



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
REGIONAL POLICY
Conception, impact, coordination and evaluation
Coordination of evaluation

Brussels, 27.07.2001 106864
REGIO.A.3./JS D(2001) 230494

Subject : Call for tenders by open procedure for the thematic evaluation on the contribution of the Structural Funds to sustainable development.

Ref. : 2001.CE.16.0.AT.050.

Dear Sir or Madam,

The European Commission wishes to carry out a thematic evaluation on the contribution of the Structural Funds to sustainable development. You will find hereafter the tender specifications.

If you wish to submit a tender, you are asked to send five (5) copies of your bid to the following address:

European Commission
Directorate-General for Regional Policy
Coordination of evaluation
Building CSM2 - office 2/16
rue de la Loi 200
B-1049 Brussels

Bids may be submitted:

- by registered post, by 21.09.2001 at the latest (the postmark will be accepted as proof of submission);
- by hand - including by private delivery company, at the secretariat of Mr Bougas, office 2/16, Cours St Michel, avenue de Tervuren 41, 1040 Brussels by 16.00 on 21.09.2001 at the latest. In this case, proof of submission will be by means of a dated and signed receipt issued by the receiving official.

It is preferable to submit the bid by registered post.

Bids must be submitted in two envelopes, one inside the other. Both envelopes are to be sealed. The inner envelope must, in addition to the details of the addressee, be marked: **"Call for tenders No 2001.CE.16.0.AT.050, tender by [*name of company*]; to be opened only by the committee responsible for opening bids"**.

If self-sealing envelopes are used, they must be sealed by adhesive tape, with the sender's signature written across it. Self-sealing envelopes that can be opened and resealed will not be accepted.

- (1) Bids must be denominated in Euros.
- (2) Submission of a bid will be taken to imply acceptance of our "General terms and conditions applicable to contracts" in respect of all matters not covered by this invitation to tender.
- (3) Expenses incurred for the purpose of drafting and submitting bids will not be refunded.
- (4) Bids shall be valid until one year after presentation of the tender.
- (5) Documents submitted by tenderers shall become the property of the Commission and shall be treated as confidential.
- (6) Bids will be opened on 28.09.2001 at 16.00 at CSM2 0/152, avenue de Tervuren n 41, 1040 Brussels.
- (7) The specifications are included hereafter.
- (8) Tenderers will be informed whether their bids have been accepted.

For any further information concerning this call for tenders, you may contact Ms. J. Salmon, tel: (+32.2) 295.16.85, fax: (+32.2) 296.33.24, e-mail: joelle.salmon@cec.eu.int or Mr. Peder Christensen, tel: (+32-2) 296.57.46, fax: (+32-2) 296.33.24, e-mail: Peder.Christensen@cec.eu.int.

Yours faithfully,

Signed

A. Bougas
Head of Unit

CALL FOR TENDERS BY OPEN PROCEDURE
N° 2001.CE.16.0.AT.050
*THEMATIC EVALUATION ON THE CONTRIBUTION OF THE STRUCTURAL FUNDS
TO SUSTAINABLE DEVELOPMENT.*

OTHER SPECIFICATIONS

1. SELECTION CRITERIA

Tenderers will be selected on the basis of the following criteria:

- Financial and economic standing;
- Technical capacity;
- Assurance that there is no conflict of interest;
- Experience of coordination of EU-wide studies;
- Knowledge of structural policies.

Proof of financial and economic standing may be provided by one or more of the following:

- bank declarations;
- balance sheets or summarised balance sheets;
- a statement of general turnover or turnover relating to the services in question, covering the last three financial years.

Proof of technical capacity, experience in coordinating Community-wide studies and knowledge of structural policies may be provided by one or more of the following:

- certificates of studies and professional qualifications of the service provider and/or managers, in particular the person or persons responsible for the service provided;
- a list of the main services provided over the past three years, with the amount, the date, and the name of the public- or private-sector recipient of the services;
- a statement of the tenderer's average annual staff numbers and the number of management staff over the past three years;
- a statement listing the technical, office-technology and computer equipment and facilities which the tenderer has available for performing the services to be provided;
- study and research resources;

- an indication of any portion of the contract which the tenderer may intend to subcontract.

