

Tender Documents

Part II

Tender Specifications

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1 Overview of this Tender

1.1 Introduction to the S2R JU

The Shift2Rail Joint Undertaking (hereinafter “the S2R JU”, “the Joint Undertaking” or “the Contracting Authority”), is a public-private partnership in the rail sector, established under Horizon 2020, to provide a platform for coordinating research activities with a view to driving innovation in the rail sector in the years to come. It was established on 7 July 2014, following the entry into force of [Council Regulation \(EU\) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking](#).

1.2 Description of the Contract

The service required by the S2R JU under the contract to be potentially awarded as a result of this call for tender are described in the **Technical Specifications in Section 2** of the present tender specifications.

1.3 Timetable

| Summary timetable | Date | Comments |
|--|-------------------------------|--|
| Launch date | 9 August 2016 | |
| Deadline for addressing requests for clarification to the S2R JU | 3 October 2016 at 12:00 noon. | |
| Last date on which clarifications are issued by the S2R JU | 7 October 2016 at 17:00. | Tenderers are advised to check the S2R JU Procurement Webpage on a regular basis for possible updates and/or clarifications. |
| Deadline for Submission of Tenders | 12 October 2016 | Tenders delivered by hand shall be submitted not later than 17:00h* |
| Opening Session | 19 October 2016 at 11:00 AM* | Maximum one legal representative per participating tenderer may attend the opening session. Tenderers shall inform the Joint Undertaking of their intention to attend, at least 5 working days prior to the opening session. |
| Completion Date for Evaluation of Tenders | 24 October 2016 | Estimated |
| Signature of Contracts | 7 November 2016 | Estimated |

* Brussels Time

1.4 Eligibility - Participation in the Tender Procedure

This procurement procedure is open to any natural or legal person wishing to bid for the assignment and established in any of the European Union Member States.

In addition, tenderers must not be in any situation of exclusion under the exclusion criteria indicated in section 3.1 / Annex II of these tender specifications and must have the legal capacity to allow them to participate in this tender procedure (see section 3.2.1).

Please note that any attempt by a tenderer to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the S2R JU during the process of examining, clarifying, evaluating and comparing tenders will lead to the rejection of his tender and may result in administrative penalties.

1.5 Joint Tenders - Participation of Consortia

Consortia may submit a tender on the condition that it complies with the rules of competition including satisfying the requirements under the exclusion criteria (see section 3.1) applicable to the award of the contract.

A consortium may be a permanent, legally-established grouping or a grouping which has been constituted informally for a specific tender procedure. All members of a consortium (i.e. the leader and all other members) are jointly and severally liable to the Contracting Authority.

For each consortium member, the tenderer must, **at the time of tender submission**¹:

- ✓ Specify the company or person heading the project (the leader) and submit, a copy of the document authorising this company or person to submit a tender on behalf of the consortium (e.g. power of attorney) – *alternatively, if already available at the time of tender submission, a duly signed and dated (by each member) consortium agreement.*
- ✓ Submit the required evidence for exclusion criteria (see section 3.1.i).
- ✓ Submit the required evidence for selection criteria – legal capacity (see section 3.2.1).
- ✓ For the selection criteria - economic & financial capacity (see section 3.2.2) and technical & professional capacity (see section 3.2.3) the evidence should be provided by each member of the consortium, but will be checked to ensure that the consortium as a whole fulfils the criteria (e.g. *not every consortium member needs to fulfil each of the criteria individually – but rather as a whole*).
- ✓ **In case of successful award & before contract signature**: the tenderer to whom the contract is to be awarded shall provide, at the latest, within 15 days following notification of award and preceding the signature of the contract, a duly signed and dated (by each of the consortium members) consortium agreement specifying the company or person heading the project and authorised to submit a tender on behalf of the consortium (unless already submitted at the time of tender submission).

The participation of an ineligible person will result in the automatic exclusion of that person. In particular, if that ineligible person belongs to a consortium, the whole consortium will be excluded.

¹ See also section 1.7 and Annex I – Tender Submission Form – for a summary / overview of documents to be submitted as part of the tender.

1.6 Sub-contracting

Sub-contractors (including freelancers) must satisfy the requirements under the exclusion criteria (see section 3.1) applicable to the award of the contract.

If the identity of the intended sub-contractor(s) is already known at the time of submitting the tender, **for each sub-contractor**, the tenderer must, **at the time of tender submission**²:

- ✓ Indicate clearly **which parts of the work will be sub-contracted** (including freelance consultants, experts etc.) and **to what extent** (proportion in %). The sub-contractor must not sub-contract further.
- ✓ **Submit a duly signed and dated (by the sub-contractor) ‘Sub-contractor Declaration’ – Annex III** - confirming that they are not in any of the situations of exclusion / conflict of interest (see section 3.1) and pledging their irrevocable undertaking to collaborate with the tenderer, should he win the contract and that they will put all appropriate and necessary resources from their part at the tenderer’s disposal for the performance of the contract.
- ✓ **Proof of Technical & Professional Capacity:** Submit the required evidence for technical & professional capacity (see section 3.2.3). Please note the evidence provided by each sub-contractor, for those applicable criteria, will be checked to ensure that the tenderer as a whole fulfils the criteria.

***Important Note:** If the identity of the sub-contractor(s) is not known at the time of submitting the tender, the tenderer who is awarded the contract will have to seek the S2R JU’s prior written authorisation before entering into a sub-contract. Where no sub-contracting is indicated in the tender the work will be assumed to be carried out directly by the bidder.

² See also section 1.7 and Annex I – Tender Submission Form – for a summary / overview of documents to be submitted as part of the tender.

1.7 Submission of Tenders

It is strictly required that tenders be presented in the correct format and include all documents necessary to enable the evaluation committee to assess them. Failure to respect these requirements will constitute a formal error and may result in the rejection of the tender. As a result, tenders must comply with the following conditions for submission.

