



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
CLIMATE ACTION
Directorate C
Unit C.1 Low Carbon Technologies

CALL FOR TENDERS

N° CLIMA.C.1/SER/2014/0015

SERVICE CONTRACT FOR THE DESIGN OF AN EU INDUCEMENT
PRIZE FOR CO₂ UTILISATION

TENDER SPECIFICATIONS

TABLE OF CONTENTS

1.	INFORMATION ON TENDERING	3
1.1.	Participation	3
1.2.	Contractual conditions	3
1.3.	Joint tenders	3
1.4.	Subcontracting	3
1.5.	Content of the tender.....	4
1.6.	Identification of the tenderer: legal capacity and status	4
2.	EVALUATION AND AWARD.....	5
2.1.	Evaluation steps	5
2.2.	Exclusion criteria	5
2.3.	Selection criteria	5
2.4.	Award criteria	7
2.5.	Ranking and Award	9
2.6.	Compliance of technical offer.....	9
2.7.	Financial offer	10
3.	TECHNICAL SPECIFICATIONS	10
	ANNEX 1 - ADMINISTRATIVE INFORMATION FORM.....	15
	ANNEX 2 – QUESTIONNAIRE FOR JOINT BIDS AND SUBCONTRACTING	16
	ANNEX 3 – FINANCIAL OFFER TEMPLATE	18
	ANNEX 4 - LEGAL ENTITY AND FINANCIAL IDENTIFICATION FORMS	19
	ANNEX 5 - DECLARATION OF HONOUR	20
	ANNEX 6 - ACKNOWLEDGEMENT OF RECEIPT	22

1. INFORMATION ON TENDERING

1.1. Participation

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

1.2. Contractual conditions

The tenderer should bear in mind the provisions of the draft contract which specifies the rights and obligations of the contractor, particularly those on payments, performance of the contract, confidentiality, and checks and audits.

1.3. Joint tenders

Given the diverse areas of expertise required for successful completion of this contract, joint tenders are encouraged.

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

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

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

1.4. Subcontracting

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

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

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

Tenderers are required to identify all subcontractors. In case a tenderer relies on subcontractors to meet the required level under selection criteria, the subcontractor(s) concerned must provide the relevant supporting documents to that effect (see section 2.3).

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

1.5. Content of the tender

The tenders must be presented as follows:

Part A: Identification of the tenderer (see section 1.6)

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

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

Part D: Technical offer (see section 2.6)

Part E: Financial offer (see section 2.7)

1.6. Identification of the tenderer: legal capacity and status

The tender must include a cover letter presenting the name of the tenderer (including all entities in case of joint offer) and identified subcontractors if applicable, and the name of the single contact person in relation to this tender. Coherence must be ensured between the information in the cover letter and in Annex 1.

If applicable, the cover letter must indicate the proportion of the contract to be subcontracted.

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

Subcontractors must provide a letter of intent stating their willingness to provide the service foreseen in the offer and in line with the present tender specification.

In order to prove their legal capacity and their status, all tenderers (or the single point of contact / all members of the consortium, see paragraph 1.3) must provide a signed Legal Entity Form with its supporting evidence. The form is available on:

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

Tenderers that are already registered in the Contracting Authority's accounting system (i.e. they have already been direct contractors) must provide the form but are not obliged to provide the supporting evidence.

The tenderer (or the single point of contact / all members of the consortium, see paragraph 1.3) must provide a Financial Identification Form and supporting documents. Only one form per offer should be submitted (no form is needed for subcontractors). The form is available on: http://ec.europa.eu/budget/contracts_grants/info_contracts/index_en.cfm

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

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

2. EVALUATION AND AWARD

2.1. Evaluation steps

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

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

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

2.2. Exclusion criteria

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

The declaration on honour is also required for all subcontractors. The subcontractor must, if and when requested, provide all the supporting documents in relation to exclusion criteria.

The successful tenderer shall provide the documents mentioned as supporting evidence in Annex 5 before signature of the contract and within a deadline given by the contracting authority. This requirement applies to all members of the consortium in case of joint tender and to identified subcontractors whose capacities will be relied upon to fulfil the selection criteria.

