

## TENDER SPECIFICATIONS

### EUOSHA/2017/OP/F/SE/0048

## FRAMEWORK CONTRACT

### THIRD EUROPEAN SURVEY OF ENTERPRISES ON NEW AND EMERGING RISKS (ESENER-3)

Type of procedure: Open procedure

Type of contract: Framework Contract

OJ Notice Number: **2018/S 003-002546**

Tender documents are available for download at:

<https://osha.europa.eu/en/about-eu-osha/procurement>

CONTRACTING AUTHORITY:  
**European Agency for Safety and Health at Work**  
12 Santiago de Compostela  
(Edificio Miribilla), 5th Floor  
E-48003 Bilbao – Spain  
E-mail: [information@osha.europa.eu](mailto:information@osha.europa.eu)  
Internet: <http://osha.europa.eu>  
Tel.: (+34) 944 358 400  
Fax: (+34) 944 358 401

ENGLISH LANGUAGE ORIGINAL

## TABLE OF CONTENTS

0	INTRODUCTION .....	4
1	BACKGROUND SPECIFIC TO THIS CONTRACT .....	4
2	INFORMATION ON TENDERING .....	4
2.1	Participation .....	4
2.2	Contractual conditions .....	4
2.3	Confidentiality .....	5
2.4	Information about options .....	5
2.5	Compliance with applicable law .....	5
2.6	Joint tenders .....	5
2.7	Subcontracting .....	6
2.8	Structure and content of the tender .....	6
2.9	Submission of tenders .....	6
3	SUBJECT OF THE CONTRACT .....	7
3.1	Introduction .....	7
3.2	Objectives .....	9
3.3	Scope of work .....	10
3.4	Team .....	27
3.5	Geographical coverage .....	28
3.6	Quality control and assessment .....	28
3.7	Volume of the contract .....	29
3.8	Duration .....	29
3.9	Payment Terms .....	29
3.10	Audits .....	30
4	EVALUATION AND AWARD OF THE FRAMEWORK CONTRACT .....	30
4.1	Identification of tenderer .....	30
4.2	Verification of non-exclusion .....	30
4.3	Selection criteria .....	31
4.4	Award Criteria .....	34
4.5	Financial Offer .....	34
4.6	Awarding of contract .....	36

ANNEXES.....	36
<i>Annex 1 – Checklist of documents to be submitted .....</i>	<i>36</i>
<i>Annex 2 - Declaration on honour on exclusion criteria and selection criteria .....</i>	<i>36</i>
<i>Annex 3 – Consortium Form.....</i>	<i>36</i>
<i>Annex 4 – Subcontractors form.....</i>	<i>36</i>
<i>Annex 5 - Legal entity form.....</i>	<i>36</i>
<i>Annex 6 - Financial identification form .....</i>	<i>36</i>
<i>Annex 7 - Privacy Statement on the protection of personal data in relation to procurement procedures.....</i>	<i>36</i>
<i>Annex 8 – Financial Offer.....</i>	<i>36</i>

## 0 INTRODUCTION

The European Agency for Safety and Health at Work (EU-OSHA) is an agency of the European Union (EU) and one of the decentralised Community bodies. Its central role is to contribute to the improvement of working life in the EU by developing, analysing and disseminating information on occupational safety and health (OSH). EU-OSHA is located in Bilbao, Spain. More information on EU-OSHA and its activities is at: <http://osha.europa.eu/en/about>.

EU-OSHA contributes to making Europe a safer, healthier and more productive place to work. EU-OSHA researches, develops and distributes reliable, balanced and impartial safety and health information and organises pan-European awareness-raising campaigns.

## 1 BACKGROUND SPECIFIC TO THIS CONTRACT

EU-OSHA is launching this call for tender with a view to concluding a framework contract, the aim of which is to prepare and implement the third European Survey of Enterprises on New and Emerging Risks (ESENER-3). The background and objectives are outlined in section 3 below.

## 2 INFORMATION ON TENDERING

Submission of a tender implies acceptance by the tenderer of all the terms and conditions set out in this invitation to tender and annexes, including the specifications, draft contract and general terms and conditions. It also implies waiver of the tenderer's own general or specific terms and conditions. EU-OSHA's terms and conditions are binding on the tenderer to whom the contract is awarded, for the duration of the contract.

The tender must be presented clearly, legibly, and in a detailed and complete form, containing all the essential requirements laid down in the documents relating to the procurement procedure so that it can be properly assessed.

### 2.1 Participation

Participation in tendering procedures is open on equal terms to all natural and legal persons falling within the scope of the Treaties (this includes all economic operators registered in the EU and all EU citizens).

Participation is also open to all natural and legal persons in any non-EU country which has an agreement with the European Union in the field of public procurement on the conditions laid down in that agreement.

EU-OSHA's Financial Regulation<sup>1</sup>, guarantees participation for all tenderers on equal terms.

### 2.2 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.

When implementing framework contracts through specific contracts, EU-OSHA may refine the terms of the framework contract and formulate them more precisely without any substantial change.

This invitation to tender is in no way binding on EU-OSHA. EU-OSHA's contractual obligation commences only upon signature of the contract with the successful tenderer. Up to the point of

---

<sup>1</sup> Available at: <https://osha.europa.eu/en/about-eu-osha/what-we-do/how-we-work/finance/>

signature, the contracting department may either withdraw from the contract or cancel the procurement procedure, without the candidates or tenderers being entitled to claim any compensation. This decision must be substantiated and the tenderers notified.

## **2.3 Confidentiality**

All documents submitted by the tenderer become property of EU-OSHA and are deemed confidential. If processing your reply to the invitation to tender involves the recording and processing of personal data (such as your name, address and CV), such data will be processed pursuant to Regulation (EC) No 45/2001 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. Unless indicated otherwise, your replies to the questions and any personal data requested are required to evaluate your tender in accordance with the specifications of the invitation to tender and will be processed solely for that purpose by EU-OSHA. Details concerning the processing of your personal data are available on the privacy statement (see Annex 7 - Privacy Statement on the protection of personal data in relation to procurement procedures<sup>2</sup>).

Your personal data may be registered in the Early Detection and Exclusion System (EDES) by the Accounting Officer of the Agency, should you be in one of the situations mentioned in the financial regulation 2015/1929 of 28 October 2015<sup>3</sup>.

## **2.4 Information about options**

ESENER-3 will cover all European Union Member States plus Iceland and Norway. Subject to funding availability it may also cover Switzerland and the following five Candidate Countries: Albania, the Former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey.

The part of the service related to Switzerland and the Candidate Countries is considered by EU-OSHA as an 'option' – i.e. quantitative extras, ancillary to the main purchase.

As a result, for comparison of the tenders, the total cost of all services envisaged under the framework contract, including all options, will be used.

## **2.5 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>4</sup>.

## **2.6 Joint tenders**

A joint tender is a situation where a tender is submitted by a group of economic operators (natural or legal persons). Joint tenders may include subcontractors in addition to the members of the group.

In case of a joint tender, all members of the group assume joint and several liability towards EU-OSHA 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 administrative and financial aspects as well as operational management of the contract.

---

<sup>2</sup> Available at : <https://osha.europa.eu/en/about-eu-osha/procurement>

<sup>3</sup> See [http://ec.europa.eu/budget/explained/management/protecting/protect\\_en.cfm](http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm)

<sup>4</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).

After the award, EU-OSHA 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 the consortium form (Annex 3)

## 2.7 Subcontracting

Subcontracting is permitted subject to approval by EU-OSHA but the contractor will retain full liability towards EU-OSHA for performance of the contract as a whole. EU-OSHA may give approval either by accepting the tenderer's offer, or by prior written approval, if proposed by the tenderer after contract signature.

The tenderer must indicate clearly in their methodology which parts of the work will be sub-contracted and the identity of all subcontractors whose share of budget is above 10%. Full details of such subcontractors must also be provided in the form provided in Annex 4. During contract execution, the change of any subcontractor identified in the tender will be subject to prior written approval of the EU-OSHA.