Tenderers are requested to provide evidence of their enrolment in the professional or business register, or a statement on oath or certificate, in compliance with the conditions laid down in the Member State in which they are established.

Assurance that there is no conflict of interest may be provided in the form of a sworn declaration stating that the tenderer does not possess, directly or indirectly, interests of a type or scale such as to jeopardise their independence in carrying out the tasks entrusted to them in performance of the contract covered by this call for tenders.

2. ATTRIBUTION CRITERIA

The contract will be awarded according to the offer giving the best value for money. It will be determined on the basis of the price and the quality of the tender, the two criteria having the same importance.

The quality of the tender will be assessed according to the following criteria:

- the proposed theoretical economic framework for assessing regional sustainability (25%)
- the proposed tools and methodologies for assessing sustainability within the theoretical framework (20%)
- the proposed quantitative data to be collected from statistical and other sources (15%)
- the proposed analytical framework for assessing how regions generate and select projects (20%)
- the proposed data to be collected concerning project generation and selection (20%)

3. REPORTS

See the terms of reference.

4. PAYMENT

- 30% of the total amount within 60 days of the signature of the contract;
- 40% within 60 days after the adoption of the intermediate report;
- the balance within 60 days after approval of the Commission of the final report.

5. BIDS MUST BE DRAWN UP IN ACCORDANCE WITH THE ATTACHED MODEL CONTRACT TO THIS CALL FOR TENDERS (ANNEX 1).

6. TENDERS HAVE TO COMPRISE :

- all information and documentation required to enable the contracting department to appraise tenders in accordance with the criteria described in point 1 and the rules for award of contracts in point 2;
- the price, in accordance with point 7.

7. THE ATTENTION OF THE TENDERER IS DRAWN TO THE FOLLOWING POINTS IN RELATION TO THE PRICE :

- the price should be quoted in euros, using the exchange rates published in the C series of the *Official Journal* for the day on which the invitation to tender was published.
- the bid (maximum of 500.000 €) must be all-inclusive (submission of a fixed price expressed in euros)
- the bid must include a separate estimate of travel and subsistence expenses. This estimation will be based on Annex IV of the contract, will include possible travel necessary to meet the Commission services and will constitute the maximum amount of accommodation and travelling expenses which could be paid for all the benefits.
- the bid must include a separate budget for the participation of up to five external experts in up to three meetings in Brussels. The budget should cover the travel and hotel costs of the experts as well as a remuneration of 1.5 days per meeting. The experts should be remunerated at the same daily rate as a senior consultant of the evaluator.
- Under Articles 3 and 4 of the Protocol on Privileges and Immunities of the European Communities, the Community is exempt from any duties, taxes or charges, including VAT, and these should not, therefore, be taken into account when calculating the price quoted; VAT should be shown separately

8. TENDERS FROM THE CONSORTIA OF COMPANIES OR GROUPS OF SERVICE PROVIDERS MUST SPECIFY THE ROLE, QUALIFICATIONS AND EXPERIENCE OF EACH MEMBER OR GROUP.

9. OTHER RELEVANT POINTS

GROUND FOR EXCLUSION

Requests to participate must be accompanied by:

an extract from the judicial record or an equivalent document issued by an authority in the country in which the candidate is established proving:

- that he is not bankrupt or being wound up, he has not terminated or suspended his activities, his affairs are not being administered by the court, he does not have an

agreement with his creditors or any similar measure, nor is he the subject of any proceedings of this nature;

- he has not been convicted of an offence concerning his professional conduct which cannot be appealed against;
- a certificate issued by an appropriate authority in the country in which the candidate is established proving that he has fulfilled his obligations in respect of the payment of social security contributions and taxes.

PENALTIES

Without prejudice to any existing or potential liability under the contract, or to the Commission's right to terminate the contract, the contractor shall pay the Commission, for each day's delay beyond the agreed date in completing the work for which it is responsible, a penalty of 50% of the amount of the contract divided by the number of days' duration of the contract. In any case, the total amount of the penalty cannot exceed 50% of the total amount of the contract.