1.7.1 Presentation of the Tender

Tenders must be submitted in accordance with the **double envelope system**:

Outer Envelope: The outer envelope or parcel should be sealed with adhesive tape, signed across the seal and carry the following information as shown in the diagram in 1.7.4 below:

- ✓ the ref. number of the invitation to tender: **S2R.2016.OP.02**
- ✓ the project title: **CCA – Human Capital**
- ✓ the name of the tenderer
- ✓ the indication **“Tender - Not to be opened by the internal mail service”**
- ✓ the address for submission of tenders (*as indicated in the letter of invitation to tender*)
- ✓ the date of posting (*if applicable*) should be legible on the outer envelope

Inner Envelopes: The outer envelope must contain **three inner envelopes**, namely, Envelopes A, B and C. The content of each of these three envelopes must be as follows:

| ENVELOPE A – ADMINISTRATIVE DATA | |
|----------------------------------|---|
| ✓ | Tender Submission Form (front page of administrative documents) – using template in Annex I . |
| ✓ | Declaration of Honour (section 3.1 Exclusion Criteria) – using template in Annex II . |
| ✓ | <i>In case of sub-contracting (section 1.6):</i> Sub-contractors Declaration – Annex III . |
| ✓ | Financial Identification Form – using the template downloadable from the following website: http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm |
| ✓ | Legal Entity Form (section 3.2.1 Selection Criteria - Legal Capacity) – using template from link below and the supporting documents requested in section 3.2.1: http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm |
| ✓ | Economic & Financial Capacity Documents (section 3.2.2 Selection Criteria – Economic & Financial Capacity) – using template in Annex IV.a accompanied by the documents requested therein. |
| ✓ | <i>In case of consortia (section 1.5):</i> Consortium agreement (<i>if already available</i>), or, powers of attorney issued by the consortium members empowering the representative of the consortium leader (tenderer) to submit a tender of their behalf. |

ENVELOPE B – TECHNICAL DOCUMENTS: One signed original and 3 (three) copies* (identical in full to the original) of the:

- ✓ **Technical & Professional Capacity Documents** as requested in section 3.2.3.
- ✓ **Technical Offer** providing all information requested in section 4.1.

ENVELOPE C - FINANCIAL DOCUMENTS: One signed original and 3 (copies) copies* (identical in full to the original) of the:

- ✓ **Financial Offer** (section 4.2) using the template found in **Annex V**

**The original tender must be marked "ORIGINAL", and the copies (of the signed original) marked "COPY".*

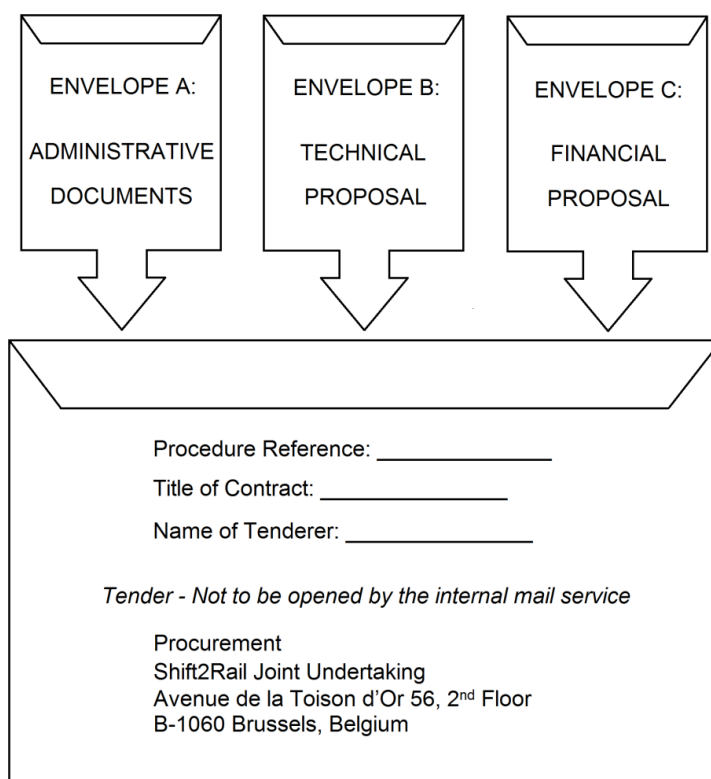
1.7.2 Language of the Tender

Tenders should be drafted in one of the official languages of the European Union, **preferably English.**

1.7.3 Division into Lots

This tender is not divided into lots. The tenderer must be in a position to provide all the services requested.

1.7.4 Tender Submission - Envelope Diagram



1.8 Environmental Considerations

The S2R JU is committed to minimising the environmental impact of its everyday business activities, including, promoting an eco-friendly approach in its purchasing activity. Therefore, contractors of the JU

should also follow / adopt such environmental considerations and strive to be eco-friendly (i.e. reduce water, energy and waste consumption, actively recycle, using reusable / recyclable materials etc.) in their related business operations.

In addition, the contractor shall ensure compliance with any European and national rules on environmental protection, safety and health.

Moreover, it is strongly recommended that tenders are submitted in an environmentally friendly way, e.g. by choosing a simple and clear structure (list of contents and consecutive page numbering), double-sided printing, limiting attachments to what is required in the tender specifications (no additional material) and avoiding plastic folders or binders.

1.9 Period during which tenders are binding

The period of validity of tenders, during which tenderers may not modify the terms of their tenders in any respect is 90 days after the deadline for the submission of tenders. In exceptional cases, before the period of validity expires, the JU may ask tenderers to extend the period for a specific number of days, which shall not exceed 40.

The selected tenderer must maintain its tender for a further 60 days from the date of notification that his tender has been recommended for the award of the contract. The further period of 60 days is added to the initial period of 90 days irrespective of the date of notification.

