



EUROPEAN COMMISSION

DIRECTORATE-GENERAL FOR ENERGY
Directorate C - Renewables, Research and Innovation, Energy Efficiency
Unit C3 - Energy Efficiency

CALL FOR TENDERS

N° ENER/C3/2018-447/06

"SUPPORT TO THE ESTABLISHMENT OF A COMMON EUROPEAN SCHEME FOR RATING THE SMART READINESS OF BUILDINGS"

TENDER SPECIFICATIONS

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1. INFORMATION ON TENDERING

1.1. Participation

Participation in this procurement procedure is open on equal terms to all natural and legal persons coming within the scope of the Treaties, as well as to international organisations. It is also open to all natural and legal persons established in a third country which has a special agreement with the Union in the field of public procurement on the conditions laid down in that agreement. Where the multilateral Agreement on Government Procurement¹ concluded within the World Trade Organisation applies, the participation to this procedure is also open to all natural and legal persons established in the countries that have ratified this Agreement, on the conditions it lays down.

1.2. Contractual conditions

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

1.3. Compliance with applicable law

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

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 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).

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 20 % and those whose capacity is necessary to fulfil the selection criteria.

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

1.6. Structure and content of the tender

The tenders must be presented as follows:

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

Part B: Non-exclusion (see section 4.1)

Part C: Selection (see section 4.2)

Part D: Technical offer

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

Part E: Financial offer

The maximum contract price is EUR 355 000 (three hundred fifty five thousand euros). Tenders with prices higher than the maximum will be considered unacceptable.

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 bear 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.

The quoted price must be a fixed amount which includes all charges (including travel and subsistence). Travel and subsistence expenses are not refundable separately.

Part F: Power of attorney (for consortia only)

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 be included in the tender as well. Subcontractors that are identified in the tender must provide a letter of intent signed by an authorised representative stating their willingness to provide the services presented in the tender and in line with the present tender specifications.

In addition the tenderer must fill and sign Annex I (identification of the Tenderer) and join it to the tender.

2. TECHNICAL SPECIFICATIONS

2.1. General background and reference documents

An ambitious legal framework for the promotion of energy performance of buildings

The Energy Performance of Buildings Directive (EPBD) is the main legal instrument of the European Union for the promotion of energy performance of buildings. The EPBD aims at promoting the improvement of the energy performance of residential and non-residential buildings within the Union, taking into account outdoor climatic and local conditions, as well as indoor climate requirements and cost-effectiveness.

The EPBD defines the energy performance of a building as the amount of primary energy needed, in the use phase, to meet the energy demand associated with a typical use of the building, which includes, inter alia, energy used for heating, cooling, ventilation, hot water and built-in lighting (mainly in non-residential buildings).

The objectives of the EPBD are the following:

- Creating a demand-driven market for energy efficient buildings, with the provision of information through certification and inspection.

The EPBD does not mandate any investment but addresses information barriers. Energy Performance Certificates (EPCs) schemes and inspection reports intend to provide information to building owners and tenants on the energy performance of their buildings, heating and air-conditioning systems, and on effective ways to improve these through building renovation works.

- Preventing sub-optimal investments with minimum energy performance requirements set at cost-optimal level.

The EPBD requires Member States to set and ensure minimum energy performance requirements for all building works: new construction, major renovation of buildings, and the retrofit of building elements (e.g. windows, technical building systems). The reference to cost-optimality ensures reasonably ambitious levels of requirements. At the same time, Member States must ensure that, from the end of the decade onwards, only nearly zero-energy buildings (NZEB) are built.

- Further catalysing the increase in energy performance of buildings and the transition to nearly zero-energy buildings with measures, including of financial and fiscal nature.

With the support of the EU, the EPBD requires Member States to establish measures and instruments, including those of financial and fiscal nature, to ensure the availability of capital needed to cover the costs associated with the upgrade of the energy performance of buildings. Article 7 of the Energy Efficiency Directive (EED) acts directly on the renovation rate, requiring actual energy savings and therefore encouraging building renovation to take place in practice. Article 4 of the EED on renovation roadmaps acts indirectly on the renovation rate and on enhancing access to finance. It requires Member States to map their building stock and define a roadmap for its renovation, without actual obligation to implement those measures. These measures, and Ecodesign regulations that ensure that the energy efficiency of building's appliances and technical building systems are constantly improved, supplement the EPBD.

The Clean Energy for All Europeans Package and the revision of the EPBD

The Clean Energy for All European Package³, adopted in November 2016, is an ambitious initiative of the European Commission aimed at revising a set of key directives of the energy sector, in order to create the conditions for the European Union to take the lead of a clean energy transition. The package will also contribute to achieve its ambitious commitment to cut CO₂ emissions by at least 40% by 2030, while supporting the modernisation of the EU's economy and the creation of additional jobs and growth for the benefits of all European citizens.

As part of the Clean Energy package, the European Commission proposed to amend the Energy Performance of Buildings Directive⁴, with three main objectives:

1. Promoting renovation of existing building stock by establishing long term building renovation strategies, supporting the mobilisation of financing and creating a clear vision for a decarbonised building stock by 2050;
2. Modernizing the Directive, encouraging the use of ICT and smart technologies to ensure buildings operate efficiently; and
3. Streamlining provisions where they have not delivered the expected results.

The agreement reached on the revision of the EPBD⁵ was approved by the European Parliament on 17 April 2018⁶ and by the Council on 14 May 2018⁷.

³ <https://ec.europa.eu/energy/en/news/commission-proposes-new-rules-consumer-centred-clean-energy-transition>

⁴ <http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1490877208700&uri=CELEX:52016PC0765>

⁵ http://europa.eu/rapid/press-release_IP-17-5129_en.htm

⁶ http://europa.eu/rapid/press-release_IP-18-3374_en.htm

⁷ https://ec.europa.eu/info/news/commission-welcomes-council-adoption-new-energy-performance-buildings-directive-2018-may-14_en

The Smart Readiness Indicator for buildings in the revised EPBD

The modernization of the EPBD to further promote smart building technologies (point 2 above) entails in particular the establishment of a Smart Readiness Indicator (SRI) for buildings.

This indicator will allow for rating the smart readiness of buildings, i.e. the capability of buildings (or building units) to adapt their operation to the needs of the occupant, also optimizing energy efficiency and overall performance, and to adapt their operation in reaction to signals from the grid (energy flexibility). The smart readiness indicator should raise awareness amongst building owners and occupants of the value behind building automation and electronic monitoring of technical building systems and should give confidence to occupants about the actual savings of those new enhanced functionalities.

Under the agreed text, the indicator will be established as an optional common Union scheme (i.e. the use of the scheme for rating the smart readiness of buildings should be optional for Member States) based on a combination of delegated – for its definition and its calculation methodology – and implementing acts – for detailing the technical modalities for the implementation of the scheme. In addition, a technical annex included in the revised EPBD sets a framework for the definition and calculation methodology of the SRI.

Technical support to the establishment of the Smart Readiness Indicator

In order to feed and support the process for establishing the SRI, the European Commission services launched in March 2017 a technical study aimed at investigating the possible scope and characteristics of such an indicator⁸. This study (which is planned to give its conclusion in August 2018) aims at exploring the concept of smart readiness in buildings, characterizing the relevant services and functions, and possible ways to calculate the smart readiness of a building through the assessment of available (smart ready) services. The study also aims at leading a preliminary investigation of the possible impact of the measure at the EU level.

Now that the shape of the provisions on the SRI as they stand in the revised Directive is known, including the technical framework provided by an additional technical annex, there is a need to supplement this first study. In particular, the requirement for establishing two legal instruments (for definition and methodology on the one side, and the implementation technical modalities on the other) has some implications and requires further technical work. The object of this tender is to provide technical input for this complementary work.

2.2. General and specific objectives

This service contract aims to provide technical inputs to feed the establishment of the SRI of buildings by the European Commission and the related proposals for delegated and implementing acts, in accordance with the provisions of the revised EPBD. Building on available results of the first study launched in March 2017 by the European Commission services, the service contract will deliver the technical inputs needed to refine and finalize the definition of the SRI and its calculation methodology. The service contract will also explore possible options for the

⁸ <https://smartreadinessindicator.eu/>

implementation of the indicator, in order for the Commission services to assess the technical modalities for an effective implementation of the SRI scheme, and produce the technical inputs required to assess the impacts of the scheme for the EU. The service contract will also support the dialogue with stakeholders and Member States in the policy making process.

