indicative estimation of the cost of these tasks is 1 000 000 euros for the duration of the Framework Contract, i.e. for 4 (four) years. As an indication, no more than 20% of this budget should be allocated to Task 4. The remaining budget will be allocated towards the production of peer-reviewed articles (Task 3).
- In addition to the number of person-days calculated in the tender relating to the maintenance and further development of the portal infrastructure (Task 1), the Contractor shall make available 10% of the number of these person-days in order to address requests from Commission services for modification with respect to the functionalities of the portal that arise from circumstances that were not foreseeable at the time of the writing of these tender specifications or the writing of the tender itself. The amount needs to be indicated below in the section 'additional services' in the table.
- With regard to Task 3, the Commission will pay the Contractor the corresponding production cost per article which will be published. The basis for the costing of these fees must be detailed and justified in the technical offer (see above section 1.6). The offer for these fees shall be calculated on the basis of 5600 publications, as explained above (See Task 3, section 2.3.3). If this number is exceeded, the ceiling for the maximum expense to be incurred may be increased in line with public procurement rules⁴⁵. If the number of publications is lower, the Contractor will be paid according to the number of the published articles, on the basis of the per-unit price offered.

⁴⁵ Pursuant to Article 134(1)(e) and Article 134(4) of Commission Delegated Regulation (EU) No 2015/2462 of 30 October 2015 amending Delegated Regulation (EU) No 1268/2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union (hereinafter the 'Rules of Application'), the European Commission may use a negotiated procedure, without prior publication of a contract notice, for the award of new services which entail the repetition of similar services entrusted to the contractor who was awarded the original contract by the same

- The Contractor will not charge the Commission for the posting of pre-prints.
- All costs, including costs for travel and documentation, shall be included in the price to be offered by tenders in the schedule below.
- In the section on organization of the resources of the offer (see section 1.6 on the structure of tenders), tenderers shall explain in detail how they arrive at the suggested offers for each of the task and for the fees per article.

	Year 1	Year 2	Year 3	Year4	Total Cost
Task 1	<i>Tenderer to provide price including 10% person-days for additional services</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>
Task 2	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>
Task 4	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>	<i>Tenderer to provide price</i>
Task 3	5600 peer-reviewed publications * price per unit (<i>Tenderer to provide price</i> per unit)				<i>Tenderer to provide price</i>
Total price of offer					<i>Tenderer to provide price</i>

European Commission. That procedure may be used only during the performance of the original contract and at the latest during the three years following its signature.

ANNEX 9 Declaration concerning Small or Medium-Size Enterprises

See separate document published under the "Document Library" tab of e-Tendering.