1.10 Contacts between the S2R JU and Tenderers

Contacts between the Joint Undertaking and tenderers are prohibited throughout the procedure save in exceptional circumstances and under the following conditions only:

Before the final date for submission of tenders:

- At the request of the tenderer, the S2R JU may provide additional information solely for the purpose of clarifying the nature of the contract.
- Any request for clarification must be made in writing by e-mail at procurement@shift2rail.europa.eu and should indicate the reference number and the title of the tender.
- Requests for clarification received by the S2R JU after the deadline for such requests for clarification as specified in section 1.3 – Timetable may not be processed.
- The S2R JU may, on its own initiative, inform interested parties of any error, inaccuracy, omission or any other clerical error in the text of the call for tenders.
- Any clarifications including that referred to above will be published on the S2R JU's Procurement Webpage. Please ensure that you visit regularly the site for updates.

After the opening of tenders:

- If, after the tenders have been opened, some clarification is required in connection with a tender, or if obvious clerical errors in the submitted tender must be corrected, the S2R JU may contact the tenderer, although such contact may not lead to any alteration of the terms of the submitted tender.

1.11 Visits to the Premises of the S2R JU

No site visits at S2R JU's premises are deemed necessary for this procedure.

1.12 Variants

Variants are not permitted.

1.13 Only for service contracts: Scope for additional services or for the repetition of similar services

The S2R JU may, under certain circumstances, extend the project in duration and/or scope subject to the availability of funding and to satisfactory performance by the contractor.

For additional services which are not included in this contract but which, through unforeseen circumstances, would become necessary for the performance of the services under this contract, the Contracting Authority may make use of the negotiated procedure without prior publication of a contract notice and potentially award the additional contract to the contractor performing this contract.]

For new services consisting in the repetition of services similar to the ones initially entrusted to the contractor under the contract, the Contracting Authority may make use of the negotiated procedure without prior publication of a contract notice and potentially award them to the contractor performing this contract.

1.14 Confidentiality & Public Access to Documents

In the general implementation of its activities and for the processing of tendering procedures in particular, the S2R JU observes the following rules:

- Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 and Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data, and;
- Council Regulation (EC) No 1049/2001 of 30 May 2001 regarding public access to European Parliament, Council and Commission documents.

1.15 Contract Provisions

In drawing up your tender, you should bear in mind the provisions of the draft contract (see Part III of the Tender Documents). In particular, the draft contract indicates the method and the conditions for payments to the contractor.

****Important Note: Submission of a tender implies acceptance of all the terms and conditions set out in the Tender Documents (Part I - invitation to tender, Part II - tender specifications and Part III - draft contract) and, where appropriate, waiver of the tenderer's own general or specific terms and conditions. It is binding on the tenderer to whom the contract is awarded for the duration of the contract.***

In this respect every tenderer is also required to sign a declaration to this effect in as part of the tender submission form in Annex I.

2 Technical Specifications

These Technical Specifications (TS) will become an integral part of the contract that may be awarded as a result of the tender.

2.1 Introduction: Background to the Invitation to Tender

This document provides the terms of reference of a study to be carried out by an organization to provide the Shift2Rail Joint Undertaking (S2R JU) with expertise regarding ‘Human capital’ predominantly in the railway system across Europe. The purpose of this call for tenders is to provide a study assessing the skills that will be needed in the future for the different categories of railway staff and relative gaps, from workers to engineers, railway managers and researchers together with strategies and trainingss for the sector to best tackle the upcoming challenges in the field.

The present TS describe the aim and scope of the project and give instructions and guidance to the companies willing to submit offers. The TS will also serve as the Contractor’s mandate during the implementation of the project, after selection of the successful tenderer.

2.2 Description of the Subject and Scope of the Contract

2011 Transport White Paper (“Roadmap to a Single European Transport Area – Towards a competitive and resource efficient transport system”) sets out a number of key goals to strengthen the role of rail in the transport system, given rail’s inherent advantages in terms of environmental performance, land use, energy consumption and safety.

Amongst these goals, the creation of a Single European Railway Area (SERA) will be crucial to achieving a modal shift, of both passengers and freight, from road towards more sustainable modes of transport such as rail.

The objective of the S2R JU is to implement an ambitious programme of research and innovation activities in the railway sector in Europe. Those activities should be carried out through collaboration between stakeholders in the entire railway value chain, also outside the traditional rail sector, including SMEs, research and technology centers and universities, and by combining public and private sector funding. For more detailed information you may refer to the S2R JU website <http://shift2rail.org/>.

Rail research conducted within Shift2Rail for a total value of EUR 920 million, co-financed by S2R up to an amount of EUR 450 million, must contribute to addressing the challenges faced by the rail sector, through a comprehensive and coordinated approach to research and innovation focusing on the needs of the rail system and of its users. A strategic Master Plan³ identifies the key priorities of Shift2Rail and indicates the main operational and technological innovations that are required to achieve the overall objectives of the JU:

- Achieve the Single European Railway Area through the removal of remaining technical obstacles holding back the rail sector in terms of interoperability and through the transition to a more integrated, efficient and safe EU railway market, guaranteeing the proper interconnection of technical solutions.

³ The S2R Master Plan and the S2R Multi Annual Action Plan (MAAP) are available at <http://shift2rail.org/about-shift2rail/reference-documents/>

- Radically enhance the attractiveness and competitiveness of the European railway system to ensure a modal shift towards rail through a faster and less costly transition to a more attractive, user-friendly (including for persons with reduced mobility), efficient, reliable, and sustainable European rail system.
- Help the European rail industry to retain and consolidate its leadership on the global market for rail products and services by ensuring that Research & Innovation activities and results can provide a competitive advantage to EU industries and by stimulating and accelerating the market uptake of innovative technologies.

