



**EUROPEAN COMMISSION**  
DIRECTORATE-GENERAL  
CLIMATE ACTION  
Directorate A – International, Mainstreaming and Policy Coordination  
Unit CLIMA.A.3 - Adaptation

## **CALL FOR TENDERS**

**CLIMA/A.3/ETU/2018/0010**

### **Study on Adaptation Modelling**

# **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 plurilateral Agreement on Government Procurement<sup>1</sup> 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.

For British candidates or tenderers:

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

## **1.2. Contractual conditions**

The tenderer 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/EU<sup>2</sup>.

## **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.

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<sup>1</sup> See [http://www.wto.org/english/tratop\\_e/gproc\\_e/gp\\_gpa\\_e.htm](http://www.wto.org/english/tratop_e/gproc_e/gp_gpa_e.htm)

<sup>2</sup> 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).

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.

### **1.5. 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 all subcontractors and provide an indication of the proportion of subcontracting. See Annex 2, questionnaire for joint bids and subcontracting.

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 2.2)

Part C: Selection (see section 2.3)

Part D: Technical offer (see section 3)

Part E: Financial offer (see section 2.6)

### **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. Coherence must be ensured between the information in the cover letter and in Annex 1.

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 service presented in the tender and in line with the present tender specifications.

The tenderer (and each member of the group in case of joint tender) must declare whether it is a Small or Medium Size Enterprise in accordance with [Commission Recommendation 2003/361/EC](#). This information is used for statistical purposes only.

All tenderers (including all members of the group in case of joint tender) must provide a signed Legal Entity Form with its supporting evidence. The form is available on: [http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm)

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

The tenderer (or the leader in case of joint tender) must provide a Financial Identification Form with its supporting documents. Only one form per tender should be submitted. No form is needed for subcontractors and other members of the group in case of joint tender. The form is available on: [http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/index\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/index_en.cfm)

## **2. EVALUATION AND AWARD**

### **2.1.Evaluation steps**

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 tenders will be assessed in the order indicated above. Only tenders meeting the requirements of one step will pass on to the next step.

### **2.2.Verification of non-exclusion**

All tenderers must provide a declaration on honour (see Annex 5), 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 capacity is necessary to fulfil the selection criteria must provide a declaration on honour signed by an authorised representative.

The Contracting Authority reserves the right to verify whether the successful tenderer is in one of the situations of exclusion by requiring, at any point during the procedure, the supporting documents listed in the declaration on honour.

In any event, the successful tenderer must provide the documents mentioned 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 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.

### **2.3.Selection criteria**

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

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

#### **2.3.1. 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 5), signed and dated by an authorised representative, stating that they fulfil the selection criteria applicable to them individually. 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 2.2) so only one declaration covering both aspects should be provided by each concerned entity.

The Contracting Authority will evaluate selection criteria on the basis of the declaration on honour and evidence submitted for the legal and regulatory, financial and economic and technical and professional capacity of the tenderers.

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.

### **2.3.2. Legal and regulatory capacity criteria and evidence**

Tenderers must prove that they are allowed to pursue the professional activity necessary to carry out the work subject to this call for tenders. The tenderer (including each member of the group in case of joint tender) must provide the following information in its tender if it has not been provided with the Legal Entity Form:

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

### **2.3.3 Economic and financial capacity criteria and evidence**

The tenderer must have the necessary economic and financial capacity to perform this contract until its end. The tenderer must comply with the following selection criteria:

Annual turnover of the last two financial years above EUR one point three million (1 300 000); this criterion applies to the tenderer as a whole, i.e. the combined capacity of all members of a group and identified subcontractors in case of a joint tender.



**In order to prove their capacity, the tenderer must submit with its tender the following evidence:**

- Copy of the profit and loss accounts for the last two years for which accounts have been closed from each concerned legal entity;
- Failing that, appropriate statements from banks;
- If applicable, evidence of professional risk indemnity insurance.

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

### **2.3.4 Technical and professional capacity criteria and evidence**

#### **a. Criteria and evidence 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 of a list of relevant services provided (i.e. fully delivered) 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 in the field of adaptation modelling, which for the purpose of this contract encompass the *technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation*.

**Evidence A1**: the tenderer must provide references for three projects delivered in one or more fields directly related to *adaptation modelling* in the last three years with a minimum value for each project of EUR one hundred thousand (100 000).

- **Criterion A2**: The tenderer must prove experience – related to the issues covered by the above definition of adaptation modelling – in the fields of (1) using open source data and free and open source software for analysis and modelling, (2) drafting reports and recommendations, (3) organising workshops, and (4) communicating scientific and technical issues to a non-technical audience.

**Evidence A2**: the tenderer must provide references for three projects delivered in these fields in the last three years.

- **Criterion A3**: The tenderer must prove capacity to work in English.

**Evidence A3**: the tenderer must provide references for three projects delivered in the last three years showing the necessary language coverage.

- **Criterion A4**: The tenderer must prove capacity to draft reports in English.

**Evidence A4**: the tenderer must provide three documents of at least 30 pages (report, study, etc.) in English that it has drafted and published or delivered to a client in the last two years. The verification will be carried out on 5 pages of each document.

- **Criterion A5**: The tenderer must prove its capacity to work in at least three EU countries.

**Evidence A5**: the tenderer must provide references for three projects delivered in the last three years.

**In order to prove their capacity, the tenderer must submit with its tender the evidence listed above.**

**b. Criteria and evidence relating to the team delivering the service:**

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

**Criterion B1 - Project Manager:**

- at least ten years of experience in the field of climate change including at least five years of experience in the management of projects in fields related to adaptation modelling, including overseeing project delivery, quality control of delivered service, client orientation and conflict resolution, experience in projects of a similar size (at least EURO 500 000) and coverage (at least three countries covered), with experience in management of multi-disciplinary teams of at least ten people;
- participation in at least one EU funded research project under FP7 and/or Horizon 2020 relevant to adaptation modelling;
- author or co-author of at least twenty (20) published papers within the last five years on topics relevant to adaptation modelling; and
- having experience with the Intergovernmental Panel on Climate Change (IPCC) as either (1) coordinating lead author, lead author, coordinating author, contributing author, chapter scientist, editor, or review editor of at least one chapter or report published by the IPCC within the last six years or (2) author or co-author of at least three published papers referenced in reports published by the IPCC within the last seven years.

**Evidence B1**: CV and list of publications

**Criterion B2 – Quality Assurance Manager:**

- at least ten years of experience in the field of climate change including at least five years of experience in one or more fields directly related to adaptation modelling;
- participation in at least one EU funded research project under FP7 and/or Horizon 2020 relevant to adaptation modelling;
- author or co-author of at least twenty (20) published papers within the last five years on topics relevant to adaptation modelling; and
- having experience with the IPCC as either (1) coordinating lead author, lead author, coordinating author, contributing author, chapter scientist, editor, or review editor of

at least one chapter or report published by the IPCC within the last six years or (2) author or co-author of at least three published papers referenced in reports published by the IPCC within the last seven years.

**Evidence B2:** CV and list of publications

**Criterion B3 - Language quality check:** All members of the team should have at least C1 level in the Common European Framework for Reference for Languages<sup>3</sup> in English.

**Evidence B3:** a language certificate or past relevant experience.

**Criterion B4 – All Experts:**

- At least three years of professional experience in one or more of the fields covered by adaptation modelling;
- participation in at least one EU funded research projects under FP7 and/or Horizon 2020 in one or more fields directly related to adaptation modelling;
- author or co-author of at least ten (10) published papers within the last five years on topics relevant to climate change and adaptation modelling;
- relevant higher education degree *at least at M.Sc. level* or equivalent professional experience and at least five years' professional experience in one or more of the fields covered by adaptation modelling.

**Evidence B4:** CV and list of publications

**In order to prove their capacity, the tenderer must submit with its tender the evidence listed above.**

## **2.4. Compliance with the minimum requirements**

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.

## **2.5. Award criteria**

The contract will be awarded to 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.

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<sup>3</sup> See [http://www.coe.int/t/dg4/linguistic/Cadre1\\_en.asp](http://www.coe.int/t/dg4/linguistic/Cadre1_en.asp)

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

- Technical sufficiency levels: Selected companies will have to score a minimum of 45, 14 and 6 points under criteria 1, 2 and 3 respectively, with a minimum total of 65 points.