2.3. Selection criteria

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

The evidence requested should be provided by each member of the group in case of joint tender and identified subcontractors whose capacities will be relied upon to fulfil the selection criteria.

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

2.3.1. Economic and financial capacity criteria and evidence

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

- Annual turnover of the last two financial years above €320.000

The following evidence should be provided:

- Copy of the profit & loss account and balance sheet for the last two years for which accounts have been closed,
- Failing that, appropriate statements from banks,
- If applicable, evidence of professional risk indemnity insurance.

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

2.3.2. Technical and professional capacity criteria and evidence

a. Criteria relating to tenderers

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

- The tenderer must prove experience in the field of promoting policy aims through the design of inducement prizes with at least two projects delivered in this field in the last three years with a minimum value for each project of €10000.
- The tenderer must prove expertise in the state of the art of CO₂ conversion.

- The tenderer must prove experience in survey techniques, data collection, inducement prize design techniques, drafting reports and recommendations.
- The tenderer must prove capacity to draft reports in native level English.

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

- List of relevant services provided, with sums, dates and recipients, public or private. The most important services shall be accompanied by certificates of satisfactory execution, specifying that they have been carried out in a professional manner and have been fully completed;

b. Criteria relating to the team delivering the service:

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

Team Leader: At least 5 years of experience in project management, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution experience, in projects of a similar size with experience in the management of teams of at least 3 people. Past experience of working for international public organisations.

Team for prize design: The proposed team must have a professional experience of at least 1 year in prize development, and must possess thorough expertise in the state of the art of CO₂ conversion technologies.

Language quality check: At least 2 members of the team shall have native-level language skills in English as guaranteed by a certificate or past relevant experience.

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

- The educational and professional qualifications of the persons who will provide the service for this tender (CVs) including the management staff. Each CV provided should indicate the intended function in the delivery of the service.

2.4. Award criteria

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

A maximum of 70 points will be attributed to criterion 1, a maximum of 20 points will be attributed to criterion 2, and a maximum of 10 points will be attributed to criterion 3. In addition a minimum threshold will be set up under this system of points:

Technical sufficiency levels: Selected companies will have to score a minimum of 35, 10 and 5 points under criteria 1, 2 and 3 respectively, with a minimum total of 65 points.

Tenders scoring less than 65 in the overall points total or less than the technical sufficiency level in the points awarded for a single criterion will be excluded from the rest of the assessment procedure. Since assessment of the tenders will focus on the quality of the proposed services, tenders should elaborate on all points addressed by these specifications in order to score as many points as possible. The mere repetition of mandatory requirements set out in these specifications, without going into details or without giving any added value, will only result in a very low score. In addition, if certain essential points of these specifications are not expressly covered by the tender, the Commission may decide to give a zero mark for the relevant qualitative award criteria.

1 Quality of the proposed methodology (70 points – minimum threshold 50%)

The degree to which the methodology shows the capacity to resolve the questions underlying in the tender in a realistic and well-structured way, as well as whether the methods proposed are suited to the needs set out by the Commission in the Technical Description.

Sub-criterion 1.1 Approach to the subject matter and context (15 points – minimum threshold 50%):

This criterion will assess the tenderer's proposal with respect to the European context, i.e. in-depth analysis of the European research and innovation market, the leverage effect of the inducement prize, the possible trends and policies supporting innovation in CO₂ utilisation.

Sub-criterion 1.2 Value added for promoting CO₂ utilisation (15 points – minimum threshold 50%)

This criterion will assess quality, relevance and feasibility of the proposed strategy for the prize development as well as the tenderer's approach to the specificities of CO₂ utilisation. This may be indicated by a demonstration of the challenges of the prize definition and may involve preliminary observations or expectations as to the outcome of the analysis.

Sub-criterion 1.3 Level of creativity and innovation (20 points – minimum threshold 50%)

This criterion will assess the quality and level of creativity and innovation of the proposed methodology for the organisation and development of the prize design. This includes quality of methodology used to identify the potential topics, experts and novel ways of mobilising private actors to participate.

Sub-criterion 1.4 Quality of communication plan (20 points – minimum threshold 50%)

This criterion will assess the quality and level of creativity and innovation of the proposed methodology for the communication plan, and the promotional campaign for the prize competitions.