The objectives of the service contract are:

- Based on available outcomes of the first technical study and on the text of the revised EPBD, to further detail the technical characteristics of the SRI, in order to support the Commission services in refining and consolidating the definition of the SRI.
- Based on available outcomes of the first study, on the text of the revised EPBD, and on the feedback from stakeholders and Member States, to propose a consolidation the smart ready service catalogue⁹ (i.e. services provided by building systems that are relevant for the calculation of the SRI) that will also feed the refinement and consolidation of the definition of the SRI by the Commission services.
- Based on available outcomes of the first study, on the text of the revised EPBD, and on the feedback from stakeholders and Member States, to provide the technical inputs for the Commission services to consolidate the methodology for calculating the SRI.
- To investigate the applicability of the SRI on a selection of reference buildings representative of the EU building stock.
- Based on the review of related initiatives and schemes at EU, national and regional levels, and on the feedback from stakeholders and Member States:
 - To investigate the possible approaches for the implementation of the SRI in the EU and to deliver the technical inputs needed for the Commission services to detail the technical modalities for the effective implementation of the SRI.
 - To investigate possible options to support and accompany the evolution of the SRI scheme in the long term.
- To thoroughly study the operational and organisational design of the SRI scheme, i.e. how the scheme can be set up, run and monitored, including possible mechanisms for verification, market surveillance and compliance.
- Based on a sound modelling approach, to perform a quantitative analysis of the possible impacts of the SRI in the EU on a set of well-defined parameters, taking into account a range of implementation options, and, to produce the technical inputs needed by the Commission services to develop the impact assessment of the SRI.

To achieve these objectives, contractors will engage in the following activities:

- To lead a critical in-depth review, covering aspects of interest for the definition and calculation methodology of the SRI: results of the first technical study; works aimed at characterizing the smartness of buildings and; initiatives that could be connected to the SRI.
- To give technical recommendations on possible updates on the technical scope of the SRI and on its technical framework, as proposed by the first technical study.

⁹ As drafted by the first technical study, see interim report available from the study website: <https://smartreadinessindicator.eu/milestones-and-documents>

- To further assess the catalogue of smart ready services produced by the first study, including through consultation of stakeholders, in order to give technical recommendations on the consolidation of the catalogue.
- To assess the draft methodological framework for the calculation of the SRI delivered by the first technical study, in order to identify possible updates and improvements and deliver technical recommendations to support the Commission services in the development of the methodology for calculating the SRI.
- To define a set of robust and flexible SRI implementation pathways in view of the rollout of the indicator in the EU, which account for the optional nature of the SRI. The objective will be to deliver the technical inputs needed for the Commission services to define the most appropriate technical modalities for the implementation of the SRI, taking into account the possibility for Member States to implement a non-committal test-phase at national level as stipulated in the revised EPBD.
- To define a set of operational, organisational and legal design options for the SRI scheme, including:
 - Organization of the scheme: clarification of roles, responsibilities and activities of players involved in the implementation of the scheme, including relationship to the Commission when relevant.
 - Operation: for a given organizational approach, how the scheme operates when it is in place. This includes e.g. monitoring, quality control, verification, and market surveillance.
 - Legal structures of the scheme: for a given organizational approach, assessment of legal issues that can emerge when the scheme is put in place and when it operates; clarification of liabilities; possible mechanisms of resolution.
 - Costs: for a given organizational approach, assessing the costs for involved parties (administration, building owners and users; etc.).
- To devise technical guidelines for a cost-effective and practically workable assessment of the SRI by experts, accounting for the possible variety of implementation approaches, experts' backgrounds, buildings and systems.
- To investigate the possible design and display of the SRI and how to adapt it over times if requirements evolve, ensuring the right level of stakeholder involvement.
- To devise guidelines for managing the post-adoption evolution of the SRI and related management procedures, when the SRI is adopted and evolves over time.
- Based on a solid methodology, a sound modelling approach and on clear impact criteria, to quantify and analyse the possible impacts of the SRI at EU level, under different implementation options, to feed the impact assessment performed by the Commission services.
- To ensure, during the whole duration of the contract, the communication of the results of the study to stakeholders and Member States and the collection of their feedback.
- To support the Commission services in all steps of the policy making process towards the establishment of the SRI legal acts. This includes but is not limited to supporting the Commission services in the analysis of the outcomes of open public consultations that could be led as part of the policy making process.

The offer will explain in detail how the contractors will achieve the objectives and activities outlined above. The offer shall demonstrate an excellent knowledge of policy making in the energy sector, of practical implementation of building labelling and certification schemes, of smart technologies in buildings, and of the results of the first technical study on the SRI. The offer shall describe in detail the approach envisioned for defining the SRI implementation pathways, and for producing the technical inputs to support the impact assessment related to the

SRI. The service contract should rely on clear and complementary expertise for the work envisioned.

2.3. Tasks

The following section describes the requirements concerning the scope of this work, which involves providing the Commission with:

- TASK 1: Technical support for the consolidation of the definition and the calculation methodology of the SRI.
- TASK 2: Investigation of SRI implementation pathways and of the format of the SRI.
- TASK 3: Guidance for effective SRI implementation.
- TASK 4: Quantitative modelling and analysis of the impact of the SRI at EU level.
- TASK 5: Stakeholder consultation and study website.
- TASK 6: Support to the policy making process.

TASK 1: Technical support for the consolidation of the definition and the calculation methodology of the SRI.

This task extends and finalizes the work performed on the smart ready catalogue and on the SRI calculation methodology in the first technical study on the SRI¹⁰. This first study has focused on giving input to the definition and underlying calculation methodology of the indicator, and performing a preliminary impact assessment, on the basis of the Commission proposal for the revised Energy Performance of Buildings Directive. It has delivered a catalogue of smart ready services – services provided by smart technologies in buildings – that comprises more than 100 services grouped into 10 domains. It has also proposed a methodological framework to calculate the SRI based on an assessment of available smart ready services. This task is divided into three different activities, to be addressed in sequence.

Targeted state-of-the-art review

The first objective of this task is to lead a critical targeted review, covering aspects of interest for the definition and calculation methodology of the SRI. This includes:

- Reviewing in detail the outputs from the first technical study, in relation to the definition of the SRI, the draft calculation methodology and the preliminary analysis of impacts and, to review in detail the feedback collected from stakeholders in the scope of the first technical study¹¹;
- Performing a targeted critical state-of-the-art review of works (standards, labels, EU collaborative projects, etc.) aimed at characterizing the smartness of buildings. This review should be well focused and cover relevant initiatives at EU, Member States, regional and local levels and, where relevant, should extend to other regions of the world.

¹⁰ The results of this work are available on the study website: <https://smartreadinessindicator.eu/milestones-and-documents>

¹¹ The related material will be provided to the contractor when the study starts.

- Performing a targeted critical state-of-the-art review of initiatives (certification and labelling schemes at first, such as Energy Performance Certificates, voluntary building passports, etc.) that could be related to the SRI or that SRI could have an impact on. This review should be well focused and cover initiatives at EU, Member States, regional and local levels and, where relevant, should extend to other regions of the world.

This review will be included in the first interim report delivered 4 months after project starts and will include the following elements: an executive summary, a brief description of the approach followed to identify relevant references, the list of references consulted, and the main conclusions of the review for the three review areas highlighted above. The objective will be in particular to highlight any conclusion that could lead to recommendations on the scope of the SRI. The review report will comprise 15 to 20 pages without possible annexes.

Technical recommendations for the definition of the SRI

Based on the outcomes of the state-of-the-art review, this activity aims first at proposing possible updates on the technical scope of the SRI and on its technical framework, as it was proposed by the first technical study. In doing so, the contractor will pay a particular attention to the key functionalities highlighted in the SRI technical annex of the amended EPBD¹² and will pay due attention to the issue of interoperability between systems (including data format), connectivity of buildings (in particular the influence of existing communication networks) and cybersecurity. This will feed the refinement and consolidation of the definition of the SRI, which the Commission services will address, with a twofold objective: ensuring that the scope of the SRI covers all aspects of interest and ensuring the SRI is fully complementary to relevant existing initiatives, in particular those linked to building performance, and in particular at EU level.

As a second step in this activity, the contractor will further assess the catalogue of smart ready services produced by the first study, including through consultation of relevant stakeholders, in order to propose any relevant updates. This includes possible updates on the scope, the structure and the contents of the catalogue. The aim will be to ensure the completeness of the catalogue and its alignment with the technical scope of the SRI, as defined in the revised EPBD. The aim will also be to streamline where possible the catalogue, ensuring that the consolidated list of services can be applied in practice. An important requirement is that, while the catalogue has to be opened to innovation, the services considered have to be supported by well-established technical knowledge (e.g. standards) and they have to be practically assessable when the SRI is in place, without leading to excessive time and cost of inspections. The services considered should also have a real influence in at least one of the key impact areas highlighted in the revised EPBD and the SRI technical annex. In this process, the contractor will describe the approach followed for the selection of services and smart services and will make sure that this approach is endorsed by the SRI stakeholder community, the building sector at large and, by Member States. The contractor will also make sure that the SRI catalogue gives a fair and balanced representation of smart technologies in buildings and adequately takes into account the value added by most advanced technologies (e.g. artificial intelligence).