Assessment of the tenders will focus on the quality of the proposed services therefore tenderers should elaborate on all points addressed by these specifications in order to score as many points as possible. The mere repetition of mandatory requirements set out in these specifications, without going into details or without giving any added value, will only result in a very low score. In addition, if certain essential points of these specifications are not expressly covered by the tender, the Commission may decide to give a zero mark for the relevant qualitative award criteria.

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

The degree to which the methodology shows the capacity to analyse, review and evaluate documents and figures, in accordance with the needs of the contracting authority will be assessed under this criterion. Furthermore the tender must demonstrate the capacity to resolve the questions underlying in the tender in a realistic and well-structured way, as well as demonstrate that the methods proposed are suited to the needs set out by the Commission in the Technical Specifications (see part 3).

- Sub-criterion 1.1 (5 points – minimum threshold 50%) – Inception Phase
- Sub-criterion 1.2 (20 points – minimum threshold 50%) – Comprehensive Desk Review
- Sub-criterion 1.3 (10 points – minimum threshold 50%) – Recommended approach to analysis and modelling
- Sub-criterion 1.4 (10 points – minimum threshold 50%) – Rapid analysis for practitioners and case studies
- Sub-criterion 1.5 (15 points – minimum threshold 50%) – Workshop preparation and implementation
- Sub-criterion 1.6 (10 points – minimum threshold 50%) – Dissemination of findings and results

## **2 Organisation of the work and allocation of resources (20 points – minimum threshold 50%)**

This criterion will assess how the roles and responsibilities of the proposed team and of the economic operators (in case of joint tenders, including subcontractors if applicable) are distributed for each task. It also assesses the global allocation of time and resources to the project and to each task or deliverable, and whether this allocation is adequate for the work. The tender should provide details on the allocation of time and resources and the rationale behind the choice of this allocation.

Details should be provided as part of the technical offer and not simply as part of the financial offer.

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

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

#### **2.5.1 Ranking and Award**

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

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

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

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

#### **2.6. Financial offer**

**The maximum budget allocated to this contract is fixed at EUR 650 000 (six hundred fifty thousand Euros)** excluding VAT (including fees, travel and all other costs. NB Travel and subsistence expenses should be part of the lump sum and will not be refunded separately). Any offers received that do not respect this maximum budget will be automatically excluded from the evaluation procedure. For guidance purposes see Annex 3.

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

Prices must be quoted free of all duties, taxes and other charges, including VAT, as the European Union is exempt from such charges under Articles 3 and 4 of the Protocol on the

privileges and immunities of the European Union. The amount of VAT may be shown separately.

### 3. TECHNICAL SPECIFICATIONS

#### 3.1 Introduction

##### 3.1.1 Scope and objectives

- (1) Global efforts are underway to curb greenhouse gas emissions and stabilise global warming. However, in the coming decades, greenhouse gas emissions and global warming will continue. This will lead to further climate change, as the global warming will increase from the current level of about 1°C towards 1.5°C or 2°C by mid-century.
- (2) In many cases, the changing climate leads to more intense and severe weather extremes such as heatwaves, cloudburst and drought, which in the absence of adaptation can cause significant adverse impacts.
- (3) In the coming decades, climate change may increasingly affect everyone, all sectors of the **economy and society**, individuals, communities, organisations, businesses, institutions, international relations, displacement, security, and so on.
- (4) As climate change manifests itself, the demand for better understanding through analysis and modelling will increase.
- (5) This study will focus in a broad and comprehensive manner on “adaptation modelling”, i.e. the *technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation*.
- (6) The overall objective of this study is to support better-informed decision-making on adaptation, which is among the priority areas of the EU Strategy on adaptation to climate change.
- (7) The specific objective is to review *adaptation modelling* with a view to provide a comprehensive, up-to-date and forward-looking overview that will inform the elaboration and assessment of investment and policy options.
- (8) Based on the review, a particular objective is to present a recommended approach to *adaptation modelling* as well as case studies of rapid/simplified analysis for practitioners.

##### 3.1.2 Background information

- (9) There is a substantial literature related to *adaptation modelling* including e.g. the recent report from the European Environment Agency on “*Climate change, impacts and vulnerability in Europe*”, reports from the Intergovernmental Panel on Climate Change (IPCC), and the *Projection of Economic Impacts of Climate Change in*

*Sectors of the European Union based on bottom-up Analysis (PESETA) series of projects with JRC.*

- (10) The changing climate is already visible and scientific analysis is attributing an increasing number of extreme events to climate change, in particular as regards the severity and intensity of events. There is an increasing amount of work ongoing in this field with, for example, the publication<sup>4</sup> of monthly and annual maps of significant climate anomalies.
- (11) Many of the changes will develop further with increasing levels of global warming. In round numbers, the coming three decades deserve particular attention as global warming will be moving towards the "well below 2°C" temperature goal of the Paris Agreement.
- (12) The possible doubling of global warming from the current level of about 1°C may have quite significant impacts on a range of weather and climate extremes. It could also compound slow onset events, such as droughts and desertification, and lead to tipping points in the climate systems. These changes and the related statistical aspects shall be well integrated in the analysis and modelling.
- (13) The EU Strategy on adaptation to climate change, which the European Commission adopted in 2013, supports better-informed decision-making on adaptation among other by addressing identified knowledge gaps and disseminating information.
- (14) The European Commission adopted<sup>5</sup> on 12 November 2018 the Report<sup>6</sup> on the evaluation of the EU Strategy on adaptation to climate change, which is accompanied by a detailed Staff Working Document (SWD<sup>7</sup>) and an Adaptation Preparedness Scoreboard<sup>8</sup> with Country Fiches for each of the Member States.
- (15) The evaluation confirmed among other a substantial increase of adaptation knowledge because of the Commission's efforts, notably through EU's research and innovation Framework Programmes and through the European Climate Adaptation Platform (Climate-ADAPT). However, none of the priority knowledge gaps identified in the EU adaptation strategy have been closed and new gaps have emerged. See the evaluation for details (see footnotes 5, 6 and 7).
- (16) As regards adaptation knowledge, the DG Climate Action (CLIMA) has notably engaged with the European Environment Agency (EEA), the Joint Research Centre (JRC), and the DG for Research and Innovation (RTD).

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<sup>4</sup> NOAA: <https://www.ncdc.noaa.gov/sotc/global/201807>

<sup>5</sup> Evaluation of the EU Adaptation Strategy: [https://ec.europa.eu/clima/news/europe-ready-climate-impacts-commission-evaluates-its-strategy\\_en](https://ec.europa.eu/clima/news/europe-ready-climate-impacts-commission-evaluates-its-strategy_en)

<sup>6</sup> Evaluation Report: [https://ec.europa.eu/clima/sites/clima/files/news/20181112\\_com\\_2018\\_738\\_en.pdf](https://ec.europa.eu/clima/sites/clima/files/news/20181112_com_2018_738_en.pdf)

<sup>7</sup> Evaluation SWD: [https://ec.europa.eu/clima/sites/clima/files/news/20181112\\_sw\\_d\\_2018\\_461\\_en.pdf](https://ec.europa.eu/clima/sites/clima/files/news/20181112_sw_d_2018_461_en.pdf)

<sup>8</sup> Scoreboard/Country Fiches: [https://ec.europa.eu/clima/sites/clima/files/news/20181112\\_sw\\_d\\_2018\\_460\\_en.pdf](https://ec.europa.eu/clima/sites/clima/files/news/20181112_sw_d_2018_460_en.pdf)