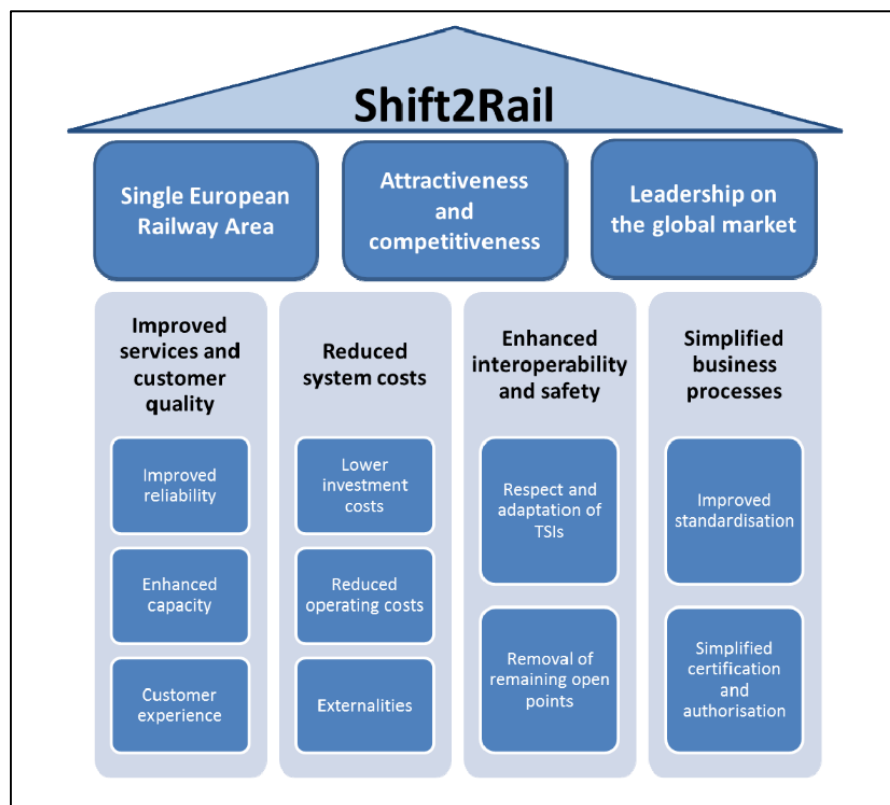


Figure 1: Intervention logic of Shift2Rail (source S2R Master Plan)

1. Based on these objectives, the Master Plan identifies the main innovations areas that will be required to achieve the overall objectives of the JU. These are structured around five asset-specific Innovation Programmes (IPs) and five cross-cutting themes and activities (CCA), which are further elaborated in the S2R Multi-Annual Action Plan (MAAP)⁴: Innovation Programme 1 (IP1): Cost-efficient and reliable trains
2. Innovation Programme 2 (IP2): Advanced traffic management and control systems
3. Innovation Programme 3 (IP3): Cost Efficient and Reliable High Capacity Infrastructure
4. Innovation Programme 4 (IP4): IT Solutions for attractive railway services
5. Innovation Programme 5 (IP5): Technologies for sustainable and attractive European rail freight
6. Cross-cutting themes and activities (CCA)

⁴ http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/jtis/h2020-maap-shift2rail_en.pdf

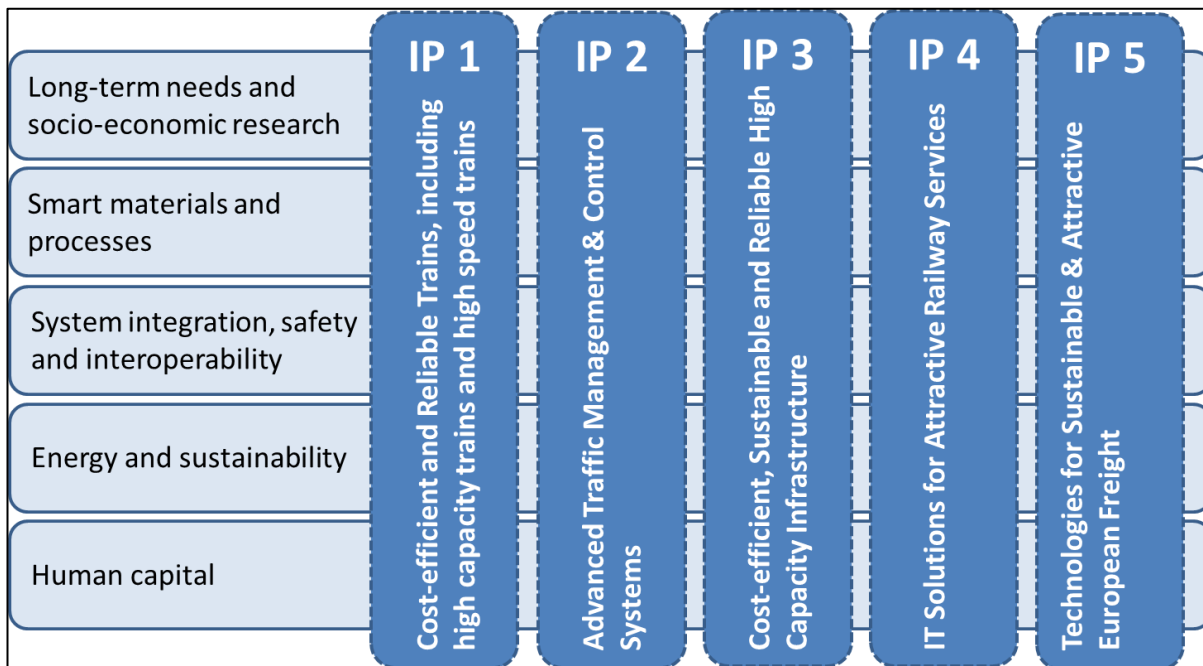


Figure 2: Shift2Rail systems approach and cross-cutting themes (source S2R Master Plan)

The activities conducted in the different TDs and WAs within the same IP/CCA or potentially from different IPs/CCA form a comprehensive selection of R&I activities within the technical and functional sub-systems. S2R needs to ensure a careful management of interfaces and interactions, minimizing any negative cross-system impacts and maximizing synergies in technical activities. For this reason, projects funded by the S2R JU can cover activities stemming from different IPs/CCA.

Once the specific technologies developed within the TDs achieve a sufficient level of maturity, the work of the S2R JU will evolve towards the integrated testing of technical sub-systems and/or systems, creating the integrated Technology Demonstrators (iTDs), for specific rail market segments: urban and sub-urban, regional, high speed/mainline and freight.

This in turn will contribute to the evaluation of the overall impact of the results of technologies at the system level, within System Platform Demonstrators (SPDs). Specific scenarios at system level will be created based on a market segment approach, to simulate the result of a higher integration.