APPLICABLE LAW AND JURISDICTION

Any dispute between the Commission and the contractor or any claim by one party against the other under this contract which cannot be settled by the contracting parties out of court shall be brought before the courts having jurisdiction for the defendant's domicile. Those courts shall apply their domestic law.

CLAIMS ON THE COMMUNITY

Any notification of transfer of a claim must be made to the Director-General of DG Regional Policy, and must indicate the date, subject and references of the contract from which the claim originates, and the name of the official who signed the contract.

BIDS IN REPLY TO THIS CALL FOR TENDERS SHOULD, AS FAR AS POSSIBLE, BE DRAWN UP IN ACCORDANCE WITH THE ATTACHED MODEL FOR TENDERS

10. OPENING OF TENDERS

Bids will be opened on 28.09.2001 at 16.00 at CSM2 0/152, avenue de Tervueren n° 41, 1040 Brussels. Tenderers may be present at the opening of tenders. Each tenderer may take part or send a representative.

Annexes of the specifications : I Contract
 II General conditions.

MODEL FOR TENDERS

A. General information

1. name, address, telephone and fax number, and address of electronic mail (so available) of the tenderer and of the contact person
2. legal status
3. VAT number
4. name of the person permitted to sign the contract
5. subsidiary companies or associated likely to be involved in the contract
6. list of first suitable work for the Commission and the outside, with the details of their importance for the contract
7. other information to tenderers' discretion
8. number of bank account and complete reference of the bank

B Proposed methodological approach

(see terms of reference)

C. Financial provisions

Tenderers should present the price as follow:

1. The total costs of the study (exclusive of VAT)
2. The manpower envisaged total (in men/days).
3. VAT.
4. Travel and subsistence expenses.
5. Budget for five external experts for up to three meetings in Brussels

Thematic evaluation

The contribution of structural funds to sustainable development

Terms of reference

1. Context of the evaluation

The EU's regional policies aim at improving economic and social cohesion between the regions. Structural funds are geared to bring improvements in the competitiveness and quality of life in the assisted regions.

The Amsterdam Treaty, which came into effect in 1999, made sustainable development a core task of the EU. Against this background the Heads of State and Government asked the European Commission at Helsinki in 1999 to elaborate an EU sustainable development strategy and submit it to the European Council in June 2001. Concerning the EU Structural Funds the new Structural Fund Regulation¹ for the period 2000-2006 has moved the sustainability of economic development to the core of regional development policies. Therefore, there is a need to establish a sustainable regional development model that aims at ensuring that the per capita levels of human well being of future generations are not inferior to those of current generations².

The idea of sustainable development arose from the need to preserve natural resources. However, from the perspective of economic development natural resources are not the only form of capital necessary. Man-made, human, social and natural assets are all essential factors in economic development. Therefore, sustainable development has come to be defined more broadly as economic development, where the goals of economic growth, environmental sustainability and social balance are achieved simultaneously³.

As set out in the EU sustainable development strategy, sustainable development is an overall policy objective and regional development policies are only one of several policy instruments which are needed in order to achieve sustainable development⁴. However regional development policy and the structural funds can make an important contribution to the achievement of sustainable development, but the adoption of sustainable development as a core priority in the 2000-2006 programming period needs to be backed up by appropriate tools, methodologies and management processes.

2. Objectives of the evaluation

¹ Council Regulation (EC) No 1260/1999 of 21 June 1999 laying down general provisions on the Structural Funds.

² The Brundtland Report, UN 1987

³ See e.g. the OECD, the UN, the Amsterdam Treaty and the Structural Fund Regulation

⁴ See the conclusions from the Göteborg European Council, 15 and 16 June 2001 as well as the European Commission's consultation paper on an EU sustainable development strategy, March 2001

The present evaluation is not an ex ante, mid term or ex post evaluation, but a policy evaluation with the aim of evaluating the contribution of the structural funds to the horizontal objective of sustainable development. In particular the present evaluation has three main objectives:

1. To develop methods, indicators and approaches for the evaluation of regional sustainable development.
2. To identify ways throughout the delivery system for structural funds to generate better projects promoting sustainable development.
3. To identify the main policy trade-offs being made in regional development policies either explicitly or implicitly.