- (17) EEA plays an important role including compiling existing information and publishing pertinent reports on adaptation, which among other help to inform policy-making on adaptation at the EU level. EEA is managing the European Climate Adaptation Platform, Climate-ADAPT, which is used for the dissemination of adaptation knowledge.
- (18) JRC and CLIMA have a long-standing cooperation based on the sequence of PESETA projects. The first PESETA reports were published in 2009. PESETA III is recently finalised with an assessment of climate change impacts in Europe integrating climate and socio-economic projections, impact models and economic analysis – encompassing coastal areas, river floods, drought, agriculture, energy, transport, water resources, habitat loss, forest fires, and labour productivity, as well as heat mortality (using results from PESETA II). The latest iteration, PESETA IV is ongoing and will be completed in 2019; it will extend and further integrate the JRC sectoral impact models taking into account the temperature goals of the Paris Agreement and also high emission scenarios.
- (19) Within the Commission, RTD is responsible for the research programmes (FP7, Horizon 2020, and Horizon Europe). CLIMA contributes to the development of future research programmes (currently the preparation for the post-2020 EU research programme, Horizon Europe) and the implementation of the current research programme, Horizon 2020. In addition, CLIMA engages in an ad-hoc manner with EU funded research projects such as the ongoing project COACCH.
- (20) The recent and ongoing research programmes, FP7 and Horizon 2020, include projects covering a wide range of adaptation-relevant themes across societal challenges, e.g. nature-based solutions, urban, disaster risk reduction, climate services, modelling, health, etc.
- (21) As regards knowledge development, the current cooperation with JRC and RTD focuses on adaptation research, for example the development and use of advanced modelling bringing together climate change projections and impacts with the economic aspects, which typically cover a large geographical area such as the EU.
- (22) However, the “landscape” of adaptation-knowledge-providers-and-users is in constant development – it includes for example the Global Covenant of Mayors for Climate and Energy (and other urban initiatives), national and regional initiatives, practitioners engaged in making infrastructure resilient to the current and future climate, businesses, insurance, financial institutions, etc. Copernicus is emerging as a key resource for climate change data and projections with e.g. the recent launch of the Copernicus Climate Change Services<sup>9</sup> (C3S) and the Climate Data Store (CDS).
- (23) There is a comprehensive literature on various aspects of the technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation. This includes for example guidance,

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<sup>9</sup> Copernicus Climate Change Service, Climate Data Store: <https://climate.copernicus.eu/>



data<sup>10</sup>, results, reports published by a wide range of media and organisations including among other the European Commission, Member States, IPCC, LIFE adaptation projects, research projects funded by the EU under FP7 and Horizon 2020 (e.g. COACCCH, EconAdapt, BASE), Copernicus, European and International Financial Institutions, scientific publications, think tanks, **natural hazards and disasters**<sup>11</sup>, various levels of governance and government agencies across the world, cities and networks such as the Covenant of Mayors for Climate and Energy, and NGOs, etc.

### **3.1.3 Meetings and video-conferences with CLIMA**

- (24) The contractor shall foresee the meetings defined in the contract including these technical specifications. Meetings will take place in Commission premises in Brussels.
- (25) In addition to the workshop and meetings, the contractor shall foresee videoconferences with CLIMA at least on a monthly basis (and more frequently as required).
- (26) The contractor shall prepare brief minutes of the meetings and videoconferences and circulate for information to the participants by email within one week.

### **3.1.4 Languages**

- (27) All communication under this contract will be in English.
- (28) The workshop will be conducted in English.
- (29) All deliverable under this contract shall be in UK English as regards spelling, grammar and language usage, and adhere to the European Commission's guidelines on Clear Writing<sup>12</sup>.
- (30) Deliverables to be published by the European Commission (study report, brochures) shall adhere to the European Commission's Visual Identity guidelines<sup>13</sup>.

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<sup>10</sup> See e.g. Appendix I: <https://www.ametsoc.org/ams/index.cfm/publications/bulletin-of-the-american-meteorological-society-bams/state-of-the-climate/>

<sup>11</sup> JRC Research browser: <http://drmkc.jrc.ec.europa.eu/knowledge/Projects-Explorer> – Copernicus Emergency Management Service: <http://emergency.copernicus.eu/> – GDACS: global disaster overview: <http://www.gdacs.org/> – ERCC Portal: <http://erccportal.jrc.ec.europa.eu/> – Global settlements at risk for hazards: <https://ghsl.jrc.ec.europa.eu/atlas2017Overview.php> and <https://ghsl.jrc.ec.europa.eu/ccdb2016visual.php>

<sup>12</sup> Clear Writing: [https://ec.europa.eu/info/sites/info/files/clear\\_writing\\_tips\\_en.pdf](https://ec.europa.eu/info/sites/info/files/clear_writing_tips_en.pdf) and <https://publications.europa.eu/en/publication-detail/-/publication/c2dab20c-0414-408d-87b5-dd3c6e5dd9a5> (or newer)

<sup>13</sup> Visual Identity Guidelines: [https://ec.europa.eu/info/resources-partners/european-commission-visual-identity\\_en](https://ec.europa.eu/info/resources-partners/european-commission-visual-identity_en)

- (31) Deliverables to be published with open access (workshop proceedings, articles) shall adhere to the requirements of the publisher including as regards English language and layout.
- (32) As regards the final version of all deliverables to be published by the European Commission (study report, brochures), all infographics, illustrations, graphs, and data for case studies, etc. shall be submitted separately as individual files, and it shall be possible to edit all text (for example for translation purposes).

## **3.2 Inception Phase**

### **3.2.1 Specific objectives**

- (33) The inception phase serves to begin the work while ensuring particularly close coordination between the contractor and CLIMA. The objective is to ensure that any difficulties, risks, problems or differences in expectations will be addressed at an early stage. It is essential that the contractor demonstrate that the study will be completed in full compliance with the specifications of the contract.
- (34) The inception report (draft, draft final and final) shall address all pertinent issues under this contract including, but not limited to:
- The tasks and deliverables set out in the contract;
  - Workshop: proposal for the date, venue, programme, moderator, list of external participants, Gantt Chart for preparation and implementation and follow-up to the workshop, etc.;
  - Reference to the 36 potential case studies (see paras (38) and (73));
  - Recommendations of at least three reputable publishers for publication of the workshop proceedings (see para (120)) and the article summarising the main findings from the workshop (see para (125)). The publishers shall be reputable and respected in the scientific community for the peer review, quality and esteem;
  - The approach to stakeholder engagement (see e.g. para (48));
  - The approach to the interviews including specific objectives, questions, expected outcomes, planning, selection of those to be interviewed, processing, logistics, etc. (see para (52));
  - Selection and approval of the workshop moderator (see para (91));
  - Outline of the “main cases” referred in para (60).

### **3.2.2 Results**

- (35) The submission of a final inception report in full compliance with the specifications of the contract.

### **3.2.3 Time schedule, meetings, and reporting**

- (36) The inception phase shall be undertaken and completed within three (3) months from signature of the contract.
- (37) The inception phase will include the following meetings, which will take place in the premises of CLIMA in Brussels:
- The first meeting will take place within four (4) weeks from signature of the contract. The contractor shall submit the draft inception report one week before the meeting. At the meeting, the contractor will present the draft inception report. The contractor will circulate concise minutes one week after the meeting.
  - The second meeting will take place within eight (8) weeks from signature of the contract. The purpose is to discuss pertinent issues, completion of the inception report, and the preparation of the final meeting of the inception phase. The contractor will present a clear plan for completion of the study, including a detailed time schedule (Gantt chart) with all work streams and the matching resource allocation. The contractor will submit the related documents one week before the meeting. The contractor will circulate concise minutes one week after the meeting.
  - The third meeting will take place twelve (12) weeks from signature of the contract. The contractor shall submit the draft final inception report one week before the meeting. At the meeting, the contractor will present the draft final inception report. The contractor will circulate concise minutes one week after the meeting. The contractor will submit the final inception report within two weeks after the meeting.
- (38) The second meeting mentioned in para (37) will include presentation and discussion of the draft report on the rapid analysis by practitioners including the 36 case studies (see para (79)).

### **3.2.4 Deliverables – inception phase**

- (39) The reporting from this task includes:
- Minutes from each of the three meetings re para (37).
  - Draft, draft final, and final inception report re para (37).

## **3.3 Comprehensive Desk Review**

### **3.3.1 Background**

- (40) There is a substantial and growing body of knowledge in the field of *adaptation modelling*, which can help to inform investment and policy decisions. However, the knowledge is not always available in an immediate and operational manner. At the same time, as climate change manifests itself, the demand for better understanding through analysis and modelling will increase.