¹² Ability to maintain energy performance and operation of the building through the adaptation of energy consumption; ability to adapt building's operation mode in response to the needs of the occupant; flexibility of building's overall electricity demand.

As a result of this activity, the contractor will deliver technical recommendations on the technical scope of the SRI and on the consolidation of the catalogue of smart ready services. These technical recommendations shall cover all information needed for the Commission services to draft the definition of the SRI. A first advanced version of these recommendations will be included in the first interim report delivered 4 months after project starts and will comprise 20 to 30 pages without possible annexes. Any further updates made to these recommendations in the course of the project will be included in the second interim report delivered 7 months after the project starts and in the third interim report delivered 12 months after the project starts.

Technical recommendations for the development of the calculation methodology of the SRI

Based on the outcomes of the reviews performed at the start of the study, and on the feedback collected from stakeholders, the contractor will first assess as part of this activity the draft methodological framework for the calculation of the SRI delivered by the first technical study, in order to identify possible updates and improvements. This includes in particular critically reviewing, based on the relevant technical state-of-the-art (e.g. standards), and making sure to remain in line with the technical framework given by the Directive, the impact domains initially identified and, in relation to the latter, the mapping between smart ready services and their impacts. This also includes reviewing the calculation approach, i.e. how the indicator is calculated from the assessment of buildings' capabilities. In order to further assess the appropriateness of the calculation methodology and the smart ready catalogue, the contractor will illustrate their application¹³ with a set of reference buildings, which should be representative of the EU building stock. This set must comprise at least the following types: residential building (single house and multi-apartment building), office building and hotel. It must also comprise at least three different configurations of smart ready technologies (e.g. basic, medium, advanced smartness) for each building type. This set will also include, for each type and each smart ready configuration, at least three climatic variants (e.g. temperate, hot, cold). The offer will give the number and characteristics of reference buildings and smart ready configurations selected and outline the rationale followed, highlighting how this set maps to the EU building stock taking into account possible evolutions (including due to the increased penetration of smart ready technologies). These reference buildings can be either theoretical and / or real ones and should as much as possible be in line with the real buildings selected for task 3 on the SRI implementation. The contractor will also assess if and how the calculation methodology could, or should be adapted to specific contexts, buildings, building types or any other specificities that may be encountered on the ground.

In the process of drafting the technical recommendations for the development of the calculation methodology, the contractor will make sure that the stakeholder community and member states endorse the orientations followed. This applies in particular to the approach followed for allocating impacts to smart ready services.

Where relevant (for instance in relation to circularity of building material), this activity will take into account the outputs from task 4 on the quantitative modelling and analysis of the impact of the SRI at EU level.

As a result of this activity, the contractor will deliver technical recommendations on the calculation methodology of the SRI. These technical recommendations shall cover all information needed for the Commission services to draft the methodology for calculating the SRI, according

¹³ In the scope of this activity, application means calculation of the SRI score(s), but on-site inspections will not be required.

to the framework given by the amended EPBD. A first advanced version of these recommendations will be included in the first interim report delivered 4 months after project starts and will comprise 20 to 30 pages without possible annexes. Any further updates made to these recommendations in the course of the project will be included in the second interim report delivered 7 months after the project starts and in the third interim report delivered 12 months after the project starts.

In all the activities of this task, the contractor will ensure that the SRI remains technology-neutral and that the calculation methodology is designed in order not to constrain the implementation of the scheme. In particular, it shall be possible to implement the SRI as a standalone scheme, or in combination with other building or labelling certification schemes. In addition, while giving a unique framework for the consistent calculation of the SRI across the EU, the methodology should also allow adapting calculation to context, if and where relevant. Lastly, the methodology will be designed in order to facilitate an efficient and cost-effective assessment of the SRI, which should be proven by a favourable cost/benefit analyses where necessary.

TASK 2: Investigation of SRI implementation pathways and of the format of the SRI

SRI implementation pathways

The first activity of this task aims at investigating the possible pathways for an effective implementation of the SRI in the EU. This first activity addresses several complementary objectives, as follows:

- Based on the review performed at the start of the study, identify the schemes and initiatives on which the SRI could build or connect to, in order to facilitate its implementation. This review shall focus but not be limited to schemes mandated or encouraged under the EU legislation (e.g. Energy Performance Certificate schemes under the EPBD, “broadband-ready” label under the Broadband Cost Reduction Directive¹⁴), initiatives promoted by the European Commission (in particular Level(s) voluntary reporting framework for building sustainability performance¹⁵, voluntary European Cybersecurity Certification scheme¹⁶, support for digitizing and automating the construction sector and its SMEs¹⁷, the principles of Building Information Modelling (BIM) and the relevant handbook for the introduction of BIM in the public sector¹⁸, a future European industrial digital platform for construction¹⁹, the digital building

¹⁴ Directive 2014/61/EU of the European Parliament and of the Council of 15 May 2014 on measures to reduce the cost of deploying high-speed electronic communications networks.

¹⁵ <http://ec.europa.eu/environment/eussd/buildings.htm>

¹⁶ Title III “Cybersecurity certification framework” of COM(2017) 477 final (Proposal for a Regulation of the European Parliament and of the Council on ENISA, the "EU Cybersecurity Agency", and repealing Regulation (EU) 526/2013, and on Information and Communication Technology cybersecurity certification ("Cybersecurity Act")).

¹⁷ https://ec.europa.eu/growth/sectors/construction_en

¹⁸ <http://www.eubim.eu/handbook/>

¹⁹ <http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/dt-ict-13-2019.html>

logbook²⁰, SAREF common ontology for smart appliances²¹ and related extensions for energy²² and buildings²³), well-established international and national building labelling and certification schemes (e.g. BREEAM²⁴ and HQE²⁵ sustainability certification schemes) and emerging initiatives for the promotion of smart buildings (e.g. SBA in France²⁶). Conversely, the contractor will identify the barriers that could prevent or slow down the wider adoption of the SRI in the EU and Member States.

- Identify and analyse the possible options for implementing the SRI at EU-level and at Member States-level. This part of the activity will – in the light of the state-of-the-art review from task 1 and, where relevant, relying on analogies with existing schemes – explore possible approaches for implementing the SRI in the EU and EU Member States. A broad spectrum of implementation options will be covered: implementation at EU-level and implementation at Member States (and combination of both); different approaches for assessing the indicator of a given building / building unit (e.g. on-site inspections by certified experts, self-assessment by building owners or third parties coupled with random control, etc.); different approaches for the organisation of the scheme (players involved, their roles, interactions and activities); different possible connections and coupling with existing schemes – being voluntary environmental performance schemes or national energy performance certificate schemes; where relevant, need for qualification / certification scheme of experts.; etc . For each possible option (or combination of options) identified, the contractor will assess related advantages and drawbacks, in particular in terms of ease of implementation, reliability of the scheme, complementarity, and costs (in particular potential costs for building owners).
- Define a set of robust and flexible implementation pathways for the rollout of the SRI in the EU. This set of pathways will consider the different implementation options identified, along different paths for the adoption of the SRI reflecting in particular different paces of adoption (e.g. application to all buildings from start or gradual application starting with specific categories of buildings, inclusion of a test phase, etc.) and different sets of supporting measures at EU and Member State levels.

As a result of this activity, the contractor will deliver a (30 to 40 pages without annexes) report covering all aspects described in the previous paragraphs, highlighting in particular technical guidelines and recommendations for an effective implementation of the SRI. This report shall cover all information needed for the Commission services to define the most appropriate technical modalities for implementing the SRI, according to the framework given by the amended

²⁰ https://ec.europa.eu/energy/sites/ener/files/documents/1_en_annexe_autre_acte_part1_v9.pdf

²¹ http://www.etsi.org/deliver/etsi_ts/103200_103299/103264/01.01.01_60/ts_103264v010101p.pdf

²² http://www.etsi.org/deliver/etsi_ts/103400_103499/10341001/01.01.01_60/ts_10341001v010101p.pdf

²³ http://www.etsi.org/deliver/etsi_ts/103400_103499/10341003/01.01.01_60/ts_10341003v010101p.pdf

²⁴ <http://www.breeam.com/>

²⁵ <http://www.behqe.com/home>

²⁶ <http://www.smartbuildingsalliance.org/>

EPBD. It will be included in the second interim report delivered 7 months after project starts. Any further updates made in the scope of this activity will be included in the third interim report delivered 12 months after the project starts.