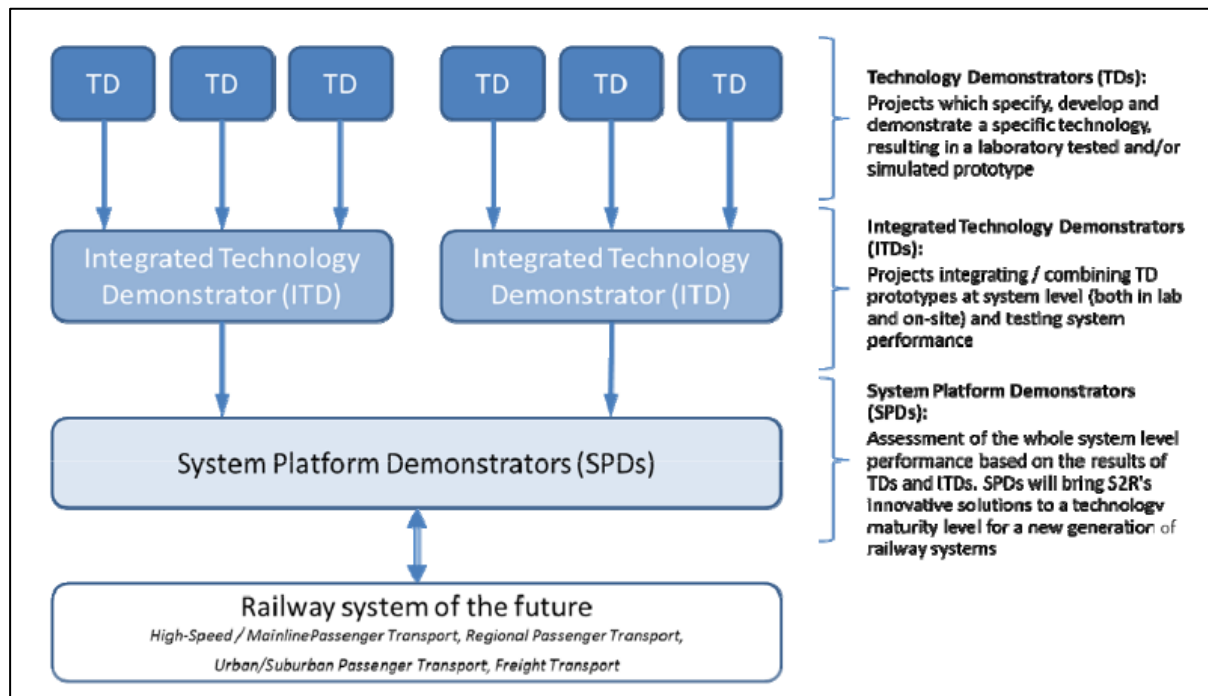


Figure 3: Interactions between the different types of demonstration projects under S2R (source S2R Master Plan)

The Master Plan identified in the CCAs, a number of Working Areas:

- Long-term needs and socio-economic research
- Smart materials and processes
- System integration, safety and interoperability
- Energy and sustainability
- Human capital

Railway transport is a rapidly changing sector which faces problems in developing, attracting and retaining appropriate staff. In addition, future jobs will require, new and advanced skills for railway staff, but at the same time, the growing interdisciplinary elements of rail activities will also require professionals with developed skills in safety, security, IT etc.

Forecasts of the skills that railway will need and analysis of gaps in skills are needed to handle this rapid sector change, along with development of trainings to ensure increased flexibility, organisation, reliability of well trained and professional railway staff and the development of a new generation of decision support systems and tools, including work timetabling and planning. Knowledge-transfer from other sectors is a key aspect for the future of rail transport and strategic relationships with other sectors would ensure synergies with regard to skills that are not railway specific.

The “Human capital” working area of the S2R cross-cutting activities start with this tender which aim is to identify and assess the skills that will be needed in the future for the different categories of railway staff, by taking into account the long-term transport needs including analysis of gaps in skills and possible knowledge transfer from other sectors.

The S2R JU members are expected to start the CCA working area on Human capital notably on analyzing the benefits and risks occurring due to changes in technology in the railway sector such as automation and digitalization with respect to employees, organizations as well as customers, within their project(s) that are expected to start in 2017.

The results of this tender will also serve to develop a concept on the management of these changes on the human capital side (e.g. change in job profiles, skills, organization and its relationships with safety). This study will also develop preliminary prognosis with respect to the impact of S2R technological developments on human capital.

For the aforementioned reasons, the goals of the study will be two-fold:

- socio-economic context: The study will start from analyzing the socio-economic aspects of human capital, notably the skills that will be needed in the future for the different categories of railway staff, from workers to engineers, railway managers and researchers.
- strategies and trainings: based on the above analysis, the study will propose recommendations to bridge the gaps and ensure increased flexibility of railway staff. In addition, the study will start preliminary forecasting on the impact the market introduction of the Shift2Rail R&I and its technologies may have on human capital.

2.3 Description of tasks

2.3.1 Socio-economic context:

The Contractor shall analyze the socio-economic aspects of human capital, for the various categories of railway staff, from workers to engineers, railway managers and researchers. This analysis shall cover at the minimum the following aspects:

- a. Provide a substantiated assessment of the state of the art differentiating between different European regions with regard to railway employment of the staff categories mentioned above
- b. Perform comparative analysis of the current forecasts for human capital in the railways with due consideration to long-term transport needs like urbanization, ageing population etc identified in the S2R Master Plan
- c. Assess new skills required for the long-term rail transport needs based on the state of the art of rail employment and the forecasts analysis. While assessing the new skills required for the long-term rail transport needs, the study should also take into account the possible market implementation/uptake of the S2R R&I and its innovative technologies and draw preliminary considerations on the impact these activities may have on human capital.

Specific recommendation for developing the point a:

When conducting the state of the art analysis, a representative balance between different EU Member States shall be considered (i.e. small and large, East / West / North / South) also by taking into account possible national particularities.