## 2.8 Structure and content of the tender

The tenders must be presented as follows:

Part I: Identification of the tenderer (see section 4.1)

Part II: Non-exclusion (see section 4.2)

Part III: Selection (see section 4.3)

Part IV: Technical offer (see section 3.3 and 4.4)

Part V: Financial offer (see section 4.5)

## 2.9 Submission of tenders

Tenders may be submitted by post or courier not later than 23 March 2018 in which case the evidence of the date of dispatch shall be constituted by the postmark or the date of the deposit slip. If a slow delivery method is chosen, such as normal or registered post, or 5+ days' delivery, tenderers are requested to inform EU-OSHA by e-mail or fax that the offer has been dispatched. The address to be used for submission is:

### European Agency for Safety and Health at Work

12 Santiago de Compostela

(Edificio Miribilla), 5th Floor

E-48003 Bilbao – Spain

Fax: (+34) 944 358 401

[Procurement-PRU@osha.europa.eu](mailto:Procurement-PRU@osha.europa.eu)

Alternatively, tenders may be delivered by hand to EU-OSHA premises no later than 13.00 on 23 March 2018. In this case, a receipt must be obtained as proof of submission, signed and dated by the department that takes delivery. Opening times are from 08:00 to 13:00 and from 15:00 to 16:00 from Monday to Thursday and from 10:00 to 14:00 on Fridays. The service is closed on Saturdays, Sundays and official holidays of EU-OSHA (none in this period).

Tenders must be presented in a sealed envelope<sup>5</sup> marked as follows “CALL FOR TENDERS – NOT TO BE OPENED BY THE INTERNAL MAIL DEPARTMENT” and should include the following information:

---

<sup>5</sup> Where self-adhesive envelopes are used, they must be sealed with adhesive tape and the sender must sign across the tape.

- The reference number of the tender (EUOSHA/2017/OP/F/SE/0048)
- The project title
- The name of the tenderer

The envelope must contain:

- Two signed copies of the technical offer in a sealed envelope marked “Technical”
- Two signed copies of the financial offer in a sealed envelope marked “Financial”
- One copy of the administrative information and annexes

Bids must be drawn up in one of the official languages of the EU, but English is preferred.

## 3 SUBJECT OF THE CONTRACT

### 3.1 Introduction

EU-OSHA ran its Second European Survey of Enterprises<sup>6</sup> on New and Emerging Risks (ESENER-2) in 2014, providing nationally comparable information on how workplaces across Europe manage health and safety in practice. Based on the experience of ESENER-1 (2009), namely the in-depth analyses of its findings and the ex-post evaluation<sup>7</sup>, significant methodological changes were implemented in ESENER-2 aiming to improve its quality and establish it as a consistent monitoring tool over time:

- Expansion of the coverage of topics and countries as well as an increase in the national sample sizes by at least 50% with respect to those of ESENER-1.
- Greater coverage of establishment sizes and sectors, with the inclusion of (1) microenterprises employing at least 5 people and (2) establishments in agriculture, forestry and fisheries (NACE A).
- Target respondent: from two respondents in ESENER-1 (management and worker representatives on health and safety) to just one in ESENER-2, *‘the person who knows best about health and safety at the establishment’*.
- New questionnaire – the four main areas were unchanged though:
  - OSH management in general.
  - Psychosocial risks.
  - Drivers & barriers.
  - Worker involvement.

Overall almost 50,000 establishments across 36 countries were surveyed in ESENER-2.

Both waves of ESENER have been based on computer-assisted telephone interviews (CATI), of approximately 25 minutes’ duration, with the aim of gathering nationally comparable data from a representative sample of establishments across more than 30 European countries. A full description of the methodology of ESENER, including translation and technical reports, as well as the master and national questionnaires from both waves, is available at:

[https://oshwiki.eu/wiki/European\\_survey\\_of\\_enterprises\\_on\\_new\\_and\\_emerging\\_risks\\_-\\_ESENER](https://oshwiki.eu/wiki/European_survey_of_enterprises_on_new_and_emerging_risks_-_ESENER)

---

<sup>6</sup> The unit of observation is the establishment. See more below.

<sup>7</sup> Available at: [www.esener.eu](http://www.esener.eu)

The main analysis of the results of ESENER-2 is available in the descriptive [overview report](#) (published in 2016) and two in-depth follow-up projects (published in 2017):

- [Worker participation in the management of health and safety](#), a qualitative study across seven countries involving interviews with both management and worker representatives in 143 establishments that were surveyed in ESENER-2. It also includes the corresponding seven [country reports](#).
- [Health and safety risks at the workplace: a joint analysis of three major surveys](#), namely ESENER-2, Eurostat's Labour Force Survey (LFS) 2013 ad hoc module on accidents at work and other work-related health problems, and Eurofound's 6<sup>th</sup> European Working Conditions Survey (EWCS).

The findings from two additional projects on (1) OSH Management and (2) Psychosocial risk management, will be published early on in 2018.

Through these analyses ESENER-2 has built on and broadened the insight provided by ESENER-1 on how European workplaces manage health and safety in practice, what their needs and weaknesses are, on what motivates and hinders them and how they involve their employees. ESENER has contributed to the evaluation of both EU and national OSH strategies, by providing high-quality, comparable and timely data for monitoring the state of OSH. This has resulted in a significant use of ESENER by policy makers, mostly at the European Union level –Ex-post evaluation of the EU OSH Framework Directive, different European Commission communications- but also at the national level, particularly in the three countries that funded an expansion of the national sample sizes in 2014 (Slovenia, Spain and the United Kingdom) but also in those where there are no similar national data sources<sup>8</sup>.

In addition to a comparison of practices by countries, ESENER and its follow-up analyses have contributed to a greater understanding of how establishment characteristics and broader context factors influence the way they manage health and safety. Carrying out these in-depth follow-up studies, using different research techniques and complementary data sources, has proven essential to gain a better understanding of the findings.

Bearing in mind these achievements and building on the lessons learnt over the first two waves, EU-OSHA intends to conduct the third wave of the survey in 2019, which will enable the identification of trends, as the main bulk of the questionnaire will remain the same. In line with this, and drawing on the findings of the 'ESENER-2 ex-post evaluation', and the 'Technical assessment of the expansion of the survey universe in ESENER-2'<sup>9</sup>, the significant methodological changes implemented in ESENER-2 will be maintained in ESENER-3. In practical terms this implies the following:

- **CATI** as main mode but still offer an online mode for those who refuse to participate in a telephone survey.
- Maintain the **establishment** as the unit of observation.
- Coverage of establishments employing **five or more** workers, including those in the **agriculture, forestry and fisheries** sector (NACE A).
- Coverage of minimum 30 countries (the EU-28 plus Iceland and Norway at the time of signing the contract) and up to 36 (possibly Albania, the Former Yugoslav Republic of Macedonia, Montenegro, Serbia, Switzerland and Turkey).
- Maintain the **target respondent** as *'the person who knows best about health and safety in the establishment'*.

---

<sup>8</sup> Ex-post evaluation of ESENER-2 (to be made available to tenderers)

<sup>9</sup> To be made available to tenderers.



- To a large extent, maintain the **questionnaire** intact.

At the same time, the follow-up studies have raised some issues that need to be addressed and that EU-OSHA wants to act on in order to improve the quality of ESENER as a long-term monitoring tool.

- As is the case for other CATI establishment surveys, ESENER suffers from low response rates (particularly in some countries) and a possible selection bias, which may put into question some of the findings<sup>10</sup>. In order to tackle the non-response bias, a more rigorous and improved approach to sampling is envisaged in ESENER-3, starting from the sample design, the business registers used and the weighting to be adopted, as well as a contact strategy to engage respondents.
- Further to this, and in order to improve the knowledge about non-respondents, the inclusion of a couple of questions to those who refuse to participate in the survey is to be considered.
- Explore the possibility to offer a short follow-up questionnaire module (phone or online) with a few questions aiming to capture data on health and safety performance (e.g. accident rates, absenteeism), which cannot be retrieved during a CATI.
- In view of increasing the national added value of ESENER, but ensuring that cross-national comparability is maintained, offer the possibility of adding a short module of two to three country-specific questions at the end of the questionnaire to those countries that will top up the national sample size.
- Maintain the bulk of the questionnaire from ESENER-2 but assess the relevance for the analysis of some questions, that may be reworded or dropped altogether, and at the same time, consider adding a new question or response item under an existing question to reflect topics that have not been covered by ESENER, such as digitalisation, the use of external preventive services or the process of appointing health and safety representatives. Additions to the questionnaire will bear in mind the overall interview length and therefore, some existing questions may have to be shortened or removed.