Investigation of the format of the SRI

In addition to the previous activity, the contractor will investigate in this task the possible design of the SRI. An attractive, recognizable format that gives visibility to the SRI needs to be designed, which should be simple, transparent and easily understandable for consumers, owners, investors, and demand-response market participants. The format/label must be clear as to what the scope of the initiative that it represents/illustrates is and what its boundaries are and how it complements other relevant performances. In this work, the contractor will investigate different approaches (e.g. color-based indicator, numeric indicator, aggregated or composite, stickers, labels²⁷, etc.) and will highlight the advantages and drawbacks of each. In this process, the contractor will also make sure to collect and take into account the feedback from stakeholders, in particular those that represent the possible end users of the SRI (e.g. building owners and consumers). This consultation could e.g. take the form of focus groups and can also be an opportunity to collect some feedback on other practical aspects of the SRI, e.g. relevant price ranges for its assessment.

This work will lead to technical recommendations to support the Commission services in setting out the most appropriate format of the SRI in the methodology for calculating the SRI. These recommendations (10 to 15 pages without possible annexes) will be included in the second interim report delivered 7 months after project starts. Any further updates made in the scope of this activity will be included in the third interim report delivered 12 months after the project starts.

TASK 3: Guidance for an effective SRI implementation

Operational, organisational and legal design options for the SRI scheme

Based on the investigation of the SRI implementation pathways in Task 2, the aim of this activity will be to deliver a guidance toolkit for the effective implementation of the SRI in the EU and EU Member States. This toolkit will consist of a detailed guidance of the most effective operational, organisational and legal design options for the SRI scheme, at EU and at Member States level. This guidance will encompass for each option:

- The organization of the scheme, detailing which players are involved in setting up and implement the scheme, their roles, responsibilities, activities and interactions. Where relevant, the role of the Commission in the implementation of the SRI and its relationships with other players will be clarified.
- The operation of the scheme: for a given organizational approach, detailing how the scheme operates when it is in place. This includes e.g. monitoring, quality control, verification, and market surveillance activities.

²⁷ E.g. similar to the energy label on consumer products such as fridges.

- The legal structures of the scheme: for a given organizational approach, detailing the legal issues that can emerge when the scheme is put in place and when it operates; clarification of liabilities; mechanisms of resolution of legal issues.
- Costs of the scheme: for a given organizational approach, assessing the costs that could be born by the parties involved (e.g. administrative costs, costs of assessment of the SRI, etc.)
- Additional supporting measures: for a given organizational approach, devising a portfolio of complementary policy and programmatic measures that could set up to support the effective implementation of the SRI.

The toolkit shall encompass at least five different options, two of which at EU-level and three of which at Member States level. The Contractor will ensure an adequate involvement of stakeholders and Member States in the preparation of the toolkit.

As a result of this activity, the contractor will deliver the toolkit for an effective SRI implementation which shall include 30 to 40 pages without possible annexes. This guide will be included in the second interim report delivered 7 months after project starts. Any further updates made in the scope of this activity will be included in the third interim report delivered 12 months after the project starts. Once a fully consolidated version is ready, the contractor will make it publicly available.

Technical recommendations for the efficient and cost-effective assessment of the SRI

Based on the outcomes of task 1 and task 2, this activity will devise technical recommendations and guidelines for the efficient and cost-effective assessment of the SRI. To this end, the contractor will draft a short “guide to the assessment of the SRI” that will clarify the steps to follow for the most efficient assessment of the SRI of a given building, from on-site inspection and data collection to calculation. This guide will include all material relevant to support an efficient assessment of the SRI, in particular the following: step-by-step description of the process for assessing the SRI; check-lists for on-site inspections and / or for building and technical building system data collection; guidelines for processing results of inspection and for calculating the SRI based on these results. The guide will differentiate between relevant categories of buildings (at least individual houses, multi-family buildings and office buildings) and other factors that can have an impact on these guidelines, e.g. the type of ownerships and occupancy. It will advise on the most efficient on-site inspection strategies depending on the type of buildings (and systems) considered and on the type of ownership and occupancy. The guide will account for different approaches to the assessment of the SRI: on-site inspections by assessors, web-based self- assessment, remote collection of data from the building and building system, hybrid approaches, etc. The guide will be designed in a way that could make it implementable via a checklist on an IT platform (iPad, etc.), when applicable. Once this guide is drafted, the contractor will test it by applying the guidelines on the assessment of the SRI on a selection of real buildings²⁸. This will include selecting a set of real buildings (ensuring that this set: (i) is relevant and sufficiently diversified with regard to the EU building stock; (ii) is as aligned as possible with the reference buildings from task 1; (iii) allows for testing different SRI

²⁸ These preliminary tests on real buildings should not be confused with the « non-committal test phase at National level mentioned in article 8 of the amended EPBD, which is not addressed in the scope of this study. The outcomes of this activity can however be useful in setting up these test phases.

assessment approaches: on-site inspections, remote data collection, self-assessment, hybrid approaches, etc.) and assessing the SRI based on the draft guide for these buildings. In performing these tests, the Contractor will ensure that relevant stakeholders (e.g. building owner and consumer associations) are involved and that their feedback on the approach followed (e.g. the sample of building selected) is taken into account. The outcomes of this test will be collected and analysed (e.g. time needed for the assessment, possible difficulties encountered, etc.), which will support the refinement and consolidation of the guide, in cooperation with stakeholders.

As a result of this activity, the contractor will deliver the “guide to the on-site assessment of the SRI”, which shall include 20 to 30 pages without possible annexes. This guide will be included in the second interim report delivered 7 months after project starts. Any further updates made in the scope of this activity will be included in the third interim report delivered 12 months after the project starts. Once a fully consolidated version is ready, the contractor will make it publicly available.

Guidelines for the management of the SRI after adoption

The activity will aim at devising guidelines for maintaining and adapting the catalogue of smart ready services and the methodology for calculating the SRI once the SRI scheme is established. This entails in particular possible updates of the catalogue of smart ready services when services or subservices become obsolete and, conversely, when additional services or subservices become relevant for the scope of the SRI, in particular due to the evolution of technologies or on the contrary, deletion of services if these prove irrelevant over time or in practical use. This also entails possible updates to fine-tune the impacts of smart ready services on the different SRI impact domains (e.g. energy efficiency, comfort, etc.). This also includes any possible updates of the calculation methodology, including for instance adaptation of the weights allocated to the different impacts in the calculation of the SRI. In order to address this second objective, the contractor will identify the main drivers of the evolution of the SRI (e.g. technological progress) and will assess which aspects of the SRI are likely to require periodic updates and how these could be performed (e.g. periodicity, consultation and decision-making procedures, etc). As part of this work, the contractor will identify all relevant connections between the evolution of the SRI scheme and the development or update of relevant standards (e.g. CEN standards).

As a result of this activity, the contractor will deliver guidelines for the management of the SRI after it is adopted. These guidelines and recommendations (15 to 20 pages without possible annexes) will be included in the second interim report delivered 7 months after project starts. Any further updates made in the scope of this activity will be included in the third interim report delivered 12 months after the project starts.

In line with the amended EPBD, in the scope of all the activities of this task, the contractor will pay a particular attention to clarifying the complementary relation of the smart readiness indicator scheme to the energy performance certificates referred to in Article 11 of the Energy Performance of Buildings Directive.

TASK 4: Quantitative modelling and analysis of the impact of the SRI at EU level - input to preparation of Impact Assessments

In this task, the contractor will lead a thorough quantitative analysis of the possible impacts of the rollout of the indicator along the implementation pathways defined in Task 2, for 2030, 2040 and 2050. This analysis will rely on a sound modelling approach, which the offer will detail. The modelling shall account for different scenarios based on the uptake of smart ready services and

technologies in buildings and of possible additional supporting measures at EU and national level. The analysis shall rely on a well-defined framework, that includes an extensive set of criteria focusing but not limited to energy, considering as well wider benefits of the SRI (building's life cycle GHG emissions, energy efficiency, renewable penetration, material circularity²⁹, comfort and well-being, costs of system maintenance, macro-economic benefits, etc.). The full list of criteria considered as part of the analysis and the modelling strategy and related assumptions will be agreed with the Commission services' team when the project start³⁰, in line with recent studies on the wider benefits of energy efficiency^{31 32}. The analysis should accurately quantify benefits or effects along the selected criteria, and primarily assessing the benefits in monetary (e.g. investments triggered, savings directly or indirectly generated, etc.), energy (final and primary) and emissions units on a cumulative and yearly basis, discriminating the impacts according to an adequate segmentation of the EU building stock, consistent with the set of reference buildings selected in tasks 1 (and real buildings selected for task 3 tests). The contractor should also propose an approach for evaluating the impacts of the SRI from a life-cycle perspective, including e.g. environmental impact related to an increased deployment of smart ready technologies. In doing so, the contractor will make sure to take into account relevant frameworks, in particular the Level(s) sustainability reporting work. The quantitative evaluation of impacts should also cover a sensitivity analysis (based on a few targeted variations of the framework parameters/conditions).