3. Uses of the evaluation

The evaluation of regional sustainable development will have three main uses:

- The evaluation will provide tools and methodologies which can assist regions, Member States and the EU in assessing the sustainability of their development plans.
- The findings of the evaluation will be used to enhance sustainability of the structural funds programs in the 2000-2006 period, for example in the context of the mid-term review of structural funds programs .
- The findings will be used in the preparation of structural fund policies beyond 2006.

4. Scope of the evaluation

The evaluation will cover all of the Structural Funds, i.e. the European Regional Development Fund (ERDF), the European Social Fund (ESF), the European Agricultural Guidance and Guarantee Fund (EAGGF), Guidance Section, and the Financial Instrument for Fisheries Policies (FIFG). The Cohesion Fund is included in the scope of the evaluation in relation to the Cohesion countries and its synergy with Objective 1. The evaluation will be based on a selection of Objective 1 and 2 Regions in the 2000-2006 programming period as well as the Community Initiatives INTERREG, URBAN and LEADER.

5. Outputs of the evaluation

The main output of the evaluation will be an overall synthesis report in two volumes. Volume 1 should set out the concepts and methods used in the evaluation. Volume 2 should synthesise the main empirical findings and explain the main policy finding. In addition to the synthesis report a report for each of the individual CSFs, SPDs and OPs selected should be prepared. These reports should all be in a format, which would allow

them to be published. The reports for the individual CSFs, SPDs and OPs should be planned and produced on the basis that they will feed into the overall synthesis report.

The synthesis report should be available in English. The reports for the individual CSFs, SPDs and OPs selected should be available in English, with an executive summary available in the language of the member State of the region.

An Analytical and Policy Driven Evaluation

Both the regional evaluations and the EU level synthesis should provide policy conclusions and recommendations. The emphasis of the evaluation reports should be analytical rather than descriptive. They should be clear and concise documents which avoid unnecessary technical language.

6. Tasks to be carried out in the evaluation

The objectives give rise to a number of tasks to be undertaken by the evaluator. The core tasks which must be undertaken are listed below:

6.1 Development of an analytical framework for the evaluation

The evaluator should define an analytical framework to be used in the evaluation. The analytical framework should set out the methodology for evaluating sustainable regional development in the context of the present study. The analytical framework should allow both a top-down and a bottom-up analysis to be made. Therefore, the analytical framework should have the following two components:

6.1.1. Top-down: an economic framework for assessing regional sustainability at program level

The evaluator should develop an economic framework for assessing sustainable regional development. The framework should be based on the capacity of economic structures to generate human well-being by setting out how to analyse the assets and the development in the assets of regions. In this regard assets are understood as involving man-made, natural, human and social resources. Furthermore, the framework should set out how to analyse the impact of relevant technological improvements on assets in this context.

As a basis for this work the evaluator should provide:

- A critical review of current methodologies available for assessing sustainable development on the basis of a literature review.
- An overview and critical analysis of the most important guidelines, policy papers and past initiatives dealing with sustainability issues and of relevance for regional development.

The output of this task should be a document containing:

- A working definition of sustainable development for the purpose of this evaluation

- A theoretical framework derived from an economic development model based on assets for analysing sustainability
- Operational tools and methodologies for assessing sustainability within the theoretical framework.

It is expected that one key output of this task will be an indicator system, for example based on a selection of OECD and UN indicators of sustainability, which can be used to analyse the development in the different categories of assets of a region.

6.1.2. Bottom-up: a framework for assessing project generation and selection

The evaluator should develop an analytical framework for assessing how regions generate and select projects to be funded by EU structural funds. In this regard the analytical framework should enable the evaluator to assess the impact of both management structures and project selection criteria. The output should be an operational document describing how project generation and selection will be analysed.