2 Organisation of the work (20 points – minimum threshold 50%)

This criterion will assess how the roles and responsibilities of the proposed team and of the economic operators (in case of joint tenders, including subcontractors if

applicable) are distributed for each task. It also assesses the global allocation of time and resources to the project and to each task or deliverable, and whether this allocation is adequate for the work. The tender should provide details on the allocation of time and resources and the rationale behind the choice of this allocation.

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

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

2.5. Ranking and Award

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

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

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

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

2.6. Compliance of technical offer

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

2.7. Financial offer

The price range is fixed between €75000 and €80000 excluding VAT (including fees, travel and all other costs). Any offers received that do not respect the upper limit will be automatically excluded from the evaluation procedure. The lower limit is indicative. **Travel and subsistence expenses are not refundable separately**. For guidance purposes see Annex 3.

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

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

3. TECHNICAL SPECIFICATIONS

- General background

For a very long time, CO₂ was never considered an issue to which it was worth dedicating significant scientific attention. This has changed with the growing certainty about man-made climate change and the role of CO₂ as a greenhouse gas. CO₂ can be used as a raw material in industrial processes, notably by using the carbon component (C) through chemical or biological reactions. Research and first pilot installations have started on a number of different technology paths (polymerisation, mineralisation, bio-engineering, fuel production, etc.).

CO₂ utilisation is of interest for a number of reasons. First, it helps to reduce net emissions of CO₂ to the atmosphere and/or other environmental impacts. Furthermore, CO₂ utilisation offers alternatives for resources such as oil for the production of fuels and polymers. This can lead to other benefits, such as reducing energy dependency through local energy production. CO₂ utilisation may moreover offer competitive processes for European industry, especially in areas such as the chemicals sector where the EU is traditionally strong, and contribute to the circular economy.

Despite the potential environmental, energy security and economic benefits of CO₂ utilisation, most technologies are still in the early stages of development. The European Commission aims to stimulate continued innovation and development. Competitions, and in particular ex-ante (here called "inducement") prizes, are a proven way to achieve focus and progress in Research and Innovation (R&I) through projects that are otherwise rarely pursued via normal grants and business processes in enterprises.

At the EU level, several examples of such prizes already exist (e.g. the European Commission's Vaccine Challenge²) or are in the process of being developed (e.g. the European Commission's Horizon 2020 inducement prize competitions; please see page 11 below).

In recent years, governments, companies, charities and international organisations have increasingly been using inducement prizes, often as part of open-innovation strategies and crowdsourcing. Inducement prizes are competitions whereby prizes are awarded once a pre-defined, audacious yet feasible target has been reached. To ensure success, it is essential to garner the interest of the public and potential contestants via a strategic communication and

² <http://ec.europa.eu/research/index.cfm?pg=newsalert&lg=en&year=2012&na=na-160412>

marketing plan so as to mobilise companies, non-profit organisations and individuals across research communities to participate and collaborate in the competition.

In the context of CO₂ utilisation, inducement prizes can serve as a complement to the traditional tools employed in funding research and innovation such as grants. The use of a prize represents a major opportunity to mobilise private R&I investment, to attract non-traditional players, to create new partnerships and to incentivise researchers and innovators to take development risk, raise awareness of the challenges identified and lead to new, sustainable products and services.

The objective of this study is therefore to design a complete, 'turnkey' prize proposal to induce innovation in the area of CO₂ utilisation.

Since it is closely related to the current call for tender, it is important to note that the European Commission intends to launch several inducement prize competitions under the EU Programme for Research and Innovation, Horizon 2020, and, in this context, launched a prize design study in October 2013.³ This develops a prize design, including communication and marketing plans, in each of the following key areas:

- Transport
- Materials and creative industries
- Bio-economy
- Climate action, resource efficiency and raw materials
- Health

The designs developed by the aforementioned study will prepare the way for running prize competitions under Horizon 2020. In addition, they can help to inform the CO₂ utilisation inducement prize design that will emerge from the current call for tenders.

- General and specific objectives

The main outcome of the service contract resulting from this call for tender will be the production of a 'turnkey' inducement prize design to promote the utilisation of CO₂, including communication and marketing plans. The proposed prize design will have to identify advancements that are both feasible for the timeframe planned and sufficiently far from the state of the art to make them challenging.