These proposed changes are further explained in the next section.

## 3.2 Objectives

The objective of this tender is to conclude a framework contract for the preparation and implementation of ESENER-3. The survey will be carried out in a timely manner and to the highest quality standards in order to describe workplace OSH management practices as accurately as possible and to ensure comparability of results across the countries covered. Building on the findings of the previous wave, ESENER-3 will enable trend analyses, with the aim of establishing itself as a long-term monitoring tool.

The contractor will execute tasks as described below, in compliance with the requirements set in the Quality control and assessment (section 3.6) and those in the ICC/ESOMAR International Code on Market, Opinion and Social Research and Data Analytics<sup>11</sup> and the ESOMAR/WAPOR Guideline on Opinion Polls and Published Surveys<sup>12</sup>.

---

<sup>10</sup> While this may be the case when looking at single, absolute figures, comparative findings are very much in line with other sources and are probably a very fair picture of reality. In this sense, not only comparisons across size classes, activity sectors and countries are very indicative but also those that look at different topics (management of health vs. safety, for instance).

<sup>11</sup> [https://www.esomar.org/uploads/public/knowledge-and-standards/codes-and-guidelines/ICCESOMAR\\_Code\\_English\\_.pdf](https://www.esomar.org/uploads/public/knowledge-and-standards/codes-and-guidelines/ICCESOMAR_Code_English_.pdf)

<sup>12</sup> <https://www.esomar.org/uploads/public/knowledge-and-standards/codes-and-guidelines/ESOMAR-WAPOR-Guideline-on-Opinion-Polls-and-Published-Surveys-August-2014.pdf>

In order to ensure comparability across countries, contractors will apply methods and procedures consistently in all the covered countries, while complying with the specifications within the timeframe allocated to the project.

The actions for the preparation and implementation of the survey will run over 2018 and 2019 and will include collaboration with EU-OSHA National Focal Points<sup>13</sup> and other stakeholders, such as EU-OSHA's advisory groups.

### 3.3 Scope of work

The scope of this framework contract is described in the sections below.

#### 3.3.1 Thematic and policy areas coverage

The thematic and policy areas covered by the framework contract include the following:

- The management of health and safety at work;
- The management of psychosocial risks at work.
- The drivers and barriers to the management of health and safety at work
- The participation of workers in the management of health and safety at work;

#### 3.3.2 Tasks

The tasks to be carried out by contractors will consist of the following:

##### Work-package A

- Task 1: Questionnaire revision
- Task 2: National questionnaires
- Task 3: Design and implementation of sampling

##### Work-package B

- Task 4: Fieldwork preparation
- Task 5: Fieldwork execution
- Task 6: Data processing and delivery.

As pointed out above, these tasks will be executed to the highest quality standards on survey research methodology and in compliance with the requirements set in the Quality control and assurance section (3.6). The Quality Assurance Framework of the European Statistical System as developed by Eurostat<sup>14</sup> will be used to assess the quality of the data, as well as other frameworks such as the Cross-Cultural Survey Guidelines<sup>15</sup> and the Total Survey Error Approach<sup>16</sup>.

## WORK-PACKAGE A

---

<sup>13</sup> EU-OSHA is a network organisation, with a "focal point" in each Member States as well as in European Free Trade Association (EFTA) States and candidate and potential candidate countries. This enables EU-OSHA to be more successful in the creation of healthier, safer, and more productive workplaces by permitting a greater sharing of information. Nominated by each government as EU-OSHA's official representative in that country, the focal points are typically the competent national authority for safety and health at work and are primary contributors to the implementation of the EU-OSHA's work programmes. Each focal point manages its own tripartite network comprising of government bodies and representatives from worker and employer organisations. More information at <https://osha.europa.eu/en/about-eu-osha/national-focal-points/focal-points-index>

<sup>14</sup> <http://ec.europa.eu/eurostat/documents/64157/4392716/ESS-QAF-V1-2final.pdf/bbf5970c-1adf-46c8-afc3-58ce177a0646>

<sup>15</sup> <http://ccsg.isr.umich.edu/index.php/chapters/instrument-technical-design-chapter>

<sup>16</sup> <http://press.uchicago.edu/ucp/books/book/chicago/T/bo3619292.html>

## Task 1: Questionnaire revision

As for the previous wave of the survey, ESENER-3 will be based on a computer assisted telephone interview (CATI) of approximately 25 minutes' duration with only one respondent in each establishment.

The [master questionnaire](#) will be the one used in ESENER-2 in order to enable trend analysis and therefore, the bulk of the questionnaire will remain unchanged in ESENER-3. However, tenderers in their offer are expected to suggest marginal improvements to the wording of specific questions or the inclusion/deletion of some questions/answer items altogether, providing a substantiated argumentation for their proposal, drawing on their expertise in questionnaire design for CATI business surveys as well as the lessons learnt from the previous waves of ESENER. This is important for the relevance of the survey and it should aim to better target the needs of EU-OSHA's main stakeholders.

Some **additional topics** that EU-OSHA would particularly welcome would be on digitalisation, the use of external preventive services, how health and safety representatives are chosen, how demographic change is taken into account, the position of the establishment in the supply chain, etc. Further to this, improving efforts should be made towards ensuring the **comparability** of the findings across countries, activity sectors and size classes. Tenderers will explain how they will apply the same procedures and methods across all interviewed establishments but at the same time, and in order to achieve maximum comparability, it may be beneficial to allow for variation for certain establishment categories, namely the smallest size classes, whose approach to systematic OSH management has been demonstrated to differ from that of larger establishments<sup>17</sup>. In their offer, tenderers will explain how they will ensure comparability in the wording of the questionnaire by adapting or not for different types of establishments.

In light of the proposed improvements to the questionnaire (new topics, rewording, deletion, adaptations for increased comparability, etc.), tenderers will assess the impact that the suggested modifications will have on the comparability of the findings with those of ESENER-2.

Tenderers are expected to elaborate a robust proposal to include **outcome** questions (such as accident rates, rates of main work-related health problems and related absenteeism) in ESENER-3. While the different tests performed in the drafting of the ESENER-2<sup>18</sup> questionnaire revealed significant challenges to include such questions in the main body of the CATI survey, the in-depth follow-up analyses have consistently pointed out the desirability of gathering information on outcomes. In their offer tenderers will describe their approach to including such information on outcomes in the survey in a sound way that leads to representative findings. It could imply arranging a date for a follow-up interview with the respondent –for them to check the required information–, offering an online form for respondents to fill in or another alternative. Tenderers will describe in detail the approach to including outcome questions in ESENER-3 in a sound and robust way.

Increased efforts are expected to minimise **non-response bias** in ESENER-3. While one of the ways is to increase response rates –see more below–, and the proposed revisions of the questionnaire should have that in mind as one of the overarching objectives of the survey, another one is to try and gather information about the non-respondents in order to see whether they differ from respondents in a systematic way. Beyond finding out accurately about the reasons for refusal –again, see more below– it would be helpful to know something about the non-respondents. EU-OSHA acknowledges the challenges of this task but expects tenderers to make a specific proposal about getting some information from those who refuse to participate in ESENER-3. It could be a couple of questions about the business demographics (in view of the quality issues with some business registers, it may be interesting at least to double-check the accuracy of the information on size class and activity sector) or, even more

---

<sup>17</sup> <https://osha.europa.eu/en/tools-and-publications/publications/contexts-and-arrangements-occupational-safety-and-health-micro/view>

<sup>18</sup> See ESENER-2 technical information at: [https://oshwiki.eu/wiki/ESENER-2\\_Methodology](https://oshwiki.eu/wiki/ESENER-2_Methodology)

interestingly, about their approach to OSH management. Bearing in mind the state-of-the-art methods to minimise non-response and non-response bias (including a targeted literature and Internet research), tenderers should describe the potential as well as the limitation of their proposed strategy towards contributing to an analysis of the non-response bias.

A final decision on the questionnaire will be made by EU-OSHA together with its advisory group and the contractor. External expert advice on a specific OSH topic may be sought by EU-OSHA.