Specific recommendation for developing the point b:

The comparative forecast analysis and the presentation of results shall be done by applying appropriate methods and be presented in an analytical and synthetic format. The desk research shall be complemented as widely as possible by a consultation of different types of stakeholders. The contractor should prepare a wide list of relevant stakeholders to be consulted, and before proceeding to gathering their input, validate it with S2R JU. The result of stakeholder consultation should also be presented to the S2R JU in a synthetic manner.

Specific recommendation for developing the point c:

The assessment of new skills required should also take into account how the daily work of the employees would change: their workload, their tasks, their relationship with the colleagues, the conditions of the work, the ergonomics, etc. There can also be consequences in terms of occupational diseases, psycho-social risks, development of feelings of relieve of responsibility due to the automation, consequences in terms of organisation of work, satisfaction, motivation, etc.

The assessment study, taking also into account the impact of the S2R activities, should help respond to the following questions:

- how will the technical developments in S2R impact the occupational skills, tasks, jobs and profiles in the railway sector?
- in which areas along the entire rail value chain are changes likely to occur?

The study shall provide preliminary recommendations for the sector to tackle the identified challenges. It will build on the forecast of the MAAP described technologies implementation and the list of S2R JU KPI's listed in S2R Annual Work Plan, e.g. 2016 Annual Work Plan.

These elements shall be placed within the wider context of possible future trends and consideration of the different categories of railway staff (e.g. difficult working hours and conditions) that might enable wider, more accurate and cost-efficient collection and processing of data.

Any possible difficulties associated with the collection of data in any of the points a,b and c above (e.g. data gathering, calculation, gaps in coverage and time series) shall be addressed and mitigation measures planned to overcome such difficulties, enabling their long-term usage and monitoring.

It is expected that the state of the art analysis will be concluded by month 4 of the study duration, including the assessment of the impact of the S2R activities, will be concluded by month 10.

2.3.2 Strategies and trainings

Concluding the phase of the study focusing on state of the art analysis and future skill assessment, the Contractor shall develop strategies and trainings to bridge the gaps in rail employment and ensure increased flexibility of railway staff. Best practices from other sectors, transfer of knowledge and transfer of workforce should be investigated.

The strategies and trainings should address at least the following points:

- knowledge transfer from the 'old railway generation' to the new one
- attractiveness of the sector for the new generation of railway employees
- appropriate reintegration of railway staff
- better representation and better integration and career path of less represented categories (ie women and of minorities of various kinds) in the different professions of the railway sector
- access to educational programs and courses related to railway topics
- availability of virtual learning environments and simulations
- sustainable partnerships involving the sector, SMEs, academia and R&D institutions envisaging knowledge transfer and fostering innovation processes

The changes that are expected in the railway sector will lead to new requirements for skills and competences of the workforce in practically all the relevant sectors. The contractor shall identify these new requirements and provide specific strategies and considerations for educational and training needs.

The strategies and training proposed should take into account cross-fertilizing/combination of disciplines and combining traditional training methods (e.g. on the job training) with alternative methods and learning systems (such as virtual learning environments) addressing the different needs of the various skill levels (from low skilled workers to high skilled managers/researchers) and incorporating lifelong learning aspects in the different skills segments of the workforce.

The results of the study will be used by the S2R JU Programme Office and JU members to assess the needed actions for a better qualified labour force in the various railway staff categories ultimately contributing to improved rail transport services as well as the employment prospects and gender balance of the sector.

It is expected that the first version of the strategies and training will be delivered in month 9 of the study. It will then be reviewed by S2R Programme Office, and also by S2R JU members involved in Human Capital activities. It is expected that the Contractor will be asked to present the results of the study to the S2R Programme Office and S2R JU members.

It is expected that the final recommendations will be finalized by month 12 of the study.

2.4 Recommendations

The Contractor should take into account and coordinate with, where appropriate, EU and national initiatives in the field, such as those supported in the context of the Horizon 2020 Programme for research and innovation, and previous Framework Programme (FP7), Erasmus+ and its sector skills alliances.

2.5 List of available sources

The list of sources included below is indicative and not exhaustive. It is expected that these sources will constitute a background for this study:

1. CER study: *‘Women in Rail - Annual report on the development of women's employment in the European railway sector’*, February 2015
<http://www.cer.be/publications/Brochures-studies-and-reports/women-rail-annual-report-development-womens-employment-european>
2. Studies relevant to human capital area carried out by the National skills academy for rail – United Kingdom
<http://www.nsar.co.uk/>
3. Results of EU FP7 project SKILLRAIL, tackling human capital in the railway sector
<http://www.transport-research.info/project/training-and-education-more-competitive-and-innovative-railway-sector>
4. Horizon 2020 project(s) stemming from the Topic MG-8.3-2016 Assessing future requirements for skills and jobs across transport modes and systems, expected to start by the end of 2016.
5. Community of European Railway and Infrastructure Companies (CER) study: *‘The Economic Footprint of Railway Transport in Europe’*, October 2014
http://www.cer.be/sites/default/files/publication/The_Economic_Footprint_-_web_-_final_final_30_Sept_0.pdf

2.6 Description of the Contract

A direct contract is a legal and financial agreement between two parties - in this case, the S2R JU and the contractor. The direct contract is a contract of fixed price and duration and defines, amongst others, the subject and scope of the services to be delivered, remuneration, deliverables and milestones etc. of the contract at the outset of the particular project.

2.6.1 Volume of the Contract

The S2R JU intends to sign a direct contract with the successful tenderer for a maximum total value of **€ 200 000** (two hundred thousand EUROS).

2.6.2 Duration of the Contract

The duration of the direct contract shall not exceed 15 months.

The main place of delivery shall be at S2R JU premises in Brussels, Belgium.

2.6.3 Deliverables & Reporting

1) Interim Report

Within 6 months from contract signature, the contractor shall submit an interim report to the S2R JU. The interim report should relate back to the tasks described in sections 2.3.1 and 2.3.2.