6.2 Assessment of the contribution of structural funds to sustainable development

In the context of structural funds the contribution of structural funds to sustainable development can be assessed at three levels: CSF/SPD, OP and project⁵. The evaluator should make an assessment at all three levels.

CSF/SPD and OP level

Using the economic framework developed as explained in 6.1.1. above the evaluator should analyse for a selection of CSFs/SPDs and OPs the assets, the development of assets and the projected impact on assets of current programs. As a matter of example, the results of this analysis are expected partly to be based on indicators relating to fixed capital formation, natural resources, equal opportunities, social inclusion, educational levels and access to education (lifelong learning and other) as defined in the analytical framework.

On the basis of the analysis of assets and formation of assets conclusions should be made concerning:

- The main constraints on sustainability in a region
- The main trade-offs being made (explicitly or implicitly) in CSFs, SPDs and OPs
- The impact of large projects
- The impact of other policies on regional sustainability
- To the extent possible, the past and expected future impact of structural funds on human well-being

⁵ CSF: Community Support Framework, SPD: Single Programming Document, OP: Operational Programme.

For the purpose of this analysis the evaluator will examine a selection of CSFs/SPDs and OPs such as the following:

CSFs/SPDs: Portugal, Greece and the new German Länder.

OPs: At least 8 Objective 1 programs, which are not part of the selected CSFs/SPDs, as well as at least 8 Objective 2 programs.

Community Initiatives: At least 2 INTERREG, 2 URBAN and 2 LEADER programs. These programs should be related to the selected OP's or CSFs/SPD so that it is possible to consider their impact on sustainability in context.

Large projects: Large projects within the above programs should be the subject of a special analysis so that it is possible to consider the impact of large projects on sustainability in the context of a program and the impact on a region.

The evaluator is asked to include a proposal for a selection of CSFs/SPDs and OPs in the tender documentation. However, the final selection of CSFs/SPDs and OPs to be included will be made in agreement with the DG REGIO.

Project level

The project level should be analysed using the methodology developed as explained in 6.1.2. above. In particular the management structures of relevance to project selection and generation within OPs should be analysed.

On this basis it is expected that conclusions will be made regarding:

- Best practices facilitating generation of better projects promoting sustainable development
- Management structures facilitating or acting as barriers to generation of projects promoting sustainable development
- An assessment of the project selection criteria applied and their impact on the selection of projects promoting sustainable development

For the purpose of the analysis at project level the evaluator should analyse a subset of at least 8 OPs as well as selected projects funded under these OPs. The subset should include both Objective 1 programmes and objective 2 programmes. The subset should include some OPs being part of the selected CSFs/SPDs as well as some OPs not being part of a CSF/SPD.

6.3 Key fields and lessons for future action

On the basis of the examination of CSF's, programs and projects the evaluator should identify the key fields for future action. The evaluator is expected to make practical proposals as to how to improve the integration of the economic, environmental and social dimensions of development in the programming process. In particular it is expected that the recommendations will relate to:

- Improved tools and methodologies to analyse sustainability at the CSF and OP levels
- Proposals for program managers as to how to generate better projects promoting sustainable developments
- Proposals for adjustments to current programs
- Lessons for the Structural Funds after 2006

The findings should be considered in the context of the Structural Fund regulations for the 2000-2006 period, the Working Papers of the Commission Services which provide guidance to member States in the planning and implementation of the Structural Funds as well as the priorities identified in the Second Cohesion Report.

7. METHODOLOGY

Each of the tasks of the evaluation will require a methodological approach, which the evaluators should further describe in their tender documentation. A combination of methodologies will be used in the evaluation, including:

- Review of the relevant economic literature on economic growth and sustainability as well as other relevant research.
- Desk research based on Structural Fund documentation – CSFs/SPDs/OPs, ex ante, mid term, final and thematic evaluations and monitoring committee papers.
- Econometric modelling where appropriate and useful, using data from national statistical services, monitoring systems and other sources.
- Structured interviews with key stakeholders, particularly national and regional authorities, project managers, the European Commission, the main economic and social partners and members of monitoring committees.
- Case Studies where particular issues (e.g., implementation systems) can be examined in more detail in a small sample of OPs.
- Other field research, as necessary.