The prize design will have to be compatible with other inducement prizes organised by the European Commission and shall notably fit seamlessly with prizes developed under Horizon 2020). The European Commission will provide updated information upon signature of the contract.

- Tasks

³ Please see <http://www.changemakers.com/europesfuture> for more information.

Task 1: Analyse research and innovation developments and the state of the art in the area of CO₂ utilisation to develop ideas for the prize competition. Determine how to build on existing results and identify experts in the field who can be invited to participate in the workshop (see task 2 below). (The final selection of experts shall be carried out in consultation with the Commission services). All existing efforts, trends and opportunities as well as market challenges shall be assessed, taking into account statements and publications from thought leaders in the field. Existing market failures, technical or cost barriers that are hampering progress shall be outlined. Clear award criteria for the prize competition that are ambitious but realistic shall be proposed, including on the amount of CO₂ utilised, the required minimum lifetime of the resulting products, and any possible sustainability parameters. The outcome of this task shall be put into the inception report and will be taken into account in carrying out all the other tasks of the tender.

Task 2: Organise a one-day workshop in close collaboration with the responsible Commission services to bring together an appropriate mix of 10-15 external experts. The tenderer shall demonstrate the capacity to mobilize and stimulate collaboration among stakeholders to participate in the workshop. The expert group consulted shall be multi-disciplinary and shall take into consideration the interests of potential consumer groups and potential regulatory obstacles. The workshop shall be used to discuss and validate the prize ideas developed by the contractor. The outcome of Task 2 shall be a draft prize design report including one or more draft prize designs.

Task 3: Establish a complete prize design with a clear road map for the execution of the different prize competition phases. The design has to include well-defined requirements and clear and measurable award criteria. The scale, size, timing, number of stages (single- or multi-) and design of the evaluation process shall be established in close collaboration with the Commission service in charge. The final prize design report has to include the eligibility criteria; the award criteria and contest rules.

Task 4: Create a comprehensive communication plan that will ensure sufficient user interest in the competition from potential contestants as well as the public in all stages of the competition and post-competition impact recommendations. The communication plan shall be coherent with related communication plans for other inducement prizes organised by the European Commission. It shall include a strategy for marketing and branding; a promotional campaign plan; measures to increase outreach; a draft event plan; a social media strategy; and cost analyses and estimates. The communication plan is part of the final prize design report.

The contractor may also propose to the European Commission any other activities deemed useful to ensure the quality of the outcome.

Deliverables

Reports

All reports and proposals shall be submitted in the English language. All approved reports shall be submitted electronically both in editable format(s) and in copy-protected PDF. The final report shall in addition be submitted in three paper copies.

- Inception report

The contractor shall deliver an inception report following the kick-off meeting of the study which shall take place no later than 4 weeks after the signature of the contract in which it will specify the methodology, resources and objectives provided in the tender. A draft of the report shall be made available to the Commission's services for information 5 working days before the inception meeting, unless otherwise agreed with the Commission's services. The report shall be finalised after the meeting taking into account all observations and comments raised at the meeting and will be submitted within 2 weeks after the kick-off meeting. The report shall be submitted in electronic format. Exchange of advance copies as well as other non-formal communications shall take place via electronic mail.

- Draft prize design report

Based on the outcome of the consultative workshop, the contractor shall provide a draft prize design report which includes timing, financial planning, competition phases and targets. The content of the report shall correspond to Task 3. The draft prize report shall be made available to the Commission's services within 16 weeks after signature of the contract by the contracting party.

- Final prize design report

The Final report shall cover tasks 3 and 4 and shall include

1. Executive summary including rationale and expected impact
2. Prize Design including management plan, eligibility criteria, award criteria and contest rules
3. Communication plan including communication activities, campaigning and Public Relations related to all phases of the prize management

The final prize design report should be made available to the Commission services no later than 24 weeks after signature of the contract by the contracting party.