### 3.3.2 Specific objectives and results

- (41) Provide a comprehensive overview of the technical, financial, **economic and non-monetary** analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation. This should include a compendium of modelling tools/suite of models used, key characteristics, pros and cons. While the focus is on Europe, global studies and models/tools should also be considered.
- (42) Provide a concise summary of the comprehensive overview in para (41) suitable for a wider non-specialist audience. It will constitute a key reference and baseline for further work in this field and the basis for the publication defined in para (43).
- (43) Provide a brochure of about 12-16 pages summarising the concise summary in para (42). The brochure shall adhere to the European Commission's visual identity and guidelines on clear writing, and be fully finalised and ready for publication to the public interested in this topic (see para (135)).
- (44) **Identify further work** to support the development and application of the technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation, consider relevant options, and present clear recommendations.
- (45) **Identify the main cases of technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation.**
- (46) Include, as an annex to the report, a catalogue of relevant data sources and analysis and modelling tools.
- (47) Include, as an annex to the report, a catalogue of relevant research including relevant web-links and references to literature.
- (48) Engage extensively with stakeholders on these issues during the duration of the study (notably in the context of the workshop and the interviews).

### 3.3.3 Description

- (49) The overview of *adaptation modelling* will be based on a comprehensive desk review including but not limited to: concepts, methodologies, climate and **socio-economic** and spatial data sources, software tools, damage functions, and models relevant to the financial, economic and non-economic analysis and modelling of climate change hazards, risks, impacts, vulnerabilities, adaptation – including extreme and slow onset events, damage costs, adaptation options and costs, co-benefits, and other adaptation related issues, research and innovation networks<sup>14</sup>, etc.
- (50) The comprehensive desk review shall among other cover all relevant research projects funded by the EU under FP7 (e.g. ECONADAPT) and Horizon 2020 (e.g.

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<sup>14</sup> For example: [www.vandibyer.dk/english](http://www.vandibyer.dk/english)

COACCH), the series of JRC PESETA projects, IPCC 5th Assessment Report and main research published after the cut-off for the IPCC 5<sup>th</sup> Assessment Report, relevant LIFE projects, information published on Climate-ADAPT, scientific literature, as well as grey literature and case studies, etc.

- (51) The desk review shall among other cover relevant impacts (slow on-setting, extremes, combined, cascade, etc.), sectors (e.g. agriculture, forestry, health, urban, rural, coastal, SMEs)<sup>15</sup>, and levels of governance (e.g. EU, National, Regional, Local, Cities). It shall cover both EU focused and global studies/models/tools.
- (52) The desk review will be complemented by up to 25 interviews of relevant contact persons including representatives of CLIMA, EEA, JRC<sup>16</sup>, RTD, EASME, DEVCO, ECHO, REGIO, OECD, EUFIWACC<sup>17</sup>, leading researchers and scientists (e.g. from ongoing/recent EU funded research projects), and so on. It is foreseen that the interviews will take place in Brussels or by phone/videoconference. The interviews shall be summarised in an annex of the report.
- (53) This task will include main terms and principles, distinguish between technical, financial, economic and non-monetary analysis, include examples from literature, cover the set of essential climate variables (54+), macro-economic modelling, spatial data and resolution, socio-economic and other tipping-points<sup>18</sup>, extreme climate and weather events and the attribution<sup>19</sup> to global warming.
- (54) The desk review shall include machine learning approaches and how this could support *adaptation modelling*.
- (55) The review should include gender, social and inequality<sup>20</sup> issues amplified by climate change and adaptation.
- (56) The comprehensive and broad review will among other give attention to the following issues:
  - **Governance** – due consideration shall be given to:
    - the analysis of policy options at various levels of governance;

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<sup>15</sup> The list of sectors should in addition include those sectors identified by the Member States in their National Adaptation Strategies re the Adaptation Preparedness Scoreboard and Country Fiches published on 12 November 2018 with the Report on the Evaluation of the EU Strategy on adaptation to climate change (see footnotes 5-8)

<sup>16</sup> JRC publications: <http://publications.jrc.ec.europa.eu/>

<sup>17</sup> European Financing Institutions Working Group on Adaptation to Climate Change (EUFIWACC), which includes the French Development Agency (Agence française de développement, AFD); Council of Europe Development Bank (CEB); European Commission (DG CLIMA); European Bank for Reconstruction and Development (EBRD); European Investment Bank (EIB); Kreditanstalt für Wiederaufbau (KfW); Nordic Investment Bank (NIB); and Netherlands Development Finance Company (FMO).

<sup>18</sup> See e.g. <http://www.pnas.org/content/pnas/115/33/8252.full.pdf>

<sup>19</sup> See e.g. <https://www.nature.com/magazine-assets/d41586-018-05849-9/d41586-018-05849-9.pdf>  
<https://www.carbonbrief.org/mapped-how-climate-change-affects-extreme-weather-around-the-world>

<sup>20</sup> See e.g. <https://www.theguardian.com/cities/2018/aug/13/heat-next-big-inequality-issue-heatwaves-world>

- **typical approaches** to the technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation for various levels of governance (e.g. EU, National, Regional, Local, Cities) – including related barriers and facilitating factors. Identify best practice and promising approaches, and make summarising recommendations accordingly.
  - the Better Regulation guidelines<sup>21</sup> and guidance on impact assessments<sup>22</sup>, reports on the evaluation of the EU Adaptation Strategy, and other relevant documents, with a view to clarify and define the appropriate types of analysis, modelling, tools and data, which may be required at a later stage to underpin further development of the EU adaptation policy including a possible revision of the EU Adaptation Strategy.
  - clarity on best practices, barriers, facilitating factors, and recommended approaches to support policy making at various levels of governance, including at the EU level in accordance with Better Regulation guidelines;
  - presenting a brief and substantiated proposal on how to advance further in this field.
- **Climate and weather extremes until 2050 / 2°C** – due consideration shall be given to:
    - changes in climate and weather extremes in the coming decades, as global warming could double from currently about 1°C towards 2°C. These changes may lead to significant and accelerating risks from extreme events in a relatively short span of time, which could challenge adaptive capacities;
    - clarity on how to analyse and model in view of the foreseeable rapid changes in climate and weather extremes;
    - up-to-date knowledge on the impacts of climate change in the coming three decades, which will be particularly relevant for policy making;
    - impacts of climate change such as heat extremes<sup>23</sup> on human and animal health shall be taken into consideration;
    - analysis of climate and weather extremes shall take into account relevant cyclical natural phenomena<sup>24</sup>, and attribution science;
    - presenting a brief and substantiated proposal on how to advance further in this field.

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<sup>21</sup> Better Regulation Guidelines: <https://ec.europa.eu/info/sites/info/files/better-regulation-guidelines.pdf>

<sup>22</sup> [https://ec.europa.eu/info/law/law-making-process/planning-and-proposing-law/impact-assessments\\_en](https://ec.europa.eu/info/law/law-making-process/planning-and-proposing-law/impact-assessments_en)

<sup>23</sup> <https://www.theguardian.com/cities/2018/aug/13/halfway-boiling-city-50c>

<sup>24</sup> <https://www.theguardian.com/science/2018/aug/14/extreme-temperatures-especially-likely-for-next-four-years>

- **Adaptation options, analysis and modelling** – due consideration shall be given to:
  - adaptation options, i.e. what is needed for their implementation, scale, duration, monetary and non-monetary costs and benefits (direct and indirect, possible trade-offs, co-benefits);
  - take into account lessons learned and experience at the different scales, but it should go beyond a case-study approach to derive analyses and recommendations that are widely applicable, and feed into the simplified analyses;
  - focus, in agreement with CLIMA, on a limited number of key sectors and **key climate hazards**, and go in further depth with the response to the climate hazards and the relevant adaptation options as well as the analysis and modelling;
  - clarity on how to analyse and model relevant adaptation options;
  - presenting a brief and substantiated proposal on how to advance further in this field.

(57) The scope of the comprehensive desk review is not limited to any particular geographical area or region.

### **3.3.4 Deliverables, time schedule**

(58) The deliverables under this task includes:

- Draft, draft final, and final report providing the comprehensive overview re para (41).
  - The draft report shall be submitted twenty (20) weeks after signature of the contract. It shall be presented in a meeting at CLIMA two weeks after the submission. The contractor shall submit the minutes within one week from the meeting.
  - The contractor will prepare the draft final report based on the discussion and written comments within four weeks after the meeting.
  - The contractor will send the draft final report to the participants at least four weeks before the workshop. The contractor will finalise the report in view of presentations and comments received including during the workshop.
  - The final report, which shall be suitable for immediate publication, shall be submitted by the contractor to CLIMA four (4) weeks after the workshop.
  - The report shall include relevant annexes including, but not limited to:
    - List of relevant data sources and analysis and modelling tools for the technical, financial, economic and non-monetary analysis and

modelling of climate change hazards, risks, impacts, vulnerability and adaptation (see para (46)).