### Pre-testing

It is essential that a comprehensive and highly rigorous procedure be followed to ensure that the survey questions are understood correctly and are able to be answered accurately by respondents. Based on cognitive interviews, the pre-test should aim to address the following potential problems associated with quantitative surveys<sup>19</sup>:

- Lexical (the meaning of words or their use in a survey context).
- Inclusion/exclusion (determining the scope of a term or concept).
- Temporal (limitations of determining boundaries of the reference period or duration of activity).
- Logical (resulting from the structure of the question).
- Computational (difficulties with recall or other issues of respondent capacity).

The pre-test should focus on the proposed improvements to the questionnaire (rewording, new topics/answer categories, adaptations to specific populations) but also on the outcome questions and the strategy to obtain additional information from the non-respondents. It should also test the proposed contact strategy, particularly the survey intro test, with the ultimate aim of increasing response rates. Finally, and while the majority of the questionnaire will not be changed, the test should also assess the questionnaire's coherence and structure so as to identify other potential sources of error (e.g. resulting from question order or format) and should give an indication of interview duration.

Testing must include at least 20 in-depth face-to-face cognitive interviews in one or more countries and should allow for all proposed changes to be tested and for some iteration to enable testing of changes made to questions or to the questionnaire in the light of early pre-test results. As far as possible the pre-test sample should cover establishments of different sizes and sectors.

The interviews must be recorded and an analysis report produced for each one in English, together with a technical report describing the process, the main findings and the conclusions reached in respect of the final version of the questionnaire.

In their offer the tenderer must provide a detailed description of the proposed approach to the pre-test, indicating the number and duration of interviews, the methodology that will be used and the analysis and reporting that will be carried out.

### Task 1 summary (for tenderers)

1. Review of the ESENER-2 questionnaire for marginal improvements, including coverage of new topics, adding/deleting questions or answer items.
2. Approach to ensure comparability of findings across countries, activity sectors and size classes.
3. Assessment of the impact of the proposed changes on comparability with ESENER-2 findings.

---

<sup>19</sup> Cited in Tourangeau R, Rips L J and Rasinski K (2000), *The Psychology of Survey Response*, Cambridge University Press

4. Describe approach to include outcome questions in ESENER-3.
5. Explain strategy to gather information from non-respondents.
6. Details of the pre-test of the proposed improvements to the questionnaire.

## Task 2: National questionnaires

The bulk of the ESENER-3 questionnaire will remain unchanged with respect to the previous one in order to enable trend analyses but, as described in Task 1 above, tenderers are expected to propose some specific improvements and adaptations to the questionnaire, as well as considering new topics, which would have an effect on the national versions of the master questionnaire. In their offer, tenderers will describe in detail how the national versions of the questionnaire will be adapted and translated accordingly, to ensure comparability across countries. For the **translation** of the proposed improvements and adaptations, as it was the case in ESENER-2<sup>20</sup>, the contractor will apply the Translation-Review-Adjudication-Pre-test-Dokumentation (TRAPD) approach. As pointed out above though, the majority of the questionnaire will remain unchanged and, hence, the existing translations from ESENER-2 will be used.

The contractor will produce a specific version of the questionnaire for each of the countries covered by the survey (see minimum language requirements under Task 3 – Design and implementation of sampling). They must ensure that the questionnaires are functionally equivalent, ensuring consistency in their application and comparability of the results.

Tenderers must follow a strict translation and assessment strategy so that each national version of the questionnaire accurately captures the intended meaning of the proposed modifications of the original English-language version while avoiding the introduction of lexical or inclusion/exclusion problems (see above).

As a minimum:

- All persons involved in the translation process will take part in a training session (which may use videoconferencing) to be organised by the contractor, with the participation of EU-OSHA. One or more sessions may be organised if necessary and they will serve to present ESENER, to discuss the proposed changes to the questionnaire, the translation process and to anticipate possible difficulties.
- For each national version, two translators will carry out two entirely independent high-quality translations of the proposed modifications to the English language master questionnaire into the destination language. As mentioned above, for a majority of questions translations will already be available and hence, they will not be translated again but the translators will review them to ensure coherence. Translators will translate out of English into their strongest language and will make notes as part of the task.
- Both translators will discuss the translation together with a reviewer, appointed by the contractor, who may act as adjudicator if agreement on a translation decision cannot be reached. Reviewers should have at least as good translation skills as the translators but should in addition have a high level of expertise and experience in questionnaire design. The review meetings should draw on the translators' notes and should also produce question-by-question notes, highlighting any specific difficulties encountered.
- Translations of the proposed changes, particularly of OSH-related terminology, will be reviewed by members of EU-OSHA's network of Focal Points and their comments shall be taken account of by the translators and reviewer at their meeting before finalising the translation process. EU-OSHA will

---

<sup>20</sup> ESENER-2 Translation report: [https://oshwiki.eu/images/0/01/Translation\\_Report.pdf](https://oshwiki.eu/images/0/01/Translation_Report.pdf)

consult again some key national OSH terminology of the ESENER-2 questionnaire and will provide the results ahead of the review meetings.

Key terms (including answer categories) that are used repeatedly in the questionnaire must be translated consistently. As mentioned above, questions maintained unchanged from ESENER-2 (a majority) will be assessed by the contractor and any proposed changes to national versions will be discussed with EU-OSHA.

Care must be taken regarding administrative, cultural and general language differences between countries sharing a common survey language (United Kingdom/Ireland, Greece/Cyprus, Germany/Austria/Luxembourg, etc.) and independent, country-specific translations are required. Once finalised, the different country versions of the same language questionnaires will be harmonised by the respective reviewers. The outcome of the harmonisation process will be documented, including a short question-by-question justification of any changes proposed or differences maintained.

A final proof check of each national questionnaire version will be carried out to correct for typographical errors, punctuation, consistency, etc. and to ensure that there are no unintended omissions or additions, incorrect filters, etc. compared to the English language master version.

All stages of the translation process are to be properly documented (in the corresponding language as regards translators' notes and in English as regards notes of the reviewer), including response to input from EU-OSHA's expert group members and issues arising from harmonisation of national versions of same-language questionnaires. The contractor will provide EU-OSHA with a detailed report describing the translation process for each national language version of the questionnaire. The report will mention who was involved at each stage of the process and will set out all the issues that arose during translation, outlining the decisions that were taken and describing the reasons behind them.

In their offer, tenderers should describe how they will implement all steps in the translation task.

EU-OSHA will again offer the national authorities the possibility to boost the national sample size, as was the case in ESENER-2. This time around, and in view of the requests from different national stakeholders, the option to add a short **ad-hoc module** at the end of the national questionnaire will be considered. It would only be offered to those countries increasing the national sample size and would consist of two or three questions maximum, reflecting a specific topic of interest in the OSH national agenda of that particular country. Comparability across countries is paramount for EU-OSHA, and consequently, tenderers will explain in their offer how they would include such an ad-hoc module in the ESENER-3 questionnaire in a way that allows certain degree of national adaptation while ensuring international comparability. The proposal for the specific questions (if any at all) will originate from the national authorities of those countries that fund the increase of the sample sizes and the definition of the final wording (including translation) would be a joint task of the contractor, EU-OSHA and the national authority.

### Pilot test

A pilot test of all the national versions of the questionnaire will be carried out with the aim of providing information on:

- Success of the proposed survey introduction (see 'contact strategy' below) in going past the gatekeeper and obtaining response.
- Respondent's understanding of the survey aims.
- General understanding of the proposed modifications to the questionnaire (interviewer and respondent), including the respondent's reaction to questions and ability to provide answers.
- Understanding and ability of respondent to provide answers on outcome questions.
- Strategy to obtain additional information from non-respondents.
- National ad-hoc modules (only as an option for those countries that will fund an increase of the national sample size).



- Question sequence, routing of filter questions and overall survey 'flow', particularly in the light of the proposed modifications to the questionnaire and to ensure coherence with the bulk that will remain unchanged.
- Interviewer instructions and support.
- Function of the CATI scripts and data collection infrastructure.
- Average interview duration for each national version.