The S2R JU will have twenty days to comment on the interim report based on which the contractor shall have ten days in which to submit additional information or a new report. The final version of the interim report shall incorporate all comments, corrections and recommendations from the S2R JU.

2) Final Report

The final version of the final report shall be submitted within 11 months of contract signature. The final report should relate back to the tasks described in Section 2.3.3.

The S2R JU will have twenty days to comment on the final report based on which the contractor shall have ten days in which to submit additional information or a new report. The final version of the report shall incorporate all comments, corrections and recommendations from the S2R JU.

***Important Note: Proper delivery and the S2R JU approval of the interim and final reports shall be a condition for the initiation of corresponding payments by the S2R JU.**

2.6.4 Monthly Progress Reports

In addition to the reports mentioned above the contractor shall be required to deliver monthly progress reports containing the following:

- Activities provided during this period;
- Potential obstacles/risks to be tackled (if any);
- Proposed solution how to tackle those obstacles/risks;
- Planned activities foreseen until the next progress report.

Monthly conference calls will be set up, and followed by minutes prepared by the contractor, including details on the points mentioned above.

2.6.5 Project Meetings

A series of project meetings shall be held between the S2R JU and the contractor to monitor the progress of the project and any identified issues. In total, a minimum of 3 project meetings are planned. Meetings will

be scheduled based on needs. Please note that the contractor shall start the project work immediately after signing the contract independent of the date of the kick-off meeting:

- 1) **Kick-off Meeting:** a kick-off project meeting held at S2R JU premises within 2 weeks of contract signature;
- 2) **Interim Meeting:** Before submission of the interim report the draft report shall be presented to the S2R JU in order to hold any necessary discussions and receive some initial feedback / input;
- 3) **Final Meeting / Presentation:** the results of the project shall be presented to the S2R JU at S2R JU premises in Brussels.

****Important Note:*** Travelling to the above mentioned meetings / activities, accommodation and any other costs related thereto shall be at the sole expense of the contractor and shall be fully included in the price presented in the financial offer (Annex V).

3 Exclusion and Selection Criteria

3.1 Exclusion Criteria

Requirement:

Participation in this tender is only open to tenderers who are not in any of the situations of exclusion listed in Annex II.

Evidence:

i. **At the time of Tender Submission:**

Tenderers shall provide a **declaration on their honour** (see model in **Annex II**), duly signed and dated.

ii. **In case of successful award & before contract signature:**

The tenderer to whom the contract is to be awarded **shall provide**, within 15 days following notification of award and **preceding the signature of the contract**, the following documentary **proofs to confirm** the declaration referred to above:

- For points a), b) and e) a **recent extract from** the judicial record or, failing that, an equivalent document **recently issued by** a judicial or administrative authority in the country of origin or provenance showing that those requirements are satisfied.
- For point d) a **recent certificate issued by** the competent authority of the State concerned.

Where the document or certificate referred to above **is not issued** in the country concerned, it **may be replaced by** a sworn or, failing that, a solemn statement made by the interested party before a judicial or administrative authority, a notary or a qualified professional body in his country of origin or provenance.

3.2 Selection Criteria

Tenderers must submit evidence of their legal, economic & financial, technical & professional capacity to perform the contract.

3.2.1 Legal Capacity

Requirement:

Tenderers (including consortium members) are asked to prove that they are authorised to perform the contract under the national law as evidenced by inclusion in a trade or professional register, or a sworn declaration or certificate, membership of a specific organisation, express authorisation or entry in the VAT register.

Evidence required:

- A **duly filled in and signed Legal Entity Form**, to be downloaded, depending on the tenderer's nationality and legal form (i.e. individual, private/public company), from the following website: http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm;
- **Supporting documents** – a copy of any official document (i.e. official gazette, register of companies etc.) showing the individual's / contractor's name and address and the registration number given to it by the national authorities. A copy of the VAT registration document (if applicable) should be submitted if the VAT number does not appear on the official document referred to above.

Note: Where a tenderer has already signed another contract with the S2R JU, he may provide instead of the legal entity file and its supporting documents a copy of the legal entity file provided on that occasion, unless a change in his legal status occurred in the meantime or the legal entity file or its supporting documents are older than one year.

3.2.2 Economic & Financial Capacity

Requirement(s):

- The tenderer must be in a stable financial position and have the economic and financial capacity to perform the contract;
- The yearly overall turnover in the last three years must not have fallen below € 100 000.

Evidence required:

Proof of economic and financial capacity shall be furnished by **completing Annex IV.a – Economic & Financial Capacity**, and, **providing the balance sheets or extracts from balance sheets for at least the last three years** for which accounts have been closed (where publication of the balance sheet is required under the company law of the country in which the economic operator is established).

Note: if, for some exceptional reason which the S2R JU considers justified, the tenderer is unable to provide the references requested by the Contracting Authority, he may prove his economic and financial capacity by any other means which the JU considers appropriate.

3.2.3 Technical & Professional Capacity

The tenderer must possess the following technical and professional capabilities in order to perform the contract.

| r. | <u>Requirement</u> The tenderer must possess the following technical and professional capabilities in order to perform the contract: | <u>Evidence</u> ⁵ The following documents and information must be presented as evidence of compliance with the set technical and professional requirements: |
|---|---|--|
| Tenderer's experience | | |
| a. | Suitability of the organisation and staffing structure available for the activities covered by the contract (including all consortia members and/or any proposed subcontractors) | <ul style="list-style-type: none"> • Details of the structure of the organisation (including all consortia members and/or any subcontractors and the number of staff involved), explaining the suitability of the tenderer's organisation to perform the contract; • Professional accreditations or references held by the tenderer, if available. |
| b. | Professional experience in the provision of services similar to those described in Sections 2.3.1 to 2.3.3 | <ul style="list-style-type: none"> • A list and detailed description of the tenderer's activities in the last five years related to the activities described in Sections 2.3.1 to 2.3.3; • Example of relevant projects (at least two) conducted by the tenderer in the last five years in the field in question. |
| c. | Relevant expertise of the key personnel proposed to be allocated to the project in the technical fields in question; this shall reflect a relevant university degree appropriate to the scope of this project | Two examples of similar projects conducted by the tenderer in an international context during the last three years and demonstrating the delivery of results and recommendations to specialised audiences in English. |
| d. | Environmental Considerations ⁶⁷ : The tenderer shall have / adopt a suitable environmental policy. | A description or copy of the tenderer's environmental policy (specifying the status of implementation). |
| Project Team / Expertise | | |
| Tenderer must have: i. Project Team: Tenderer must have a competent and experienced project team | | <ul style="list-style-type: none"> - Overview of the project team (using the template provided in Annex IV.c), and, - CVs of the key experts to carry out the project |

⁵ Please note that the S2R JU reserves the right to request further evidence in support of the technical & professional capacity criteria.