- List of research relevant to the financial and economic analysis and modelling of climate change impacts, vulnerabilities, and adaptation – including, but not limited to EU funded research under FP7 and Horizon 2020 (see para (47)).
  - The interviews (see paras (52) and (34)).
- The contractor will submit the draft report on the concise summary, see para (42), eight (8) weeks after the workshop. It shall be presented in a meeting with CLIMA two weeks after the submission. The contractor shall submit minutes within one week from the meeting.

The contractor will prepare the final report on the concise summary based on the discussion and written comments. It shall be submitted to CLIMA four (4) weeks after the meeting where it was discussed with CLIMA.

- Draft and final version of the brochure summarising the concise summary re para (43). The draft version of the brochure shall be submitted together with the final summary report. CLIMA will provide written comments within four (4) weeks. The contractor will finalise the brochure and submit the final version within four (4) weeks from receiving the written comments from CLIMA. It shall be final and suitable for immediate publication.

### **3.4 Recommended approach to analysis and modelling**

#### **3.4.1 Background**

- (59) Considering the substantial and growing body of knowledge related to *adaptation modelling*, it is increasingly necessary to identify best practices and the most promising approaches, synthesize available information, summarise, and derive recommended approaches to analysis and modelling (i.e. the toolbox). This should include close dialogue with relevant stakeholders and the community of researchers and practitioners and policy-makers in this field (notably through the workshop).

#### **3.4.2 Specific objectives and results**

- (60) Based on the desk review in chapter 3.3, summarise, substantiate, prioritise, and outline a recommended approach for each of the main cases of technical, financial, economic and non-monetary analysis and modelling of climate change hazards, risks, impacts, vulnerability and adaptation.
- (61) Define and outline relevant follow-up action for the coming five years period with a view to improving the approach for each of the main cases.



### 3.4.3 Deliverables

- (62) The reporting from this task includes:
- Draft, draft final, and final report on the recommended approach re para (60) and the follow-up action for the coming five years re para (61).
  - It shall adhere to the same time schedule as for the *comprehensive desk review* (see chapter 3.3.4).
  - The draft final report shall be presented to the workshop participants in the same way as the report for the *comprehensive desk review* (see chapter 3.3.4, para (58)).
  - The draft final report shall be presented and discussed at the workshop, and included in the workshop proceedings (see chapter 3.7.2).
  - The final report shall be summarised in a brochure (see para (135)).

## 3.5 Rapid analysis for practitioners

### 3.5.1 Background

- (63) With reference to chapter 3.1.1 and para (4), it seems reasonable to expect a significant expansion in the need for *adaptation modelling* to support rapid decision-making.
- (64) This task will address the subset of analysis and modelling that can be undertaken by practitioners as “back of the envelope” estimations, in a couple of hours or perhaps days, using low-cost tools such as open data (e.g. Copernicus) and free and open software tools (e.g. **R and Python**).
- (65) This is an exploratory and forward-looking task seeking to clarify the need and eventually define and substantiate a pilot approach.
- (66) The task includes the elaboration of a series of case studies as illustrative examples of simplified analysis (see section 3.5.4).

### 3.5.2 Specific objectives

- (67) Improving the analysis and decision-making at practitioners’ levels require among other a simplified approach, which supports rapid analysis at a competitive price, based in principle on open and free data and software.
- (68) The pilot approach on simplified analysis will encompass a (1) problem analysis (based on literature review, interviews and the workshop) focusing on the challenges and obstacles for practitioners’ analysis of adaptation issues, an (2) objectives analysis, (3) options analysis, and the (4) elaboration of a pilot project design using the logical framework matrix approach.

- (69) Furthermore, this task will include the elaboration of a series of cases of relevant simplified analysis. These cases shall be carefully selected to demonstrate the value of the pilot approach and the usefulness for various practitioners and stakeholders.
- (70) The problem and objectives analysis, logical framework approach, and the cases shall be presented at the workshop bringing together practitioners, researchers, modellers, private sector decision-makers, public sector policy-makers, and other relevant stakeholders.

### **3.5.3 Results**

- (71) The results are in particular forward-looking:
- Clarity on the challenges and obstacles based on a problem and objectives analysis;
  - Clarity on the next steps based on an options analysis and the analysis (logical framework approach) of a possible pilot project (*NB implementation of the pilot project is outside the scope of this contract*);
  - Engagement through the practitioners' workshop with the community of practitioners, researchers, modellers, private sector decision-makers, public sector policy-makers, and other relevant stakeholders;
  - Collection of about 24 cases demonstrating the relevance of rapid/simplified analysis.

### **3.5.4 Case studies for simplified analysis**

- (72) The contractor shall prepare a list of about 36 potential case studies. Each case study should include a brief description, essential physical equations, clear link to climate change, relevant sources of climate data, justification, and indicative prioritisation. This draft list should be included in the inception report (see chapter 3.2 on p. 18).
- (73) An initial list of the 36 potential case studies shall be included with the offer and in the inception report (see para (34)).
- (74) The contractor shall present the list and the potential case studies as part of the Inception Phase (see chapter 3.2).
- (75) When compiling the potential case studies, the contractor shall take into consideration all relevant issues including attribution science, as well as, but not limited to the following:
- Heatwaves: combined impacts of heat and humidity on the health and mortality of humans (e.g. heatstroke, dehydration, exhaustion and breathing problems, experiencing falls, etc.), livestock and other mammals as well as chicken and

other birds. Relevant thresholds for daytime heat, night-time cooling, relative humidity, as well as solar radiation and other sources of heat. Urban<sup>25</sup> heat island effect and the links to architecture and urban planning.

- **Drought:** duration, temperature, evaporation, soil humidity, crop yield, and rainfall variability and related changes, interplay with management/human action.
  - Wildfires, forest fires: including the link with higher temperatures, more extreme heatwaves, and the possible combination with drought, as well as lightning, and interplay with management/human action.
  - Cloudburst: more intense rainfall, seasonal changes and variability, combination with the spring snow melt, etc.
  - Sea level rise, storm surges, tide, sinking cities (e.g. due to groundwater extraction), coastal erosion and flooding.
  - Ecosystem-based adaptation, i.e. the use of biodiversity and ecosystem services as part of an overall adaptation strategy.
  - Agricultural yield globally and the world market for main crops: link to food security globally and how markets may respond to changes in risk patterns.
  - Groundwater, higher and lower levels of groundwater and the link to changing precipitation and evaporation and extraction, and links to agricultural yield and the resilience of vegetation as well as wildfires.
  - Attribution<sup>26</sup> of climate and weather extremes to global warming.
  - Climate vulnerability and risk assessment of infrastructure, buildings, industry and urban areas as well as networks such as TEN-T, supply chains and asset management – and how to ensure the climate resilience<sup>27</sup>.
- (76) Crosscutting issues such as gender, inequality, socially vulnerable groups, disruptions, increase of risk and losses undermining economic activity and livelihood locally, displacement, security, human trafficking and so on should be taken into account where relevant and practical for simple analysis.
- (77) From the list of potential case studies, CLIMA will select **about 24 case studies** to be taken forward. The contractor will elaborate the series of selected case studies in more detail, which the contractor shall present in a report.

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<sup>25</sup> <https://www.theguardian.com/cities/2018/aug/13/halfway-boiling-city-50c>

<sup>26</sup> See e.g. <https://www.worldweatherattribution.org/>

<sup>27</sup> Brochure: [https://ec.europa.eu/clima/sites/clima/files/docs/major\\_projects\\_en.pdf](https://ec.europa.eu/clima/sites/clima/files/docs/major_projects_en.pdf)

### **3.5.5 Deliverables**

- (78) The reporting from this task includes:
- Draft report including 36 case studies.
  - Draft final report with the selected 24 case studies
  - Final report with the selected 24 case studies
- (79) The reporting shall adhere to the same time schedule as for the *comprehensive desk review* (see chapter (57) on p. 23), except the draft report shall be submitted together with the draft final inception report and be discussed together with the draft final and final inception report.
- (80) The draft final report shall be presented to the workshop participants in the same way as the report for the *comprehensive desk review* (see chapter 3.3.4, para (58)).
- (81) The draft final report shall be presented and discussed at the workshop, and relected with the discussion in the workshop proceedings (see chapter 3.7.2).
- (82) The final report shall be summarised in a brochure (see para (135)).