A quota-controlled sample of at least 30 establishments should be used for each national version of the questionnaire. In view of the aims of the pilot, and the specific challenges that such aspects may pose for the smallest establishments, the sample for the pilot will ensure a large enough number of micro establishments. In order to maximise the value of the field test, a fieldwork supervisor or equivalent experienced researcher, should listen in to the interviews. The supervisor should debrief the interviewers, either individually or using focus-groups, so as to collate information as described in the bullet points above.

The contractor will provide a comprehensive report detailing the outcome of the pilot test for each of the national versions of the questionnaire. Findings from the pilot test will be used to make the final changes to the survey instrument, including interviewer support and training, as needed.

In their offer, tenderers should describe in detail their approach to field testing, specifying the number of interviews to be carried out and detailing the supervision and debrief procedures.

#### Task 2 summary (for tenderers)

1. Describe their approach to adapting the national questionnaires in view of the suggested improvements to the master questionnaire.
2. Detail the approach to the translation.
3. Provide a detailed approach to the inclusion of a short ad-hoc module in those countries that would top-up the national sample size.
4. Describe the pilot test.

#### Task 3 Design and implementation of sampling

##### *Universe, unit of analysis and respondent*

As in the previous survey round, the universe in ESENER-3 will comprise of all establishments in the countries covered with **five or more employees** and across **all sectors** of economic activity. For the purposes of the survey, 'all sectors of economic activity' includes public administration, but excludes households (NACE T) and extraterritorial organisations (NACE U).

The relevant statistical unit of analysis is the **establishment**, defined as comprising the activities of a single employer at a single set of premises (e.g. a single branch of a bank, a car factory or a school). As defined by Eurostat<sup>21</sup>, "*an establishment is an [enterprise](#) or part of an enterprise that is situated in a single location and in which only a single productive activity is carried out or in which the principal productive activity accounts for most of the [value added](#).*"

In each establishment surveyed, a single person will be interviewed, '*the person who knows best about health and safety in the establishment*'. As shown in ESENER-2, this **respondent definition** allowed for the fact that in some establishments the person who knows most about health and safety may not

<sup>21</sup> <http://ec.europa.eu/eurostat/statistics-explained/index.php/Glossary:Establishment>

be someone from the management side –as might be expected, this was most often the case in the larger sized establishments. Tenderers should propose a strategy (or multiple strategies depending on company size, type and sector) to obtain access to the target respondent, with the aim of increasing response rates.

#### *Countries covered and sample sizes*

See table below for information on the minimum sample size to be covered in each of the countries, as well as the languages in which the questionnaire/interview should be offered<sup>22</sup>. All **EU-28** countries, together with two EEA countries (**Iceland and Norway**) will be included in ESENER-3. Depending on budget availability, also Candidate countries and Switzerland may be included.

The sample sizes in the table below are the reference sample sizes for evaluation of the tenderer's cost proposal and represent the minimum net sample size. In their offer, tenderers should outline the gross sample sizes they are expecting to need in order to reach the net sample sizes in each of the countries and explain the reasons and argumentation behind those calculations.

EU-OSHA may require an **increase in the net sample** size in some of the countries/territories. An increase in the sample size will be considered by an amount of no less than 20% of the reference sample size. For example, an increase of 20% in the sample corresponds to 300 additional interviews in Belgium, 150 additional interviews in Estonia, etc. and an increase of 60% corresponds to 1,350 additional interviews in Spain, 900 additional interviews in Sweden, etc.

As well as providing the cost for the reference sample size, tenders must indicate the cost of an increase of the reference sample size by 40% (*by way of reference*) for each of the countries. Such sample size top-ups are to be funded by the respective national authorities -who would negotiate a direct contract with the awarded tenderer<sup>23</sup>.

Grouping	Geographical name	Minimum sample size	Minimum language requirement
<b>EU – 28 MEMBER STATES</b>	Austria	1500	German
	Belgium	1500	Flemish, French
	Bulgaria	750	Bulgarian
	Croatia	750	Croatian
	Cyprus	750	Greek
	Czech Republic	1500	Czech
	Denmark	1500	Danish
	Estonia	750	Estonian, Russian
	Finland	1500	Finnish, Swedish
	France	2250	French
	Germany	2250	German
	Greece	1500	Greek
	Hungary	1500	Hungarian

<sup>22</sup> The final decision on the different language versions of the questionnaire by country will be informed too by the use of such versions in ESENER-2. Available information at: [https://oshwiki.eu/wiki/ESENER-2\\_Methodology](https://oshwiki.eu/wiki/ESENER-2_Methodology)

<sup>23</sup> In any case, such national sample boosts are an integral part of ESENER-3 and, as such, EU-OSHA will have the ownership of the entire survey.



	Ireland	750	English
	Italy	2250	Italian
	Latvia	750	Latvian, Russian
	Lithuania	750	Lithuanian, Russian
	Luxembourg	750	Luxembourgish, French, German
	Malta	450	Maltese, English
	Netherlands	1500	Dutch
	Poland	2250	Polish
	Portugal	1500	Portuguese
	Romania	1500	Romanian
	Slovakia	750	Slovak
	Slovenia	750	Slovene
	Spain	2250	Spanish
	Sweden	1500	Swedish
	United Kingdom	2250	English
<b>CANDIDATE COUNTRIES</b>	Albania	750	Albanian
	FYROM (Former Yugoslav Republic of Macedonia)	750	Macedonian, Albanian
	Iceland	750	Icelandic
	Montenegro	450	Montenegrin
	Serbia	750	Serbian
	Turkey	2250	Turkish
<b>EEA</b>	Norway	1500	Norwegian
<b>EFTA</b>	Switzerland	1500	French, German, Italian

### *Sampling strategy*

The quality of the sampling, which is closely linked to the weighting, is essential for the validity of the survey measurement. The sampling plan will influence the coverage of the relevant population of the survey, and weighting will be applied to correct in case certain sub-populations are over- or under-sampled. In order to extract reliable conclusions and statements about the target population, it is necessary that all elements of the target population are covered.

ESENER-3 is a multi-stratified random probability survey and for an optimal sampling design it requires (1) the use of high-quality sampling frames in every country, (2) availability of accurate statistics at national level, and (3) minimising non-response bias by implementing the right approach in terms of number and timing of contact attempts as well as a strategy to convince the target respondent to participate in the survey.

Bearing these requirements in mind on the one hand, and the availability of registers, statistics and the fieldwork length on the other, tenderers will describe in detail the sampling strategy for each country, with an emphasis on **reducing non-response bias**. They will also explain in detail the potential impact of the proposed sampling strategy (and weighting) to the comparability with the ESENER-2 findings.

Tenderers are expected to use high quality, up-to-date **registers of establishments** to draw the samples and should explain their approach for creating or acquiring such address lists for the target population<sup>24</sup>. Where no high-quality establishment registers are available in a country, tenderers will be required to use the best quality company registers and design a screening procedure to randomly select establishments in multi-establishment companies. In this case, tenderers should describe this procedure in their offer, noting that the use of company rather than establishment registers has implications for the composition of the sampling frame as well as for the construction of weights. EU-OSHA recognises the challenges associated with the inclusion of establishments employing as few as five persons and those in the agriculture, forestry and fisheries sectors. In their offer tenderers should describe clearly the challenges they foresee in each country to be covered and their proposed strategy for achieving as high a quality sample as possible.

For each country, a stratified probability representative sample of establishments will be drawn from the best quality business register(s) available. The samples are to be stratified by size class, sector of activity and region. More specifically, hard targets will be set for each stratum of size class and broad sector grouping. In view of minimising non-response bias, tenderers will look at the most challenging strata (and countries) in terms of their cooperation and response rates in ESENER-2 and take it particularly into account for their sampling design in ESENER-3. There may be a need to oversample certain important sub-groups of interest (e.g. industry, sub-regions, establishments of a given size) to ensure robust enough sub-group estimates and tenderers should take this into account when designing the sampling. Therefore, the sampling design should strike a balance between employee-proportional and establishment-proportional representativeness. Further to this, EU-OSHA welcomes the use of calibration estimators, including generalised regression estimators, in the estimation phase<sup>25</sup> to adjust for the non-response and to use auxiliary information for the construction of the weighting factors.

ESENER-3 aims to contain high-quality information regarding the sector of activity of the establishments in the sample: two-digit NACE Rev 2. Tenderers should advise EU-OSHA on the most efficient and effective way to obtain this information; either from the business registers or, most probably, double checking the information from the register with the respondent.