Data sources will include programming documents, evaluations, monitoring committee papers, economic literature, national and regional authorities' data systems, national statistics, etc.

The tender should identify the data requirements for each task and the approach to data collection should be described. A clear outline of the division of tasks between evaluators should be included, if different teams of evaluators are used.

8. ORGANISATION OF THE EVALUATION

The evaluation will be organised on the basis of a single contract with the Directorate General for Regional Policy. If the contractor will co-ordinate a team of evaluators in different regions or Member States, then the co-ordinating evaluator should identify the teams to be involved as part of the tender documentation, quantify the input of each member of the team in terms of days and explain the distribution of tasks between the different evaluators involved. In this case the co-ordinating contractor will exercise a quality control role in relation to the teams of evaluators. This will involve the co-ordination of the work from the planning stage through to the production of the partial reports as well as critical analysis of the individual evaluations and the requirement of further work, as necessary.

To guide the study DG REGIO will establish a Steering Group composed of representatives of the different Directorates General responsible as well as external experts. The evaluator will provide documentation for and attend 3 meetings of the Steering Group, in line with the timeframe outlined below.

DG REGIO in consultation with the evaluator will identify a maximum of 5 experts to participate in the steering group. The evaluator should include in his tender the cost of 5 experts attending 3 meetings in Brussels during the course of the evaluation. The budget for the experts should include travel and hotel costs and a remuneration for 1.5 days of work per meeting. The experts should be remunerated at the same rate as a senior consultant of the evaluator.

The evaluator should set out the terms on which the experts will be paid in his tender documentation. For this purpose the evaluator may base himself on his standard contract terms for subcontractors. However, the tender documentation should provide details of the daily rate of remuneration, which travel and hotel expenses are reimbursable as well as stipulate that the experts will be paid in Euro and per meeting within a certain limited time period such as 30 days after each meeting, if the experts ask for it.

The evaluator will be expected to attend monthly meetings with the Evaluation Unit of DG REGIO.

9. TIMEFRAME AND REPORTING

It is anticipated that the final evaluation report will be delivered 8 months after the contract with the evaluator is signed. The following table summarises the reporting requirements of the Commission and provides an indicative timetable.

Month	Output	Meeting *
0	Kick-off meeting: plan for the evaluation	DG REGIO
2.5	Agreed analytical framework and plan for the empirical research	Meeting with Steering Group
6	Results of the empirical research. CSF, OP and project studies completed	Meeting with Steering Group
7	Draft Final Synthesis Report	Meeting with Steering Group
8	Final Synthesis Report	Final presentation of report to DG REGIO**

* *Monthly meetings with DG REGIO will review progress and identify and resolve any problems arising.*

** *The evaluator will be asked to give up to three 1 seminars in Brussels communicating the main results and methodological developments to the appropriate Commission services and representatives from Member States.*

As described above under “5. Outputs” separate reports should be prepared for the individual CSFs/SPDs and OPs selected. However, in addition a number of interim reports should be delivered to ensure a feedback to the steering group at each of the main stages of the evaluation. In particular:

- An interim report setting out the analytical framework to be used should be produced at the end of the first stage of the evaluation.
- Interim progress reports for Portugal, Greece, the new German Länder and the other selected OP regions reporting on the empirical research should be presented at the end of the second stage.
- A draft synthesis report in two volumes should be presented to the Commission at the end of the third stage. Volume 1 of the final synthesis report should contain:
 - An executive summary of not more than 3-5 pages
 - A brief explanation of the concepts and analytical framework
 - A synthesis of the main results
 - Describe the key fields for future action
 - Provide a summary of findings for each of the CSFs/SPDs and OPs selected

Volume 2 of the final synthesis report should contain:

- An executive summary of not more than 3-5 pages
- A detailed explanation of the concepts and analytical framework used