## **3.6 Workshop**

- (83) It is essential to engage with stakeholders and the community of researchers and practitioners, policy-makers and other stakeholders in this field. Therefore, the contractor shall organise a workshop to present and validate the findings and conclusions of this study.
- (84) The contractor shall cover the costs of the workshop and the tasks defined in this chapter.

### **3.6.1 Venue**

- (85) The workshop shall take place in Brussels outside Commission premises.
- (86) The contractor shall organise the workshop in a suitable venue/hotel with accommodation, catering and refreshments.

### **3.6.2 Participants**

- (87) The contractor shall propose the list of external participants (experts, stakeholders) for approval by CLIMA.

- (88) The contractor shall foresee the following number of participants for the workshop:
- Up to forty (40) external participants (experts, stakeholders) (see para (90));
  - Up to five (5) participants from the contractor<sup>28</sup>;
  - 1 workshop moderator;
  - Up to fifteen (15) participants from (or invited directly<sup>29</sup> by) the European Commission.
- (89) The list of invited external participants shall:
- include European and International leading experts in the field of adaptation to climate change and adaptation modelling;
  - whereas the majority of participants will come from EU Member States, the contractor shall include in the offer that up to five (5) of the external participants may travel from outside the EU;
  - give attention to ensuring a reasonable gender and geographical balance as well as the participation of young researchers.
- (90) The contractor will arrange hotel, travel and daily allowance for the external participants (i.e. the first bullet-point in para (88)).
- (91) The contractor will cover the cost of the moderator.
- (92) Meals (breakfast, lunch, dinner) are covered for the external participants by the daily allowance.
- (93) The external participants shall be accommodated at or near the workshop venue.
- (94) The external participants are eligible for hotel expenses and daily allowance re para (103) and travel by train/air re para (104).
- (95) All participants re para (88) will take part in the workshop including coffee breaks, catering and refreshment, networking reception, etc.

### **3.6.3 Duration and typical programme**

- (96) The workshop shall have a duration of about 2 days.

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<sup>28</sup> Not including (and therefore not limiting the number of) the contractor's logistic support staff

<sup>29</sup> For example from EEA, EIB and other European Financial Institutions

(97) **Indicatively, the typical workshop programme could include:**

• **Day 1:**

- participants will typically travel to Brussels the day before
- registration 09:00-09:30 with coffee/tea/water/juice/pastry/fruit/etc.
- opening of the workshop at 09:30
- break 12:00-12:30 with water/refreshment/snacks/sandwich/fruit/etc.
- resuming after the break at 12:30
- coffee break with snacks/sandwich/fruit at 14:45-15:00
- breakout sessions 15:00-17:00
- plenary 17:00-18:00
- workshop programme will end at 18:00
- networking reception with drinks and snacks 18:00-20:00

• **Day 2:**

- resuming the workshop at 08:30
- group photo at 10:00 followed by coffee break with snacks/sandwich/fruit
- breakout sessions 10:30-12:00
- break 12:00-12:30 with water/refreshment/snacks/sandwich/fruit/etc.
- plenary at 12:30
- breakout sessions 13:30-15:00
- plenary 15:00-16:00
- concluding plenary 16:00-17:00
- end of the workshop at 17:00
- participants return home during the evening

(98) The contractor shall propose the final workshop programme for approval by CLIMA. It shall be part of the draft and final workshop dossiers (see para (109)).

(99) The programme will include presentations and panel-sessions in plenary, breakout sessions, etc.

(100) In addition to the room for plenary, the contractor shall foresee at least four breakout groups for each of the breakout sessions.

(101) The workshop shall include breakout sessions including on the issues emphasised in para (56) (notably on how to advance further in the three fields) and main findings and issues from chapters 3.3, 3.4 and 3.5.

#### **3.6.4 Hotel, daily allowance and travel**

(102) The contractor is deemed to have included in the offer all costs related to the workshop such as venue, facilities, hotel, daily allowance and travel, moderator, refreshments, coffee, tea, drinks, reception, sandwich, fruit, free Wi-Fi for all participants, etc.

(103) The contractor shall cover the hotel expenses and daily allowance for the external participants (experts, stakeholders) participating in the workshops within the following applicable ceilings:

- a. All workshops will take place in Brussels. The ceiling for hotel expenses is EUR 148 per night. The daily allowance is a flat rate amount to cover part of the mission expenses, which is fixed at EUR 102 for Belgium.
  - However, as the contractor shall provide the external participants (experts, stakeholders) with accommodation at/near the workshop venue, the ceiling for hotel expenses will usually not be applicable, except if participants choose other accommodation.
  - The contractor will pay the daily allowance to the external participants (experts, stakeholders) – which is fixed<sup>30</sup> at EUR 306 for a two day workshop and up to one day for travelling – **not later than at the beginning of the workshop.**
- b. Where meals are provided as part of the workshop, the daily allowance shall be reduced with the following percentages: 15% to cover breakfast, 25% to cover lunch, and 25% to cover dinner, while 35% remain for incidental expenses.
  - However, receptions, refreshments and breaks with snacks/sandwich/fruit (e.g. as mentioned in para (97)) do not count as meals.
- c. Incidental expenses included in the daily allowances cover local public transport, rental of a meeting room, telecommunication fees, translation / photocopying fees, fees for access to waiting facilities, local taxes not related to accommodation.

(104) The contractor shall cover the cost and arrange for travel for the external participants participating in the workshop:

- a. Travelling by train:
  - Less than 400 km: The train is considered the most appropriate means of transport for journeys of less than 400 Km.
  - First class train travel is accepted. Any additional costs (booking of seats, etc.) are also refundable upon presentation of supporting documents.
- b. Travelling by air – air travel may be booked in:
  - "economy" or equivalent class (for flights lasting up to 4 hours), using the most cost/effective fare for trips including at least one segment with an effective and continuous flight lasting less than four hours;

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<sup>30</sup> Additional days of daily allowance may be applicable to participants from outside the EU to cover travelling exceeding one day.

- "business" or equivalent class (for flights above 4 hours), using the most cost/effective fare for trips including at least one segment with an effective and continuous flight lasting at least four hours.

### **3.6.5 Time schedule**

- (105) In the Inception Report, the contractor shall propose a time schedule for the implementation of the contract including the workshop.
- (106) The workshop should take place as early as possible within the framework of the contract including these technical specifications.

### **3.6.6 Preparation of the workshop**

- (107) The contractor shall undertake the preparation of the workshop.
- (108) The preparation includes timely identification and confirmation of experts and speakers (i.e. the external participants) and other participants (see para (88)), preparation of invitations, arrangements for hosting of the event, finalisation of the programme, and engagement of a professional moderator, and other pertinent tasks. These steps shall be finalised, including the list of confirmed participants, at least 12 weeks before the workshop.
- (109) The contractor shall compile a workshop dossier covering all relevant issues including those set out in para (108). The final dossier shall be submitted to CLIMA twelve (12) weeks before the workshop. The contractor shall submit the draft dossier to CLIMA sixteen (16) weeks before the workshop and present it in a meeting with CLIMA one week after the submission. The contractor shall submit minutes one week after the meeting.
- (110) The speakers are expected to present scientific, economic and/or policy based papers in a manner suitable for inclusion in the workshop proceedings. The papers can cover summary and main results of published research and findings (peer reviewed) or unpublished work.
- (111) The contractor shall request the speakers to submit their presentations and papers (in final version) not later than two weeks before the concerned workshop.
- (112) The programme shall include welcoming remarks by the European Commission and a scene-setter presentation by the contractor.
- (113) As part of the workshop preparation, the contractor shall present the draft welcoming remarks and the scene setter presentation to CLIMA for comments and approval not later than four weeks before the workshop.

### **3.6.7 Implementation of the workshops**

- (114) The contractor shall diligently steer the implementation of the workshops.



### **3.6.8 Deliverables**

(115) The deliverables include:

- Draft and Final Workshop Dossier (see paras (109) and (98));
- Draft and Final Workshop Proceedings (see chapter 3.7.2);
- Draft and Final Summarising Article with main findings from the workshop (see chapter 3.7.3)

## **3.7 Dissemination of findings and results**

### **3.7.1 Final report**

(116) The final report shall be prepared in accordance with the Visual Identity<sup>31</sup> of the European Commission.

(117) The European Commission will publish the final report.