This analysis shall produce all the material required for the Commission services to develop the impact assessments related to the SRI, in accordance with applicable guidelines³³. This includes but is not limited to providing the material necessary to:

- Clarify the problem definition, the problem drivers, and the evolution of the problem.
- Elaborate on the justification for an action at EU level, including in particular the necessity and the added value of EU action.
- Clarify the policy options available, the related baseline and give a description of those policy options.
- Detailing and quantifying the impacts of the available policy options. This implies in particular clarifying who is impacted and how, and to calculate quantitative impacts in terms of costs and benefits for each category of players impacted.
- Select a preferred option.
- Clarify how the actual impacts will be monitored and evaluated.

This analysis shall expand and extensively draw on the outputs from the preliminary impact assessment performed in the first study on the smart readiness indicator³⁴.

²⁹ On this point, the contractor will look at how smartness features may impact on circularity of building material and in particular the end of life stage of a building's lifecycle.

³⁰ At the kick-off meeting.

³¹ https://ec.europa.eu/energy/sites/ener/files/documents/final_report_v4_final.pdf

³² <https://ec.europa.eu/energy/en/studies/macro-level-and-sectoral-impacts-energy-efficiency-policies>

³³ http://ec.europa.eu/smart-regulation/impact/commission_guidelines/docs/iag_2009_en.pdf

The analysis will be based on a modelling tool (e.g. Microsoft excel file) that will be delivered together with the related report. The tool shall allow for tuning a selection of input parameters (e.g. assumptions made on energy savings from smart ready technologies) and shall be easy to use. The design of this modelling tool (input parameters, outputs, layout etc.) shall be discussed with and approved by the Commission services' team following the project.

The contractor will describe in the offer with a sufficient level of detail the approach envisioned to address this activity, explaining how the study will cover the different points from the guidelines²⁹.

As a result of this activity, the contractor will deliver a report covering all the items of this activity and the modelling tool used to perform the analysis of impacts, together with related input data when these are not included in the modelling tool. The report's structure will follow a dedicated template provided by the Commission services' team when the service contract starts and will comply with applicable guidelines²⁹. The detailed results of the modelling and the detailed description of the modelling approach will be given as additional annexes. A first advanced version of this report will be included in the first interim report delivered 4 months after project starts and will comprise 30 to 40 pages without annexes. Any further updates made in the scope of this activity will be included in the second interim report delivered 7 months after the project starts and in the third interim report delivered 12 months after the project starts.

TASK 5: Stakeholder consultation and study website

This task concerns the consultation of relevant stakeholders (architects, engineers, developers, construction industry, contractors, building element / construction products, suppliers, standardisation bodies, building owners, building operators, valuers, investors etc.) on the SRI definition, methodology and implementation plan. The aim is to establish an open and inclusive process to support the development of the SRI, ensuring that all relevant stakeholders are involved and can express their views. Such a process should in particular contribute to building a wide consensus among the actors of the construction/renovation value chain (from the architect to the operator of the building) on the SRI. These should see a commercial benefit in proposing new products and services with regard to fulfilling the requirements of the SRI, and the design of the SRI should be informed by inputs from all relevant stakeholders.

At least two stakeholder meetings (possibly three) will be organised by the Contractor in Brussels and the involvement of stakeholder groups in an appropriate setting should be ensured where necessary. The meetings should be organised by the contractor and specify the most suitable dates according to the tasks timing, contract duration and key deliverables. Before submitting invitations to the relevant stakeholders, the contractor will draw up a list of potential participants, draft and agree with DG ENER an agenda, arrange the meeting venue and any logistics (e.g. catering, equipment). The contractor will be responsible for drafting the minutes and provide a short report of the overall consultation with the stakeholder. The tenderer should allow for all costs associated with organizing these meetings (noting that participants to the meetings will travel at their own costs). In addition, in order to ensure accessibility of information pertaining to the study, the tenderer will set up a public website. On top of stakeholder meetings, the contractor will support the Commission services in additional focused bilateral consultation of stakeholder

³⁴ This preliminary impact assessment will be available at the time this study starts.

groupings, where relevant and upon request from the Commission services. The contractor will also ensure that the positions of stakeholders are recorded and tracked during the study, to ensure proper processing.

Scope of the stakeholders to be consulted: this study shall use as a starting basis the stakeholder community that has followed the first study (the list and related contacts will be made available to the contractor at the beginning of the study) and will be iteratively updated based on expressions of interest from stakeholders. The scope is very wide and includes: stakeholders from the building sector (architects, engineering, insulation product suppliers, construction companies, technical building system providers, facility managers, certification companies, professional associations and federations, etc.); from the energy sector (ESCOs, energy suppliers, aggregators, grid operators, professional associations and federations, etc.); from the ICT sector (e.g. IoT solutions providers); Member States and local (regional, city) authorities.

Dates of stakeholder meetings: the dates for the three mandatory stakeholder meetings will be decided at the beginning of the project. The indicative schedule is as follows: 1st meeting 3 months after the study starts; 2nd meeting 7 months after the study starts; 3rd (to be confirmed) meeting 14 months after the study starts. This third stakeholder meeting will be confirmed depending on the development of the policy making process and the potential need to have additional interactions with stakeholders.

Website: the website shall be publicly accessible and shall include at least a summary of the study, a description of the consortium, contact information, information on stakeholder meetings, available public results (reports and presentations), and a portal for stakeholder registration.

TASK 6: Support to the policy making process

This task concerns the support to provide to the Commission services in the scope of the policy making process. The first objective of this task will be to support the Commission services in the assessment of the results of the open public consultations that could be required as part of preparation of the two legal acts establishing the SRI. For each consultation, the contractor will analyse the replies to the consultation and prepare the related report. Where relevant, the contractor will be asked to contribute to the development of the consultation questionnaires.

In addition to this objective, the contractor will be asked to provide inputs upon request from the Commission services to support the development of the policy making process. 10% of the total amount of the specific service contract should be saved for that latter purpose.

2.4. Input by the Contracting Authority

The following inputs will be made available to the contractor:

- Text of the revised Energy Performance of Buildings Directive – when the service contract starts.
- Deliverables and other outputs (e.g. meeting minutes, presentations, stakeholder feedback) from the first technical study on the smart readiness indicator – when the service contracts starts.
- Template for the report on the quantitative modelling and analysis of the impact of the SRI at EU level – when the service contract starts.
- Where applicable, raw outputs from the public consultation(s) on the smart readiness indicator – tentatively 3 months after the service contract starts (to be confirmed, depending on the developments of the related policy making process.)

The contractor will have the responsibility to collect all other inputs needed to achieve the objectives of the service contract.

2.5. Meetings and deliverables

2.5.1. Meetings

A **kick-off meeting** will take place in Brussels, at the latest **10 working days** following the entry into force of the contract, in order to settle all the details of the work to be undertaken.

3 intermediate meetings will take place in Brussels between the kick-off meeting and the final meeting. A first meeting to present the first interim report at the latest 4 months after the entry into force of the contract, a second meeting at the latest 7 months after the entry into force of the contract to present the second interim report, and a third intermediate meeting to present the third interim report at the latest 12 months after the study starts.

A **final meeting** will take place in Brussels, at the latest **2 weeks** after delivery of the draft final report and accompanying deliverables in order to discuss the Commission's observations on them.

The Contractor will draft the minutes of all meetings performed within this contract. Draft minutes shall be sent to the Commission at the latest 5 days after the meeting.

2.5.1. Deliverables

The contractor will submit a report analysing the outcomes of the open public consultation(s) on the SRI at the latest **1 month** after the material on this public consultation (comments collected, statistics, etc.) has been provided to the contractor by the Commission services.

The website of the study shall be online at the latest 1 months after the kick-off meeting.

The Contractor will organise a **first stakeholder meeting** in Brussels at the latest **3 months** after the entry into force of the contract.

The Contractor will submit the **draft first interim report and related deliverables** at the latest **3 months** following the entry into force of the contract. The draft report will include the state-of-the-art review (task 1), the technical inputs for the definition of the SRI (task 1), the technical inputs for the SRI calculation methodology (task 1) and the report on the quantitative modelling and analysis of the impact of the SRI at EU level (task 4). **Related deliverables** will include the **modelling tool** used for analysis of the impact of the SRI at EU level and related **input data**, when these are not embedded in the model. The Commission can make comments to the draft report and related deliverables within 15 working days of reception.

The contractor may submit an invoice for the **first interim payment** together with the **approved final version of the first interim report and related deliverables** at the latest **4 months** following the entry into force of the contract. Payments will be made in accordance with article I.5. of the service contract.

The Contractor will submit the **draft second interim report and related deliverables** at the latest **6 months** following the entry into force of the contract. This report will cover updates on the results of task 1 and task 4, the technical guidelines and recommendations for an effective implementation of the SRI (task 2), the technical inputs for the formatting of the SRI (task 3), and

the guidelines for the post-adoption management of the SRI (task 2), the toolkit for an effective SRI implementation (task 3). **Related deliverables** will include any updates on the **modelling tool** used for analysis of the impact of the SRI at EU level and related **input data**, when these are not embedded in the model. The Commission can make comments to the draft report and related deliverables within 15 working days of reception. The final version of the interim report and related deliverables, incorporating the comments of the Commission, shall be approved by the Commission and shall be submitted at the latest **7 months** after the entry into force of the contract.