Meetings/workshops

In terms of meetings and workshops, the contractor will have to organise a kick-off meeting, a consultative workshop and a final meeting, as follows:

- No later than 4 weeks after the signature of the contract the contractor shall organize a kick-off meeting to be held in Brussels on Commission premises and present the draft activities plan for the study.
- One consultative workshop shall be organised in Brussels (Commission premises can be used). Expenses for catering and for travel of participants are not required. The contractor has to provide Commission services with an agenda before and short minutes after the workshop, as well as with hand-outs or slides presenting its prize ideas.
- One final meeting shall be organised, which will give the Commission the possibility to guide and monitor the work of the contractor.

In addition, the contractor will organise telephone or video conferences as appropriate to discuss progress made.

- Duration of the tasks

The tasks should be completed within 6 months of the signature of the contract. The execution of the tasks may not start before the contract has been signed.

Place of performance

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

ANNEX 1 - ADMINISTRATIVE INFORMATION FORM

Organisation or individual:

NAME:

ADDRESS:

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

.....

PERSON AUTHORISED TO SIGN CONTRACT:

Name and position:

PERSON FOR ROUTINE CONTACT:

Name and position:

ADDRESS:

Telephone and E-mail:

Signature of Tenderer

ANNEX 2 – QUESTIONNAIRE FOR JOINT BIDS AND SUBCONTRACTING

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

Joint bid (refer to paragraph 1.3)

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

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

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

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

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

Subcontracting (refer to paragraph 1.4)

5. Does your bid involve subcontracting? Yes No

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

6. List of sub-contractors:

.....

.....

.....

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

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

Name of the sub-contractor:

.....

Official legal form:

.....

Country of registration:

.....

Statutory registration number:

.....

(Internet address, if applicable):

.....

Official address in full:

.....

.....

Contact person:

.....

Telephone number:

.....

Reasons for subcontracting:

.....

Role, activities and responsibilities of the sub-contractor:

.....

The volume or the proportion of the sub-contracting:

.....

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

.....

Tenderer:

Date:

Signature:

ANNEX 3 – FINANCIAL OFFER TEMPLATE

(for guidance purposes only)

Price and Estimated budget breakdown

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

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

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

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

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

	<i>Sub-total</i>
.....					
	Total

Signature of Tenderer

.....

Date

.....

ANNEX 4 - LEGAL ENTITY AND FINANCIAL IDENTIFICATION FORMS

These forms can be downloaded from

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

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

ANNEX 5 - DECLARATION OF HONOUR

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

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

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

or

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

full official name :

official legal form :

full official address :

VAT registration number :

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

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

➤ (Only for legal persons other than Member States and local authorities, otherwise delete)
declares that the natural persons with power of representation, decision-making or control¹ over the above-mentioned legal entity are not in the situations referred to in b) and e) above;

¹ This covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares.

- declares that [the above-mentioned legal person][he][she]:
- g) has no conflict of interest in connection with the contract; a conflict of interest could arise in particular as a result of economic interests, political or national affinity, family, emotional life or any other shared interest;
 - h) will inform the contracting authority, without delay, of any situation considered a conflict of interest or which could give rise to a conflict of interest;
 - i) has not granted and will not grant, has not sought and will not seek, has not attempted and will not attempt to obtain, and has not accepted and will not accept any advantage, financial or in kind, to or from any party whatsoever, where such advantage constitutes an illegal practice or involves corruption, either directly or indirectly, inasmuch as it is an incentive or reward relating to award of the contract;
 - j) provided accurate, sincere and complete information to the contracting authority within the context of this procurement procedure ;
- acknowledges that [the above-mentioned legal person][he][she] may be subject to administrative and financial penalties² if any of the declarations or information provided prove to be false.

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

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

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

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

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

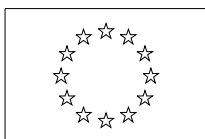
Full name

Date

Signature

² As provided for in Article 109 of the Financial Regulation (EU, Euratom) 966/2012 and Article 145 of the Rules of Application of the Financial Regulation

ANNEX 6 - ACKNOWLEDGEMENT OF RECEIPT



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

(Please fill in your address)

ACKNOWLEDGEMENT OF YOUR TENDER

Our reference: Open Procedure CLIMA.C.1/SER/2014/0015

Your reference:

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

We thank you for your interest.

MarketsTeam
SRD.2

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