The final sampling strategy, including sampling plans, will be subject to approval by EU-OSHA at the kick-off meeting and finalised once the national authorities confirm the sample size boosts in their respective countries.

On completion of the fieldwork the contractor will be required to compile a report on the sampling strategy and its implementation, covering all countries included in ESENER-3.

### **Task 3 summary (for tenderers)**

1. Define the sampling strategy covering all countries, with a view to minimising selection bias.
2. Describe the sampling frames proposed to be used in each country.
3. Explain any potential impact on comparability with ESENER-2 due to the proposed sampling strategy.

## **WORK-PACKAGE B**

---

<sup>24</sup> In their financial offer, tenderers will include the cost of purchasing the samples

<sup>25</sup> See weighting section below

#### Task 4: Fieldwork preparation

Data will be collected through Computer Assisted Telephone Interviews (**CATI**). The contractor is expected to use the same CATI system in all countries. If this is not feasible, the tenderer is required to outline the different systems which will be used, their technical features and to explain the implications of using them, both the advantages and how to overcome the disadvantages (if any).

Questionnaire and contact data should be captured within one CATI framework so that for every element of the gross sample (that is contacted) a CATI case is generated, describing process characteristics and results of the various stages of the process (one or several contact attempts and interview). Preferably this will be done using a system that integrates CATI and survey sample management. The tenderer should describe how complementarity and consistency between paradata and data collected through the survey sample management system and/or during the interview will be ensured.

The contractor must record complete information on contacts and non-contacts, including all paradata (such as timestamps) and contact process data, so as to allow (potentially) an assessment of the non-response bias. As part of fieldwork preparation, the contractor will propose a template for collection of this information for approval.

The sample management strategy should aim to reduce **non-response bias** to a minimum and, as part of this, EU-OSHA expects that response rates for ESENER-3 will exceed those of ESENER-2. In their offer, tenderers should outline their strategy for minimising non-response bias, in particular detailing measures related to fieldwork preparation and execution. Tenderers will look into the response and contact rates from ESENER-2<sup>26</sup> and propose specific ways to improve them, in particular those of the most challenging strata.

Tenderers will describe their **contact strategy**, indicating (1) the number of contact attempts they will make (a minimum of five) and (2) how they will space them at different times of the day and days of the week, before discarding a sample entry as non-contact. In line with the points raised above, the contact strategy will take account of the specific challenges of the different strata. Similarly, and in view of increasing response rates, tenderers will propose ways to make the survey introduction more appealing, particularly for certain types of establishments who may not be so familiar with OSH requirements, EU-OSHA or the fieldwork company, and probably need fewer technicalities and formalities in order to participate in the survey. In their offer, tenderers will provide specific examples of how to convince gatekeepers in such establishments.

Further to this, and in order to help improve response rates, EU-OSHA will provide the contractor with a letter in English that may be emailed to the establishments in advance. In addition, a webpage presenting the survey will be available for respondents to consult online. This letter and short text should be translated and adapted by the contractor –in consultation with EU-OSHA- to maximise its effect.

The relevant manager and the fieldwork supervisor from each fieldwork centre must attend a **training** seminar (in English) before the start of fieldwork. This will serve to brief them on the aims of ESENER-3, the importance of the survey and the importance of carrying out the fieldwork to the highest quality standards. It will give an opportunity to highlight any challenges foreseen and to discuss the best approach to avoiding difficulties. Representatives from EU-OSHA will participate in the seminar (or more than one seminar if needed) in order to assist in the briefing and discussion. Costs of the seminar and participation by the representatives of the fieldwork centres will be borne by the contractor.

Following the training seminar, but before the start of fieldwork, specific training must be provided to all interviewers in each country. For this purpose, the contractor will ensure that each fieldwork centre is provided with appropriate material for training and on-going instruction of interviewers. Tenderers should

---

<sup>26</sup> ESENER-2 technical and quality reports available at: [https://oshwiki.eu/wiki/ESENER-2\\_Methodology](https://oshwiki.eu/wiki/ESENER-2_Methodology)

describe their approach to ensuring effective training and motivation of interviewers, describing the methods and procedures applied. In particular, they should include measures to convert refusals into response, outlining instructions on possible ways to overcome gatekeepers to provide information to identify the respondent and encourage participation from those who may be initially reluctant to do so.

In all countries, fieldwork will be conducted on the basis of detailed and uniform instructions prepared by the contractor and **translated** by the contractor into all national languages<sup>27</sup>. An English version of the instructions to interviewers shall be sent to EU-OSHA for review and approval before translation. Interviewers will receive instructions in their native language on both the procedure to be followed for selecting and reaching the interviewee and on the interview itself. In addition, the instructions should specify the procedure for conversion of non-response (refusal) into response.

As part of this attempt to convert refusals, in ESENER-2 an option to complete the **questionnaire online** was offered as a last possibility to those who would not participate in the survey. As indicated in the ESENER-2 technical reports<sup>28</sup>, a minor share of the final interviews were completed online and response rates were not increased by much but bearing in mind the increased acceptance of online modes – particularly among some establishment types- and the analyses carried out showing that no major mode effects were apparent, tenderers will include in their offer the possibility of offering such an online mode.

#### **Task 4 summary (for tenderers)**

1. Define strategy for fieldwork preparation and execution, including single template for recording of information on contacts and non-contacts.
2. Specify approach to reduce non-response bias, taking account of information from ESENER-2, with a detailed description of the proposed contact strategy.
3. Describe the overall training approach, including seminars to train and motivate interviewers.
4. Describe the approach to the online questionnaire.

#### **Task 5: Fieldwork execution**

Tenderers must outline a strategy for execution of fieldwork that will ensure high quality interviews and the highest possible response rates.

In each country covered, interviews will be offered in at least the corresponding languages specified in the table above. Tenderers will pay specific attention to the organisation of the field force in those countries where multiple languages are spoken.

Each fieldwork centre (CATI lab) must be located in the corresponding country<sup>29</sup> and the interviewers must be native speakers of the language used in (the respective part of) each country. A national project manager and a fieldwork supervisor must be designated in each fieldwork centre who, together with each interviewer, should be assigned a unique ID to be used throughout the entire study and attached to all their interactions with gatekeepers or respondents.

---

<sup>27</sup> A TRAPD approach is not expected for the translation of the fieldwork materials.

<sup>28</sup> Available at: [https://oshwiki.eu/wiki/ESENER-2\\_Methodology](https://oshwiki.eu/wiki/ESENER-2_Methodology)

<sup>29</sup> If there are no fieldwork centres in each and every country, tenderers in their offer will explain in detail how CATI labs will cover more than one country, ensuring a field force of native interviewers for each of the countries covered.

In their offer tenderers should specify the following in relation to the field force<sup>30</sup>:

- For each fieldwork centre, the maximum number of interviewers working on ESENER-3 (the size of the team should ensure that each interviewer completes at least 50 interviews on average).
- Interviewers' minimum years of experience in conducting CATI surveys and specifically business-to-business surveys.
- The national project managers' and the fieldwork supervisors' minimum years of experience in conducting and in supervising CATI surveys and specifically business-to-business surveys.

Before fieldwork commences, the contractor will be asked to provide more detailed information on the qualifications and experience of the proposed interviewers, project manager and fieldwork supervisor in each fieldwork centre. This information shall be updated by the contractor on completion of the fieldwork.

The contractor will ensure that interviewers working on ESENER-3 are subject to a high level of quality control in terms of supervision and training. Tenderers should specify their approach to interviewer monitoring, including their use of spot checks (e.g. listening to interviews), interviewer debriefs, etc. As a minimum this approach should include checking at least 10% of phone calls (contacts and attempted contacts), a process for recording the results in a log and a procedure for effective follow-up. In addition to this, the work of each interviewer might be subject to checking at different stages of the calls. Overall, the contractor will be expected to report on the findings of such checks in real time as EU-OSHA needs to monitor quality indicators closely in order to take appropriate measures when needed. The contractor will document all quality control actions it carries out (as well as any remedial actions).

To ensure continuity and good communication the local supervision teams shall as far as possible remain consistent throughout the fieldwork so that interviewers are always reporting to the same person.