The Contractor will organise a **second stakeholder meeting** in Brussels at the latest **7 months** after the entry into force of the contract.

The Contractor will submit the draft third interim report at the latest **11 months** after the entry into force of the contract. This report will cover any updates of the results from all project's tasks, in particular task 2. Where applicable, the Contractor will submit together with the draft third interim report any updates made to the modelling tool used for the analysis of the impact of the SRI at EU level and related input data. The Commission can make comments to the draft report and, where applicable, on related deliverables, within 15 working days of reception. The final version of the third interim report and, where relevant, of related deliverables (to be approved by the Commission), has to be submitted at the latest **12 months** following the entry into force of the contract.

The contractor may submit an invoice for the **second interim payment** together with the **approved final version of the third interim report and related deliverables**. The payment will be made in accordance with article I.5. of the service contract.

If the need arises (to be discussed with the policy officer following the study, depending on the development of the policy making process), the Contractor will organise a third stakeholder meeting in Brussels at the latest **14 months** after the entry into force of the contract.

2.6. Final output and deliverable

The Contractor will submit a **draft final report and accompanying deliverables** to the Commission at the latest **16 months** after the entry into force of the contract.

The draft final report and accompanying deliverables will summarize all the results of the study and contain at least:

- The compilation of all tasks' deliverables (including any updates made on these deliverables since the 3rd interim report)
- 10-15 pages summarizing the results of the study in an easily understandable way;
- 2-3 pages executive publishable executive summary in both in English and French.
- A 10-15 slides presentation with detailed comments/notes, to communicate the results of the study;
- 5 slides of facts and figures on the SRI and its possible impact;
- Final version of the modelling tool for the analysis of the impacts of the SRI at EU level and, when these are not included in the model, related input data.

The Contractor will update the draft final report and accompanying deliverables taking into account the Commission's observations and submit their final version at the latest **18 months** after the entry into force of the contract.

The contractor will submit an invoice for **payment of the balance** together with the **final report**. Payments will be made in accordance with article I.5. of the service contract.

2.7. Details on deliverables

3 copies of the interim or final reports and accompanying deliverables shall be supplied in paper form and one copy in electronic form in MS Office format (Word, Excel and PowerPoint).

The Commission may publish the results presented in the reports and accompanying deliverables. For this purpose, the tenderer must ensure that the reports are not subject to any restrictions deriving from intellectual property rights of third parties. Should the Contractor intend to use data in the reports and deliverables, which cannot be published, this must be explicitly mentioned in the offer.

The reports and the reports with their annexes and the deliverables have to be drafted in English in a properly literate manner and must be fully comprehensive in terms of grammatical structure (complete sentences, punctuation, explanation of abbreviations the first time they are used, etc.) using clear language.

The report on the quantitative modelling and analysis of the impact of the SRI at EU level (task 3) will follow a dedicated template, which will be made available by the Commission when the service contract starts.

2.8. Guidance on methodology

The tasks will be performed on the Contractor's premises. However, meetings between the Contractor and the Commission may be held in Commission's premises in Brussels.

The Contractor will be responsible for data collection and for collection of inputs needed to achieve the objectives of the service contract, except for those listed in section 2.4.

The Contractor will make sure to acquire an in-depth knowledge of the results from the first technical study on the smart readiness indicator in order to build on those results, achieving the objective of this study in the most efficient way while ensuring the quality of deliverables.

2.9. Performance and quality requirements

The duration of the tasks shall not exceed 18 months. This period is calculated in calendar days.

Execution of the tasks begins after the date on which the Contract enters into force.

In principle, the deadlines set out below cannot be extended. The Contractor is deemed solely responsible for delays occasioned by subcontractors or other third parties (except for rare cases of *force majeure*). Adequate resources and appropriate organisation of the work including management of potential delays should be put in place in order to observe the timetable below.

The quality of deliverable will be assessed against the scope of activities given in the task descriptions and related requirements applying to deliverables.

2.10. Intellectual property rights

The tenderer must ensure that the reports and deliverables from this study are not subject to any restrictions deriving from intellectual property rights of third parties.

3. CONTENT, STRUCTURE AND GRAPHIC REQUIREMENTS OF THE DELIVERABLES

The contractor must deliver the study and other deliverables as indicated below.

3.1. Content

3.1.1. Final study report

The final study report must include:

- an abstract of no more than 200 words and an executive summary of maximum 6 pages, both in English and French;
- 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 study. Neither the Commission nor any person acting on the Commission’s behalf may be held responsible for the use which may be made of the information contained therein.”

3.1.2. Publishable executive summary

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

- 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 study. Neither the Commission nor any person acting on the Commission’s behalf may be held responsible for the use which may be made of the information contained therein.”

3.1.3. Requirements for publication on 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 versions of the study, abstract and executive summary, the contractor must respect the W3C guidelines for accessible pdf documents as provided at: <http://www.w3.org/WAI/>.

3.2. Graphic requirements

The contractor must deliver the study and all publishable 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 studies is exclusive to European Commission's contractors. No template will be provided to tenderers while preparing their tenders.

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 contracting authority may reject abnormally low tenders, in particular if it established that the tenderer or a subcontractor does not comply with applicable obligations in the fields of environmental, social and labour law.

The Contracting Authority will assess these criteria in no particular order. The successful tenderer must pass all criteria to be awarded the contract.

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.

In case of subcontracting, subcontractors whose share of the contract is above 20% and those whose capacity is necessary to fulfil the selection criteria must provide a declaration on honour signed by an authorised representative.

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 contracting authority. This requirement applies to each member of the group in case of joint tender, to subcontractors whose share of the contract is above 20% and to subcontractors whose capacity is necessary to fulfil the selection criteria.

The obligation to submit supporting evidence does not apply to international organisations.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit the documentary evidence if it has already been submitted for another procurement procedure and provided the documents were issued not more than one year before the date of their request by the contracting authority and are still valid at that date. In such cases, the tenderer must declare on its honour that the documentary evidence has already been provided in a previous procurement procedure, indicate the reference of the procedure and confirm that there has been no change in its situation.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit a specific document if the contracting authority can access the document in question on a national database free of charge.

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.

The tender must include the proportion of the contract that the tenderer intends to subcontract.

4.2.1. Declaration and evidence

The tenderers (and each member of the group in case of joint tender) and subcontractors whose capacity is necessary to fulfil the selection criteria must provide the declaration on honour (see Annex 2), signed and dated by an authorised representative, stating that they fulfil the selection criteria applicable to them. In case of joint tender or subcontracting, the criteria applicable to the tenderer as a whole will be verified by combining the various declarations for a consolidated assessment.

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

For the selection criteria, the Contracting Authority will evaluate:

- Economical and financial capacity criteria on the basis of the evidence uploaded in the "Participant Register of the Participant Portal"
- Technical and professional capacity criteria on the basis of the evidence to be submitted with the tenders.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit the documentary evidence if it has already been submitted for another procurement procedure and provided the documents were issued not more than one year before the date of their request by the contracting authority and are still valid at that date. In such cases, the tenderer must declare on its honour that the documentary evidence has already been provided in a previous procurement procedure, indicate the reference of the procedure and confirm that there has been no change in its situation.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit a specific document if the contracting authority can access the document in question on a national database free of charge.

4.2.2. 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.

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.

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:** Annual turnover of the last two financial years above EUR 400,000.00; 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.

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 project references indicated below consist in a list of relevant services provided in the past three years, with the sums, dates and clients, public or private, accompanied by statements issued by the clients.

- **Criterion A1:** The tenderer must prove experience and knowledge in the fields of Smart Buildings/Homes and Smart-Ready technologies in buildings, energy performance of buildings and standardisation including good knowledge of CEN-standards for energy performance and the application of these.
- **Evidence A1:** the tenderer must provide references for at least 2 projects delivered in these fields in the last three years with a minimum value for each project of € 100,000.00.
- **Criterion A2:** The tenderer must prove knowledge and insight into energy efficiency policy and policy on energy performance in buildings in particular, both EU and Member State level.