(118) The final study report will indicatively consist of three volumes with the:

- Comprehensive Desk Review (see chapter 3.3) with annexes (see para (58)) including the concise summary (see para (42));
- Recommended approach to analysis and modelling (see chapter 3.4);
- Rapid analysis for practitioners (see chapter 3.5) including the 24 case studies (see chapter 3.5.4).

### **3.7.2 Workshop proceedings – preparation and publication with open access**

(119) The contractor shall prepare the workshop proceedings.

(120) The workshop proceedings shall be published in a suitable manner<sup>32</sup> with open access by a reputable publisher (see para (34)).

(121) The contractor shall cover the costs related to the preparation and publication of the workshop proceedings including open access.

(122) The workshop proceedings will be co-edited by one or more staff members of CLIMA, the contractor, and indicatively selected participant(s) of the workshop.

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<sup>31</sup> Visual Identity Guidelines: [https://ec.europa.eu/info/resources-partners/european-commission-visual-identity\\_en](https://ec.europa.eu/info/resources-partners/european-commission-visual-identity_en)

<sup>32</sup> Such as or similar to Springer Workshop Proceedings with open access: <https://www.springer.com/gp/authors-editors/conference-proceedings> or Elsevier with open access : <https://www.elsevier.com/authors>

- (123) The contractor will provide guidance for the preparation of contributions and the proceedings to authors and editors well in advance of the concerned workshop.
- (124) The contractor shall submit the draft workshop proceedings for approval to CLIMA within two weeks of the concerned workshop. The contractor shall finalise the workshop proceedings within an additional two weeks from receiving the approval and/or comments from CLIMA. The contractor shall proceed with the publication of the workshop proceedings without delay and ensure that the proceedings will be publicly available (open access) **within four months**<sup>33</sup> from the workshop.

### **3.7.3 Summary of the main findings – Article for publication in a scientific journal**

- (125) Based on the workshop proceedings (see section 3.7.2) and other relevant information, the contractor shall prepare a comprehensive and summarising article for publication in a reputable scientific journal with peer review and open access (see para (34)).
- (126) The contractor shall cover the costs related to the preparation and publication of the summarising article including open access.
- (127) The summarising article will be co-authored by one or more staff members of CLIMA, the contractor, and indicatively selected participant(s) of the workshop.
- (128) The contractor shall submit the draft summarising article for approval to CLIMA within four weeks of the concerned workshop. The contractor shall finalise the summarising article within an additional four weeks from receiving the approval and/or comments from CLIMA. Subject to approval of the final version by CLIMA, the contractor shall proceed with the publication of the summarising article without delay and **ensure** that it will be publicly available (open access) within four months<sup>34</sup> from the workshop.

### **3.7.4 Lunchtime event in CLIMA**

- (129) The contractor shall summarise the workshop outcome and discussions and present the proceedings at a lunchtime event at the premises of the European Commission in Brussels.
- (130) Usually, a lunchtime event will take about 60-90 minutes and include a brief introduction by CLIMA, presentation by the contractor, and a questions and answers session.
- (131) The lunchtime event shall take place within four to six weeks after the workshop.
- (132) CLIMA will arrange for the invitations to the lunchtime event.

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<sup>33</sup> and in any case before the completion of this contract

<sup>34</sup> and in any case before the completion of this contract

- (133) The contractor shall provide the PowerPoint presentation and other documents for circulation to the participants (latest two weekdays before the lunchtime event).
- (134) The PowerPoint presentation may be reused in full or in part by the Commission and it may be published online on **e.g. Climate-ADAPT**.

### **3.7.5 Summarising brochures to be published on CLIMA's website and Climate-ADAPT**

- (135) The contractor shall prepare the following brochures:
- Brochure (12-16 pages) summarising comprehensively the study and its findings (see para (43));
  - Brochure (8-12 pages) on the “Recommended approach to analysis and modelling” (see chapter 3.4);
  - Brochure (12-16 pages) on the “Rapid analysis for practitioners” with summary and examples from the case studies for simplified analysis (see chapter 3.5).
- (136) The brochures are expected to include for illustrative purposes about one picture per page for which the contractor shall obtain, and transfer to the Commission, the necessary rights for printed and online use.
- (137) The contractor shall present the draft brochures within four weeks from the lunchtime event in CLIMA (see chapter 3.7.4). The contractor will receive comments from CLIMA within three weeks. The contractor shall submit the final brochures within four weeks from receiving the comments from CLIMA.
- (138) The contractor must apply the rules set out in Visual Identity Manual for the graphic design of both the cover page and the internal pages of the brochures. The professional font (**EC Square Sans Pro**) to be used will be made available to the contractor free of charge upon acceptance of the terms and conditions of its use after contract signature. No template will be provided to tenderers while preparing their tenders.

#### **Duration of the tasks**

The contractor is expected to ensure a speedy implementation of the contract. The tasks should be completed as early as possible in accordance with the technical specifications and within **18 months** of the signature of the contract. The execution of the tasks may not start before the contract has been signed.

#### **Place of performance**

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

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

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

### **4.1. Content**

#### **4.1.1. 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.”*

#### **4.1.2. 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.”*

#### **4.1.3. 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](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/>.

#### **4.2. Structure**

The study final report shall be prepared on the basis of the technical specifications (see e.g. chapter 3.7.1 above) and the structure shall be agreed with CLIMA.

#### **4.3. 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](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.

**ANNEX 1 - ADMINISTRATIVE INFORMATION FORM**

*(To be signed by the tenderer only or the lead tenderer in the case of joint bids)*

**Organisation or individual:**

**NAME:** .....

**ADDRESS:** .....

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

.....

**PERSON AUTHORISED TO SIGN CONTRACT:**

**Name and position:** .....

**PERSON FOR ROUTINE CONTACT:**

**Name and position:** .....

**ADDRESS:** .....

**Telephone and E-mail:** .....

**Signature of Tenderer** .....

**ANNEX 2 – QUESTIONNAIRE FOR JOINT BIDS AND SUBCONTRACTING**

*(To be completed and signed by the lead tenderer)*

**Joint bid (refer to paragraph 1.4)**

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

**Subcontracting (refer to paragraph 1.5)**

5. Does your bid involve subcontracting?      Yes       No

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

6.

List of sub-contractors:

Percentage of subcontracting:

.....

.....

.....

.....

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

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

Name of the sub-contractor:

.....

Official legal form:

.....

Country of registration:

.....

Statutory registration number:

.....

(Internet address, if applicable):

.....

Official address in full:

.....

.....

Contact person:

.....

Telephone number:

.....

Reasons for subcontracting:

.....

Role, activities and responsibilities of the sub-contractor:

.....

The volume or the proportion of the sub-contracting:

.....

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

.....

**Tenderer:**

**Date:**

**Signature:**



### ANNEX 3 – FINANCIAL OFFER TEMPLATE

*(To be completed and signed by the tenderer only or the lead tenderer in the case of joint bids)*

(for guidance purposes only)

#### Price and Estimated budget breakdown

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

Type of service provider	Position within the project team	Number of working days	Allocation of tasks	Proportion of the contract in %	Costs in €
<b>Lead contractor</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i>Sub-total</i>	.....		.....	.....
<b>Sub-contractor 1</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i>Sub-total</i>	.....		.....	.....
<b>Sub-contractor 2</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i>Sub-total</i>	.....		.....	.....
<b>Sub-contractor 3</b>					
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	<i>Sub-total</i>	.....		.....	.....
<b>Travel/other costs<sup>1</sup> (if applicable)</b>					
	<b>Total</b>	.....		.....	.....

**Signature of Tenderer**

.....

**Date**

.....

\_\_\_\_\_

<sup>1</sup> Will be reimbursed on a lump-sum basis.