EU-OSHA, together with a national stakeholder, may pay a half-a-day visit to some local fieldwork centres to meet the national teams, further explain the survey objectives and address any question they may have. The outcomes and recommendations following such visits will be duly passed on to the core team coordinating ESENER-3, in order to be shared with the other national fieldwork centres.

Fieldwork is planned to commence in the first quarter of 2019 and will cover a period of 10 to 20 weeks. The prolonged timeframe is aimed at having a positive impact in terms of response rate. If the sample size is increased, the maximum fieldwork period in those countries will be extended accordingly.

Throughout the fieldwork period the contractor will provide **weekly reports** describing progress of the fieldwork in each country, detailing any problems encountered and how they were resolved. The reports will include at least the following information for each country covered by the survey: number of interviewers involved in the project; number of establishments approached; number of non-contacts with establishments; number of refusals (upfront, e.g. by receptionist); number of eligible contacts; number of refusals (by target respondent); number of appointments with target respondent; number of interviews; contact rate; refusal rate; cooperation rate; and response rate. The definitions of each type of data (contacts, response rate, etc.) should be identical for all countries. As mentioned under quality control and assessment (section 3.6), in their offer tenderers will explain the possibilities to provide EU-OSHA with access to the fieldwork platform used in order to check progress at any time.

#### Task 5 summary (for tenderers)

1. Detail the approach to fieldwork execution, describing the fieldwork teams and overall infrastructure to guarantee high-quality interviews and minimise non-response bias.
2. Describe the strategy to ensure proper monitoring, control and reporting of fieldwork process.

<sup>30</sup> See also section 4.3 Selection criteria – technical and professional capacity

## **Task 6: Data processing and delivery**

In their bid, tenderers must outline their approach to the activities that follow the data collection after fieldwork is completed. Extensive quality and consistency checks using visual and logic checks and running simple frequencies should be carried out to ensure accuracy and completeness of data. Data should be subsequently cleansed, recoded and labelled as appropriate. The approach to weighting as well as a comparison between samples and universes will be part of this task too.

### **Coding**

In order to aid comparison of results with those from ESENER-2, data will be coded in a compatible format.

Should the tenderer advise collection of information on sector of activity through open-ended questions, the strategy for coding the answers into two-digit NACE Rev 2 codes should be outlined. At the end of the process, the contractor will compile a report on the strategy used and how it was implemented.

### **Data validation**

Contractors must edit the collected data before delivery to EU-OSHA, consisting in identification of wrong or suspect values (data validation) and their subsequent flagging and modification. The contractor will ensure harmonised editing across all fieldwork centres, based on detailed common instructions and the feedback from the fieldwork monitoring. Data validation is expected to happen in real-time (or as close as possible).

Data validation must be applied at least at two levels:

1. Variable: A set/range of valid values must be established for each variable and the validity of each recorded value must be examined in isolation from the rest of the data.
2. Respondent: the data collected for each respondent in the sample should be coherent. Rules must be identified, which prescribe the allowable combinations of values for each group of logically related variables. The data of each respondent must be checked as to whether they satisfy all of these rules.

Validation rules should be integrated as part of the CATI programming. With regard to suspect values at the respondent level, an additional layer of post-hoc checking is expected. The validation rules will be decided in close collaboration with EU-OSHA and scripts (such as SPSS syntax) for post hoc validation will be provided for approval. Rules and conditions will be clearly described and will be applied in an identical way by all fieldwork centres. Tenderers may suggest examples of variables and combinations of variables they recommend for inclusion in the validation, as well as rules and conditions they must satisfy, for each level.

The contractor will provide EU-OSHA with a log file of post-hoc checks and edits, which may be verified by the external auditors and/or EU-OSHA staff. A document will be produced by the contractor describing the processes for data validation and editing.

### **Weighting**

Due to sampling design and non-response, samples are not usually representative of the population they come from and hence weighting is required in order to correct for such disproportionalities. In a survey like ESENER-3, where the unit of observation and sampling is the establishment as opposed to the company, the following types of weights will need to be constructed –depending on the available information of the business registers used:



1. Where the tenderer would need to resort to company registers, selection probability weights (or design weights) should be constructed, which correct for unequal selection probabilities of establishments. Establishments in multi-establishment companies would have a smaller selection probability than those in single establishment companies. These differences should be corrected by applying selection probability weights.
2. Post-stratification or non-response weights need to be constructed for all countries. The distribution of the sample by key demographic characteristics should reflect that of the universe (all establishments in the country, with five or more workers, excluding NACE Rev 2. categories T and U). Post-stratification weights must be constructed to correct for any differences between the sample and the universe (when applying the selection probability weighting). It is essential to use the most up-to-date information on the universe for weighting the national data. As in some countries it will be difficult to find reliable statistical background information on the universe, tenderers are expected to give a detailed explanation on the approach they will be taking. As a minimum, sector, establishment size and region (NUTS 2) must be included in the weighting scheme. Very large and very small weighting values are undesirable. Weight trimming should be applied to approximate a range between 0.3 and 3.0 (striking the right balance between achieving the exact range and adjusting the minimal number of weight scores). As part of the sampling design, and bearing in mind the emphasis on tackling non-response, tenderers will propose the data sources that will be used for population distributions.
3. Thirdly, two population size weights must be constructed to correct for differences between countries in terms of (1) the *number of establishments* and (2) the *number of workers*. This will allow for aggregating the survey results into groups of countries (e.g. EU-28, all countries in the survey, etc.).

The weighting process should be centralised; in their offer tenderers should outline their weighting strategy based on the requirements stipulated above, particularly the non-response. As pointed out under the sampling and the use of calibration estimators, EU-OSHA welcomes the use of generalised regression estimation methods to compute the weights. Also, tenderers will explain in detail how the proposed weighting might affect comparability with the ESENER-2 findings and will propose ways to ensure such comparability. At the end of the process, the contractor will compile a detailed report on the weighting strategy used and how it was implemented.

### Comparison between samples and universes

Following completion of data processing, the contractor will provide an analysis showing the effects of weighting on estimates following a procedure such as the one described below. Tenderers should specify in their offer whether they would follow this procedure, modify it, or propose a different approach.

- a) Provision of a universe description for each country/territory, based on a highly accurate source.
- b) Selection of a set of target variables. Their distribution over the weighted sample of each country/territory must be very close to their distribution over the respective statistical population (based on relevant universe description). These variables comprise at least: sector, establishment size and region (NUTS level 2). More variables on the universe description, if available, could be used in comparisons with the universe of both unweighted and weighted estimates.
- c) For each of the target variables and countries, a one-page comparison of their distribution between universes, unweighted and weighted samples are to be given in identical categories.
- d) A brief sample evaluation report will summarise the cases where significant unweighted sampling problems are observed. An explanation on likely causes should be offered.
- e) Provision of a one-page listing of weighting factors for all countries, together with a brief argumentation for this choice.
- f) A brief report will summarise solutions for sampling problems in terms of weighting and of future improvements (if applicable). Improvements in unweighted samples are preferred to weighting.

In addition, tenderers should address the feasibility of testing for response bias, for example by comparing responses from reluctant respondents with more willing respondents.

The elements above will be documented in a final methodological and fieldwork report (see section 3.3.3).

### **Micro data**

The micro data must be delivered to EU-OSHA in electronic format (both by email or file sharing site and on a CD-ROM). The files should be SPSS data files.

A first file shall contain all raw data (paradata, contact sheet data, questionnaire data) gathered in all countries covered by the survey, plus national and cross-national weighting information and quality control data. The variable and value labels shall be in English and, where relevant, in line with the dataset from the previous edition of ESENER. The exact lay-out of the SPSS file will be agreed by EU-OSHA after a proposal by the contractor. SPSS syntax files must be provided for all the data manipulations that are carried out to produce the micro dataset.

Concerning the contact data and paradata, contractors will be expected to include the following set of variables:

- Establishment details: name and city
- Country.
- Stratification cell.
- NACE Rev-2 category as indicated on the sampling frame.
- Sample entry ID.
- Interviewer ID (per contact attempt).
- Time and date (per contact attempt).
- Outcome (per contact attempt).
- Number of establishments in the company.
- Final status.
- Number of contact attempts.
- Length of interview in minutes.
- Timestamps (time and date) at various stages in the questionnaire (including screener).
- Respondent cooperation (very good, good, good nor bad, bad, very bad).
- Outcome of data validation.
- Monitoring status (Y/N).
- Outcome of monitoring.
- Language of questionnaire.