- **Evidence A2:** The tenderer must provide references for at least 2 projects delivered in these fields in the last three years with a minimum value for each project of € 100,000.00.
- **Criterion A3:** The tenderer must prove knowledge and insight into implementation and operation of building labelling and / or certification schemes, preferably in the energy area.
- **Evidence A3:** The tenderer must provide references for at least 2 projects delivered in these fields in the last three years with a minimum value for each project of € 100,000.00.
- **Criterion A4:** The tenderer must prove experience in fields of smart technologies and building systems functionalities assessment, in-building communications, data handling and interoperability issues, demand response projects in Europe.
- **Evidence A4:** the tenderer must provide references for at least 2 projects delivered in these fields in the last three years with a minimum value for each project of EUR 50,000.00.
- **Criterion A5:** The tenderer must prove experience from working with methodology design for BACS³⁵, IT tools, IoT solutions, including communication protocols development and data-driven or cloud-based services.
- **Evidence A5:** The tenderer must provide references for at least 2 projects delivered in these fields in the last five years with no minimum value for each project is required.
- **Criterion A6:** The tenderer must prove the ability to work in English (fluent level) and prove experience and capacity to draft and deliver reports in English.
- **Evidence A6:** The tenderer must provide one document of at least 10 pages (report, study, etc.) in this language that it has drafted and published or delivered to a client in the last two years.

One same project can be submitted as evidence for several criteria if it covers the different fields of expertise required under different criteria.

b. Criteria relating to the team delivering the service:

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

B1 - Project Manager: At least 8 years' experience in project management, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution experience in project of a similar size (at least € 200 000) and coverage (EU-wide), with experience in management of team of at least 5 people.

Evidence: CV

B2 - Language quality check: at least 3 members of the team should have at least C1 level in the Common European Framework for Reference for Languages³⁶ in English.

³⁵ Building automation and control systems.

Evidence: a language certificate or past relevant experience

B3 - Expert in energy policies: at least 5 years of professional experience with relevant higher education degree or equivalent professional experience.

Evidence: CV

B4 - Expert in energy performance of buildings and related technical standards: at least 3 years of professional experience with relevant higher education degree or equivalent professional experience.

Evidence: CV

B5 - Expert in information and communication technologies / smart technologies in buildings: at least 5 years of professional experience with relevant higher education degree or equivalent professional experience.

Evidence: CV

B6 - Expert in schemes for inspection, certification and labelling of buildings: at least 5 years of professional experience with relevant higher education degree or equivalent professional experience.

Evidence: CV

B7 - Expert in quantification of impacts of policy measures in the area of energy: at least 3 years of professional experience with relevant higher education degree or equivalent professional experience.

Evidence: CV

B8 - Team for data collection: collectively the team of at least 5 people should have proven experience of 3 years in data collection techniques.

Evidence: CV and a language certificate or past relevant experience

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.

- **Quality of the proposed methodology** (60 points – minimum score 50%)

Fulfilment of the needs, the objective and the scope of the tender specifications. This criteria will assess the clarity, level of understanding, completeness and full coverage of

³⁶ See http://www.coe.int/t/dg4/linguistic/Cadre1_en.asp

the tasks described in the tender specifications, the quality and appropriateness of the proposed detailed approach to achieving the different activities outlined in the task descriptions including the approach envisioned for defining the SRI implementation pathways, and for producing the technical inputs to support the impact assessment related to the SRI.

- **Organisation of the work and resources** (30 points – minimum score 60%)

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 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 human resources and the rationale behind the choice of this allocation. Details should be provided as part of the technical offer. It is not a budget requested as part of the financial offer.

- **Quality control measures** (10 points – minimum score 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 the 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.

Tenders must score minimum 50% for each criterion, and minimum 70 % in total. Tenders that do not reach the minimum quality levels will be rejected and will not be ranked.

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 70/30 is given to quality and price.

Score for tender X	=	cheapest price	*	100	*	price weighting (in %)	+	total quality score (out of 100) for all award criteria of tender X	*	quality criteria weighting (in %)
		price of tender X								

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

5. LEGAL VALIDATION AND FINANCIAL VIABILITY ASSESSMENT

In the course of the procedure, tenderers are requested to register in the European Commission's Participant Register. On registering, each organisation obtains a Participants Identification Code (PIC, 9-digit number),

In the course of the procedure, the EU Validation Services (Research Executive Agency Validation Services) may contact tenderers via the Participant Register and ask for supporting documents with respect to the legal existence and status and economic and financial capacity. Please note that a request for supporting documents in no way implies that the tenderer has been successful.

For this purpose, the EU Validation Services may request the tenderer to submit the following documents:

i. For the purpose of the legal validation of the entities:

- Signed legal entity identification form³⁷:
 - Natural Person Form
 - Private Legal Entity Form
 - Public Legal Entity Form
- Official VAT document or — if the entity is not registered for VAT — the proof of VAT exemption, not older than 6 months.
- Signed Bank Account Form, and
- the following additional documents, where relevant:

Status	Documents to be submitted
Private body (including SME)	Registration extract (not older than 6 months).
Public body	Copy of the act, law, decree or decision that established the organisation as a public body (or, if this doesn't exist, any other official legal document that proves this).
Non-profit organisation	Copy of an official document attesting that the organisation has a legal or statutory obligation not to distribute profits to

³⁷ http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal-entities_en.cfm

	<p>shareholders or individual members.</p> <p>The certificate of tax exemption may only constitute an indication of the non-profit status of the entity, which has to be assessed together with other elements.</p>
Research organisation	Copy of an official document attesting that one of the main objectives of the entity is carrying out research or technological development.
Secondary or higher education establishment	Copy of an official document attesting that the organisation is recognised such as ‘secondary or higher education establishment by the national education system and is entitled to deliver diplomas recognized by the State.
International organisation International organisation of European interest	Copy of the relevant international treaty creating the organisation under international public law.
Natural person	Copy (legible) of valid identity card or passport.
Entities without legal personality	<p>-Copy of an official document attesting that the representatives of the entity have the capacity to undertake legal obligations on its behalf.</p> <p>- Copy of an official document attesting that the entity has the same operational and financial capacity as that of a legal entity :i.e.</p> <p>a document showing patrimony/asset/capital that is separated and different from those of the members/owners of the entity, and a copy of the rules providing that creditors can rely on this patrimony/asset/capital and — in case of liquidation/insolvency — are reimbursed before the patrimony/asset/capital is divided between the owners/members.</p>

ii. For the purpose of preparing the financial capacity assessment:

Status	Documents to be submitted
Legal entity	<ol style="list-style-type: none"> 1. Profit and loss account 2. Balance sheet 3. Explanatory notes and/or annexes that form part of the above financial statements (if available) 4. External audit report¹², for the procurement domain – to be submitted on voluntary basis if the entity has already been audited for other purposes
Natural Person	<ol style="list-style-type: none"> 1. Income tax declaration 2. Certified declaration of current patrimony (may not be applicable to procurement), including: <ol style="list-style-type: none"> a. fixed patrimony (e.g. land, tenement, hereditament, medium/long-term time deposits (more than one year), stock options that cannot be exercised within one year) b. current patrimony (e.g. available cash, savings, short-term time deposits (maximum of one year), stock-options that can be exercised within one year) 3. List of certified debts, which must contain all debts (with dates and figures), broken down in short-term debts (of maximum one year) and medium/long-term debts (of more than one year)(may not be applicable to procurement).
Start-up companies without closed accounts	Business plan

6. ANNEXES

1. Tenderer 's Identification Form
2. Declaration of honour on exclusion criteria and selection criteria
3. Power of attorney (mandate in case of joint tender)
4. Standard Word template for studies (*only for studies*)
5. Draft Contract

ANNEX 1

IDENTIFICATION OF THE TENDERER

(Each service provider, including any member of a consortium or grouping and subcontractor(s) whose share of the work is more than 20% of the contract must complete and sign this identification form)

Call for tenders ENER/C3/2018-447/06

Identity	
Name of the tenderer	
Legal status of the tenderer	
Date of registration	
Country of registration	
Registration number	
VAT number	
Description of statutory social security cover (at the level of the Member State of origin) and non-statutory cover (supplementary professional indemnity insurance) ³⁸	
Address	
Address of registered office of tenderer	
Where appropriate, administrative address of tenderer for the purposes of this invitation to tender	
Contact Person	
Surname: First name: Title (e.g. Dr, Mr, Ms) : Position (e.g. manager): Telephone number: Fax number: E-mail address:	

³⁸ For natural persons.

Legal Representatives	
Names and function of legal representatives and of other representatives of the tenderer who are authorised to sign contracts with third parties	
Declaration by an authorised representative of the organisation³⁹ I, the undersigned, certify that the information given in this tender is correct and that the tender is valid.	
Surname: First name:	Signature:

³⁹ This person must be included in the list of legal representatives; otherwise the signature on the tender will be invalidated.