## **ANNEX 4 - LEGAL ENTITY AND FINANCIAL IDENTIFICATION FORMS**

These forms can be downloaded from

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm)  
(Legal entity form)

*(To be signed by the tenderer and all members of the group in the case of joint tender (not necessary for subcontractors))*

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/financial\\_id/financial\\_id\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm)  
(financial identification form)

*(One form per offer to be signed by the tenderer or lead tender in the case the of joint tender)*



## I – Situation of exclusion concerning the person

➤ declares that the above-mentioned person is in one of the following situations:	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 EU or national laws 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 applicable law;	<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 or an agreement;	<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 the following:		
(i) fraud, within the meaning of Article 3 of Directive (EU) 2017/1371 and 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 4(2) of Directive (EU) 2017/1371 and Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997, and conduct referred to in Article 2(1) of Council Framework Decision 2003/568/JHA, as well as corruption as defined in the applicable law;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) conduct related to a criminal organisation, as referred to in Article 2 of Council Framework Decision 2008/841/JHA;	<input type="checkbox"/>	<input type="checkbox"/>

(iv) money laundering or terrorist financing, within the meaning of Article 1(3), (4) and (5) of Directive (EU) 2015/849 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 offences concerning trafficking in human beings as referred to in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
e) it has shown significant deficiencies in complying with the main obligations in the performance of a contract or an agreement 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 a contracting authority, the European Anti-Fraud Office (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) it has been established by a final judgment or final administrative decision that the person has created an entity under a different jurisdiction with the intent to circumvent fiscal, social or any other legal obligations in the jurisdiction of its registered office, central administration or principal place of business.	<input type="checkbox"/>	<input type="checkbox"/>
h) ( <i>only for legal persons</i> ) it has been established by a final judgment or final administrative decision that the person has been created with the intent provided for in point (g).	<input type="checkbox"/>	<input type="checkbox"/>
i) for the situations referred to in points (c) to (h) above the person is subject to: <ul style="list-style-type: none"> <li>i. facts established in the context of audits or investigations carried out by the European Public Prosecutor's Office after its establishment, the Court of Auditors, the European Anti-Fraud Office (OLAF) or the internal auditor, 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;</li> <li>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;</li> <li>iii. facts referred to in decisions of entities or persons being entrusted with EU budget implementation tasks;</li> <li>iv. information transmitted by Member States implementing Union funds;</li> <li>v. decisions of the Commission relating to the infringement of Union competition law or of a national competent authority relating to the infringement of Union or national competition law; or</li> <li>vi. decisions of exclusion by an authorising officer of an EU institution, of a European office or of an EU agency or body.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>

## II – Situations of exclusion concerning natural or legal persons with power of representation, decision-making or control over the legal person and beneficial owners

*Not applicable to natural persons, Member States and local authorities*

➤ The signatory declares that a natural or legal 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 e.g. company directors, members of management or supervisory bodies, and cases where one natural or legal person holds a majority of shares), or a beneficial owner of the person (as referred to in point 6 of article 3 of Directive (EU) No 2015/849) is in one of the following situations:	YES	NO	N/A
<b>Situation (c) above (grave professional misconduct)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Situation (d) above (fraud, corruption or other criminal offence)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Situation (e) above (significant deficiencies in performance of a contract )</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Situation (f) above (irregularity)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Situation (g) above (creation of an entity with the intent to circumvent legal obligations)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Situation (h) above (person created with the intent to circumvent legal obligations)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## III – Situations of exclusion concerning natural or legal persons assuming unlimited liability for the debts of the legal person

➤ declares that 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:	YES	NO	N/A
<b>Situation (a) above (bankruptcy)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Situation (b) above (breach in payment of taxes or social security contributions)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## IV – Grounds for rejection from this procedure

(4) declares that the above-mentioned person:	YES	NO
<b>Was previously involved in the preparation of the procurement documents used in this award procedure, where this entailed a breach of the principle of equality of treatment including distortion of competition that cannot be remedied otherwise.</b>	<input type="checkbox"/>	<input type="checkbox"/>

## V – Remedial measures

If the person declares one of the situations of exclusion listed above, it must indicate measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. This may include e.g. technical, organisational and personnel measures to prevent further occurrence, compensation of damage or payment of fines or of any taxes or social security contributions. The relevant documentary evidence which illustrates the remedial measures taken must be provided in annex to this declaration. This does not apply for situations referred in point (d) of this declaration.

## VI – Evidence upon request

Upon request and within the time limit set by the contracting authority the person must provide information on natural or legal persons that are members of the administrative, management or supervisory body or that have powers of representation, decision or control, including legal and natural persons within the ownership and control structure and beneficial owners.

It must also provide the following evidence concerning the person itself and the natural or legal persons on whose capacity the person intends to rely, or a subcontractor and concerning the natural or legal persons which assume unlimited liability for the debts of the person:

**For situations described in (a), (c), (d), (f), (g) and (h), 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 (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.

The person is not required to submit the evidence if it has already been submitted for another award procedure of the same contracting authority<sup>2</sup>. The documents must have been issued no more than one year before the date of their request by the contracting authority and must still be valid at that date.

The signatory declares that the person has already provided the documentary evidence for a previous procedure and confirms that there has been no change in its situation:

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<sup>2</sup> The same institution or agency.

Document	Full reference to previous procedure
<i>Insert as many lines as necessary.</i>	

## VII – Selection criteria

	YES	NO	N/A
(1) declares that the above-mentioned person complies with the selection criteria applicable to it individually as provided in the tender specifications:			
<b>(a) It fulfills the selection criteria applicable to the tenderer based on the declaration on honour provided (see Annex 5) indicated in section [2.3.1] of the tender specifications.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>(b) It has the legal and regulatory capacity to pursue the professional activity needed for performing the contract as required in section [2.3.2] of the tender specifications;</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>(c) It fulfills the applicable economic and financial criteria indicated in section [2.3.3] of the tender specifications;</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>(d) It fulfills the applicable technical and professional criteria indicated in section [2.3.4] of the tender specifications.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO	N/A
(2) if the above-mentioned person is the <b>sole tenderer</b> or the <b>leader in case of joint tender</b> , declares that:			
<b>(e) the tenderer, including all members of the group in case of joint tender and including subcontractors if applicable, complies with all the selection criteria for which a consolidated assessment will be made as provided in the tender specifications.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## VIII – Evidence for selection

The signatory declares that the above-mentioned person is 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.

The person is not required to submit the evidence if it has already been submitted for another procurement procedure of the same contracting authority<sup>3</sup>. The documents must have been issued no more than one year before the date of their request by the contracting authority and must still be valid at that date.

The signatory declares that the person has already provided the documentary evidence for a previous procedure and confirms that there has been no change in its situation:

\_\_\_\_\_

<sup>3</sup> The same institution of agency.



Document	Full reference to previous procedure
<i>Insert as many lines as necessary.</i>	

*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.*

Full name

Date

Signature

## ANNEX 6

### Travel and subsistence costs

(Only applicable if the organisation of workshops/conferences is specified in the tender specifications –  
Not applicable to contractor's own staff)

Travel costs must be based on the following:

- Train: first-class rail travel for journeys less than 400 km (one way).
- Flight: economy class air travel for distances of more than 400 km. Business class is allowed for a flight of 4 hours or more without stopovers.
- Private car: the travel shall be reimbursed at the same rate as the first-class rail ticket, or by default at the rate of 0.22 € per km.

Different travel options will not be accepted and will entail the refusal of the offer. Amounts must be quoted in EURO. Prices must be fixed amounts and be calculated exclusive of all duties and taxes.

#### Maximum rates for accommodation and meals.

Destination	Hotel ceiling in euros	Daily allowance in euros
Belgium	148	102
Bulgaria	135	57
Czech Republic	124	70
Denmark	173	124
Germany	128	97
Estonia	105	80
Ireland	159	108
Greece	112	82
Spain	128	88
France	180	102
Croatia	110	75
Italy	148	98
Cyprus	140	88
Latvia	116	73
Lithuania	117	69
Luxembourg	148	98
Hungary	120	64
Malta	138	88
Netherlands	166	103
Austria	132	102
Poland	116	67
Portugal	101	83
Romania	136	62
Slovenia	117	84
Slovak Republic	100	74
Finland	142	113
Sweden	187	117
United Kingdom	209	125

Rates for hotel and subsistence for countries not included in the above table will be provided by the Commission services if necessary.

## **ANNEX 7 - ACKNOWLEDGEMENT OF RECEIPT**



**EUROPEAN COMMISSION**  
DIRECTORATE-GENERAL  
CLIMATE ACTION  
A4 – Financial Resources and Planning Unit

*(Please fill in your address)*

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### **ACKNOWLEDGEMENT OF YOUR TENDER**

**Our reference: CLIMA.A.3/ETU/2018/0010**

**Your reference:**

We wish to confirm the receipt and opening of your offer<sup>1</sup>. Your offer will now be evaluated by the Commission and its experts. You will be informed of the result in due course.

We thank you for your interest.

ProcurementTeam  
CLIMA A.4

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