⁶ In light of the S2R JU's commitment to 'Green Procurement' this capacity should be included as standard and only removed in exceptional cases i.e. highly technical / sensitive subjects where overly restrictive criteria have to be minimised.

⁷ Depending on the services/supplies needed the EC has defined, for certain cases, in the GPP toolkit, criteria/details per area to take into account – this also provides guidance on distinguishing between suitable selection/award criteria:

http://ec.europa.eu/environment/gpp/eu_gpp_criteria_en.htm

| | |
|--|---|
| <p>for the performance of the contract. All staff involved in the execution of the contract should possess 5 years of experience in a similar role and an adequate educational background and expertise relevant to the tasks that they shall perform, as well as a very good level of English language competency.</p> <p>ii. Project Team leader: Nominate a suitable project team leader with at least 5 years of experience in a similar role with experience in at least 1 other comparable project in the team leader role and a very good level of English language competency.</p> | <p>(using the EU CV format available at: http://europass.cedefop.europa.eu/en/home) covering education and training, organisational, technical and work experience including any relevant supporting documentation i.e. accreditations, certificates etc.</p> |
| Quality Management System | |
| <p>The tenderer must have in place a quality management system (QMS).</p> | <p>Proof of a quality management system in place such as DIN EN ISO 9001 or equivalent system.</p> |

***Important Note:** the S2R JU reserves the right to ask for clarification or further material in the case that the documents submitted are not found as adequate evidence that the tender fulfils the exclusion and/or selection criteria.

4 Award of the Contract

Only the tenderers meeting the requirements of the exclusion and selection criteria will have their tender evaluated in terms of quality and (potentially) price.

The contract will be awarded to the tenderer submitting the admissible tender offering the best-value-for-money (best quality-price ratio).

4.1 Assessment of Technical Quality

4.1.1 Technical Evaluation

The quality of technical offers reaching this stage will be evaluated in accordance with the award criteria and the associated weighting as detailed in the evaluation grid below.

| NO | TECHNICAL AWARD CRITERIA | MAX POINTS |
|----|---|------------|
| 1 | <p>Rationale & Strategy:</p> <p>(strategy, approach, quality of the methodology to meet the objectives of the contract, reference list of activities, related inputs and outputs, a description of the input from each of the consortium members (in case of consortia), description of the support facilities, sub-contracting arrangements foreseen, reasonable/credible response time & strategy to requests for services etc.)</p> | 40 |

| | | |
|--------------|---|------------|
| 2 | Timetable and quality check: (timing, sequence and duration of the proposed activities, identification and timing of major milestones in execution of the contract, specific quality control procedures, English language checks, etc.) | 30 |
| 3 | Organisation of work, expertise and composition and functioning of the proposed team: (organisation of work, availability and involvement of key personnel, specific role of each individual expert and of the economic operators (in case of joint tenders, including subcontractors if applicable) within the project team, interaction and coordination of tasks, continuity of the service in case of absence of the member of the team etc.) | 30 |
| TOTAL | | 100 |

4.1.2 Technical Offer

The technical offer shall contain all necessary information to allow evaluation of the tender according to the technical criteria mentioned above, including in particular:

| TECHNICAL AWARD CRITERIA NO. | CONTENT OF TECHNICAL OFFER |
|------------------------------|---|
| 1 | Description of proposed rationale and strategy for the contract implementation in line with the technical specifications and objectives of the contract including a description of the input from each of the consortium members (in case of consortia), any sub-contracting arrangements foreseen. |
| 2 | Description of the proposed methods to ensure flexibility, timeliness & responsiveness. |
| 3 | Description of organisational structure to meet project needs, in particular with respect to the organisation of work, technical capabilities, and the composition and functioning of the proposed (team of) expert(s). |

4.1.3 Technical Quality Threshold

Only tenders scoring **70 points or more** (of a maximum of 100 points) against the technical award criteria will have their financial offer evaluated.

4.2 Assessment of Price

4.2.1 Financial Evaluation

Any tenderer submitting a financial offer exceeding the budget indicated in Section 2.4.1 will be rejected outright.

The financial evaluation will be made on the basis of the price offered in the model financial offer (Annex V) applying the following formula:

$$\text{Financial Score for Tender X} = 100 \times (\text{Cheapest Price/Price of Tender X})$$

4.2.2 Financial Offer

- The financial offer must be presented in the format provided in **Annex V**.
- A price shall be indicated for each category and must not amount to zero. Failure to comply with this requirement may lead to rejection of the tender.
- Prices must be quoted in **EURO** and include all expenses necessary to perform the contract. **No further reimbursements shall be made whatsoever.**
- The price quoted is fixed and shall be subject to **NO revision**.
- Prices must be quoted free of any duties, taxes (such as VAT) and/or other charges, as the S2R JU is exempt from such charges under Articles 3 and 4 of the Protocol on the privileges and immunities of the European Union.
- Costs incurred in preparing and submitting tenders are borne by the tenderer and shall not be reimbursed.

4.3 Contract Award - Choice of the Selected Tender

The most economically advantageous tenders are established by weighing technical quality against price on a **70/30** basis.

The consolidated score for each tenderer will be calculated as follows:

$$\text{Consolidated score} = (\text{Technical score} \times 0,7) + (\text{Financial score} \times 0,3)$$

The contract will be awarded to the best ranked tender.