ANNEX 2

Declaration of honour on exclusion criteria and selection criteria

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

<i>(only for natural persons)</i> himself or herself	<i>(only for legal persons)</i> the following legal person:
ID or passport number:	Full official name: Official legal form: Statutory registration number: Full official address: VAT registration number:

➤ declares whether the above-mentioned person is in one of the following situations or not:		
SITUATION OF EXCLUSION CONCERNING THE PERSON	YES	NO
a) it is bankrupt, subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended or it is in any analogous situation arising from a similar procedure provided for under national legislation or regulations;	<input type="checkbox"/>	<input type="checkbox"/>
b) it has been established by a final judgement or a final administrative decision that the person is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the contracting authority is located or those of the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
c) it has been established by a final judgement or a final administrative decision that the person is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the person belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:		
(i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) entering into agreement with other persons with the aim of distorting competition;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) violating intellectual property rights;	<input type="checkbox"/>	<input type="checkbox"/>
(iv) attempting to influence the decision-making process of the contracting authority during the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>
(v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>

d) it has been established by a final judgement that the person is guilty of any of the following:		
(i) fraud, within the meaning of Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) corruption, as defined in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of EU Member States, drawn up by the Council Act of 26 May 1997, and in Article 2(1) of Council Framework Decision 2003/568/JHA, as well as corruption as defined in the legal provisions of the country where the contracting authority is located, the country in which the person is established or the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) participation in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA;	<input type="checkbox"/>	<input type="checkbox"/>
iv) money laundering or terrorist financing, as defined in Article 1 of Directive 2005/60/EC of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
(v) terrorist-related offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;	<input type="checkbox"/>	<input type="checkbox"/>
(vi) child labour or other forms of trafficking in human beings as defined in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
e) the person has shown significant deficiencies in complying with the main obligations in the performance of a contract financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an Authorising Officer, OLAF or the Court of Auditors;	<input type="checkbox"/>	<input type="checkbox"/>
f) it has been established by a final judgment or final administrative decision that the person has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;	<input type="checkbox"/>	<input type="checkbox"/>
g) for the situations of grave professional misconduct, fraud, corruption, other criminal offences, significant deficiencies in the performance of the contract or irregularity, the applicant is subject to:	<input type="checkbox"/>	<input type="checkbox"/>
i. facts established in the context of audits or investigations carried out by the Court of Auditors, OLAF or internal audit, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body;		
ii. non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;		
iii. decisions of the ECB, the EIB, the European Investment Fund or international organisations;		
iv. decisions of the Commission relating to the infringement of the Union's competition rules or of a national competent authority relating to the infringement of Union or national competition law; or		
v. decisions of exclusion by an authorising officer of an EU institution, of a		

European office or of an EU agency or body.		
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<u>[Only for legal persons other than Member States and local authorities, otherwise delete this table]</u>		
➤ declares whether a natural person who is a member of the administrative, management or supervisory body of the above-mentioned legal person, or who has powers of representation, decision or control with regard to the above-mentioned legal person (this covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares) is in one of the following situations or not:		
SITUATIONS OF EXCLUSION CONCERNING NATURAL PERSONS WITH POWER OF REPRESENTATION, DECISION-MAKING OR CONTROL OVER THE LEGAL PERSON	YES	NO
Situation (c) above (grave professional misconduct)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (d) above (fraud, corruption or other criminal offence)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (e) above (significant deficiencies in performance of a contract)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (f) above (irregularity)	<input type="checkbox"/>	<input type="checkbox"/>

➤ declares whether a natural or legal person that assumes unlimited liability for the debts of the above-mentioned legal person is in one of the following situations or not:			
SITUATIONS OF EXCLUSION CONCERNING NATURAL OR LEGAL PERSONS ASSUMING UNLIMITED LIABILITY FOR THE DEBTS OF THE LEGAL PERSON	YES	NO	N/A
Situation (a) above (bankruptcy)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (b) above (breach in payment of taxes or social security contributions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

➤ declares whether the above-mentioned person is in one of the following situations or not:		
GROUND FOR REJECTION FROM THIS PROCEDURE	YES	NO
h) has not distorted competition by being previously involved in the preparation of procurement documents for this procurement procedure;	<input type="checkbox"/>	<input type="checkbox"/>
i) has provided accurate, sincere and complete information to the contracting authority within the context of this procurement procedure;	<input type="checkbox"/>	<input type="checkbox"/>
➤ acknowledges that the above-mentioned person may be subject to rejection from this procedure and to administrative sanctions (exclusion or financial penalty) if any of the declarations or information provided as a condition for participating in this procedure prove to be false.		

REMEDIAL MEASURES

If the person declares one of the situations of exclusion listed above, it should indicate the measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. They may include e.g. technical, organisational and personnel measures to prevent further occurrence,

compensation of damage or payment of fines. The relevant documentary evidence which appropriately illustrates the remedial measures taken should be provided in annex to this declaration. This does not apply for the situations referred in point (d) of this declaration.

EVIDENCE UPON REQUEST

Upon request and within the time limit set by the contracting authority the person shall provide information on the persons that are members of the administrative, management or supervisory body, as well as the following evidence concerning the person or the natural or legal persons which assume unlimited liability for the debt of the person:

For situations described in (a), (c), (d) or (f), production of a recent extract from the judicial record is required or, failing that, an equivalent document recently issued by a judicial or administrative authority in the country of establishment of the person showing that those requirements are satisfied.

For the situation described in point (a) or (b), production of recent certificates issued by the competent authorities of the State concerned are required. These documents must provide evidence covering all taxes and social security contributions for which the person is liable, including for example, VAT, income tax (natural persons only), company tax (legal persons only) and social security contributions. Where any document described above is not issued in the country concerned, it may be replaced by a sworn statement made before a judicial authority or notary or, failing that, a solemn statement made before an administrative authority or a qualified professional body in its country of establishment.

If the person already submitted such evidence for the purpose of another procedure, its issuing date does not exceed one year and it is still valid, the person shall declare on its honour that the documentary evidence has already been provided and confirm that no changes have occurred in its situation.

➤ declares whether the above-mentioned person complies with the selection criteria as provided in the tender specifications:		
SELECTION CRITERIA	YES	NO
(a) It has the legal and regulatory capacity to pursue the professional activity needed for performing the contract as required in section [<i>insert</i>] of the tender specifications;	<input type="checkbox"/>	<input type="checkbox"/>
(b) It fulfills the applicable economic and financial criteria indicated in section [<i>insert</i>] of the tender specifications;	<input type="checkbox"/>	<input type="checkbox"/>
(c) It fulfills the applicable technical and professional criteria indicated in section [<i>insert</i>] of the tender specifications.	<input type="checkbox"/>	<input type="checkbox"/>
➤ declares that the above-mentioned person will be able to provide the necessary supporting documents listed in the relevant sections of the tender specifications and which are not available electronically upon request and without delay.		

Full name

Date

Signature

ANNEX 3

POWER OF ATTORNEY

mandating one of the partners in a joint tender as lead partner and lead contractor⁴⁰

The undersigned:

– Signatory (Name, Function, Company, Registered address, VAT Number)

having the legal capacity required to act on behalf of his/her company,

HEREBY AGREES TO THE FOLLOWING:

- 1) To submit a tender as a partner in the group of partners constituted by Company 1, Company 2, Company N, and led by Company X, in accordance with the conditions specified in the tender specifications and the terms specified in the tender to which this power of attorney is attached.
- 2) If the European Commission awards the Contract to the group of partners constituted by Company 1, Company 2, Company N, and led by Company X on the basis of the joint tender to which this power of attorney is attached, all the partners shall be co-signatories of the Contract in accordance with the following conditions:
 - (a) All partners shall be jointly and severally liable towards the European Commission for the performance of the Contract.
 - (b) All partners shall comply with the terms and conditions of the Contract and ensure the proper delivery of their respective share of the services and/or supplies subject to the Contract.
- 1) Payments by the European Commission related to the services and/or supplies subject to the Contract shall be made through the lead partner's bank account: [Provide details on bank, address, account number].
- 2) The partners grant to the lead partner all the necessary powers to act on their behalf in the submission of the tender and conclusion of the Contract, including:
 - (a) The lead partner shall submit the tender on behalf of the group of partners.
 - (b) The lead partner shall sign any contractual documents — including the Contract, and Amendments thereto — and issue any invoices related to the Services on behalf of the group of partners.
 - (c) The lead partner shall act as a single contact point with the European Commission in the delivery of the services and/or supplies subject to the Contract. It shall co-ordinate the delivery of the services and/or supplies by the group of partners to the European Commission, and shall see to a proper administration of the Contract.

Any modification to the present power of attorney shall be subject to the European Commission's express approval. This power of attorney shall expire when all the contractual obligations of the group of partners towards the European Commission for the delivery of the services and/or supplies subject to the Contract have ceased to exist. The parties cannot terminate it before that date without the Commission's consent.

Signed in on [dd/mm/yyyy]

Place and date:

⁴⁰ To be filled in and signed by each partner in a joint tender except the lead partner.

Name (in capital letters), function, company and signature:

ANNEX 4

Standard Word template for studies

Please see separate document

ANNEX 5

DRAFT CONTRACT

Please see separate document