A second file shall contain the final, edited interview data merged with the interview data from ESENER-2.

The data shall also be delivered in tabulated form with classification by country, establishment size category and sector (or group of sectors) with both employee-proportional and establishment-proportional weighting.

### **Respondent data**

EU-OSHA plans to carry out follow-up studies at a later stage with those respondents who agree to it during their interview. Therefore, the names and phone numbers collected in the interviews will have to be added to the address information used to contact the respondents. The contractor will have to ensure that it is possible to connect the individual responses in the dataset with the individual respondents. The contractor shall ensure that international and national data protection regulations are respected in connection with the collection and storage of this data.



Tenderers shall briefly outline in their proposal how they propose to carry out the delivery of this information to EU-OSHA.

#### **Task 6 summary (for tenderers)**

1. Approach to data coding and data validation.
2. Explain detailed approach to weighting, including analysis of the effects of weighting on estimates, and potential impact of the proposed approach to comparability with ESENER-2.

### **3.3.3 Deliverables**

Where countries or groups of countries to be surveyed are the subject of individual specific contracts with the national authorities, separate versions of the deliverables specified below may be required covering only those countries.

The final format of the reports shall be agreed with EU-OSHA. The objective of these reports is to ensure that technical specifications have been met and to document quality, as well as to provide information both internally and externally. EU-OSHA may publish any of these reports on its website, possibly in a reduced format without detailed annexes. Therefore, the contractor must provide these documents in clear, comprehensive English suitable for publication without the need for English language editing.

Products intended for publication shall follow the Inter-institutional Style Guide<sup>31</sup>, as well as EU-OSHA's Formatting Requirements (available on request and provided at project kick-off). All deliverables must be submitted in electronic format compatible with the Microsoft Office 2013 suite. Images should be included in deliverables where appropriate and must be submitted as separate, high resolution files and be copyright free (see also Article II.10 of the draft contract regarding ownership of results).

Tenderers must briefly describe the structure they intend to use for the reports and their content. The quality of the proposed format (comprehensiveness of the information, clarity of the structure) will be taken into account when awarding the contract

Interim and draft reports will be for internal use; their circulation will be restricted to members of EU-OSHA staff and of the OSH Knowledge Advisory Group (OKAG). Comments from the OKAG or from EU-OSHA staff will be provided to the contractor within 30 days of submission of the report and should be accommodated before submission of the final version.

- **Inception report**

Within two weeks of the kick-off meeting the contractor will deliver an inception report recording the issues discussed at the meeting and detailing:

- the agreed work plan and timetable;
- finalised quality control plan;
- agreed plan for inclusion of new topics;
- agreed plan for adaptation of national questionnaires (national ad-hoc modules in countries increasing the sample size);
- agreed contract strategy for minimising response bias;
- agreed sampling strategy (linked to weighting), including business registers and national sampling design in view of reducing selection bias.

---

<sup>31</sup> <http://publications.europa.eu/code/en/en-000100.htm>

- **First interim report and associated deliverables**

Approximately four months after signature of the framework contract a report will be submitted describing progress of the work measured against the detailed schedule agreed at kick-off and providing information on:

- The inclusion of the new topics in the master questionnaire.
- Progress as regards the national versions of the questionnaire, including the ad-hoc module to the questionnaire in those countries that opt for it.

As part of the report, the contractor will deliver a draft master version of the questionnaire and draft instructions to interviewers.

- **Second interim report and associated deliverables**

An interim report will be submitted approximately seven months after signature of the framework contract describing progress of the work measured against the detailed schedule and providing information on:

- Sampling strategy, including the final list of business registers and the national sampling design.
- Progress in the revision of the master and national versions of the questionnaire, including any tests.
- Final instructions to interviewers for minimising selection bias.

- **Third interim report and associated deliverables**

An interim report will be submitted approximately ten months after signature of the framework contract describing progress of the work measured against the detailed schedule and providing information on:

- Fieldwork preparations, including final fieldwork teams (as specified under Task 5).
- The seminar(s) for relevant managers and supervisors from fieldwork centres.
- The training of interviewers.

At the same time, the contractor will deliver the final fieldwork material, including national versions of the questionnaires, as well as a report on the translation and tests performed (as specified under Task 2).

## **Final reports and deliverables**

- **Dataset**

Approximately sixteen months after framework contract signature, the contractor will provide EU-OSHA with the following deliverables, as specified under Task 6:

- a file with all raw data;
- a file with interview data merged with the data from ESENER-2;
- a document with tabulations of the data;
- SPSS syntax files;
- a file with contact details for respondents that agreed to a follow-up study at any time until expiry of the framework contract.

- **Methodological and fieldwork report**

Approximately eighteen months after framework contract signature, the contractor will deliver a final methodological and fieldwork report comprising evaluative comments and descriptive information, including the information provided in the weekly fieldwork progress reports described under Task 5. The report should give a concise analysis of the stages of the survey, from its conception to the presentation of the data. It must specifically mention any difficulties that arose in the course of the survey process (e.g. difficulty with identifying and approaching appropriate respondent, difficulty in translating a concept,

high non-response rate in a particular country, question that was poorly understood or poorly received by certain groups of the population, etc.) and, where appropriate, any recommendations for subsequent surveys. It should also contain a summary of the individual reports as relevant (e.g. sampling, coding, data validation and editing and weighting). The report should also contain an overview of problems and errors and the calculation of effective sample sizes for each country.

- **Other reports**

At the same time as the methodological and fieldwork report, the contractor will deliver:

- Sampling report, as specified under Task 3.
- Final coding report, as specified under Task 6.
- Weighting report, as specified under Task 6.
- Data editing and cleaning report, as specified under Task 6.
- Quality control report, as specified in section 3.6, below.

### 3.4 Team

The **core team**, in charge of coordinating all the tasks, will be responsible for the management and performance of the national partners, delivering the services and communicating with EU-OSHA. It would be preferably a multi-lingual team to ensure that the cross-cultural aspect of a cross-country survey is properly taken into account.

The core team will be responsible to ensure the quality of the outputs and to validate all of them. It should include, as a minimum, the following profiles, as evidenced by their respective CVs:

- The lead **project manager**, with a minimum of ten years of experience in the coordination of cross-national telephone surveys in different languages<sup>32</sup> (some of them business surveys) following a random probability sample design;
- The **members** of the core team, with a minimum of four years of experience in designing, conducting and/or coordinating cross-national telephone surveys in different languages (at least some of them business surveys) following a probability sample design. They should at least include one or more experts on sample design and weighting of cross-national business surveys; a survey methodologist; a statistician expert in data manipulation and data analysis; an expert in questionnaire design;
- Both the project manager and the members of the core team should have experience in the coordination of cross-national web surveys in different languages following a probability sample design;
- Tenderers will provide information on the proposed number of staff days allocated to ESENER-3 for each member of the core team.
- Proficiency level in English (minimum level required is C1 for the team members designated to liaise with EU-OSHA);
- Proficiency level in English (minimum level required is B2) for other core team members;
- For the provision of the educational and professional qualifications of the proposed core team members, including the project manager, as outlined above (CVs), tenderers are requested to use the European template, which can be downloaded at:  
<http://europass.cedefop.europa.eu/documents/curriculum-vitae/templates-instructions>

---

<sup>32</sup> Market research not included

The **national partners** will be responsible for the preparation and implementation of all the country-specific tasks described in the tender specifications and the tenderer's offer. The national teams will include, as a minimum, the following profiles, as evidenced by their respective CVs:

- A **national project manager** and a **fieldwork supervisor**, each with a minimum of four years of experience in operating as a team leader in telephone surveys following a probability sample design (at least some of them business surveys and some of them cross-national);
- In each country, the project manager and/or the fieldwork supervisor should have experience in conducting web surveys (CAWI) following a probability sample design;
- Tenderers in their offer will outline the capacity and ability of the national partners to successfully implement ESENER-3 to the required standards and timeframe.
- If a national partner covers more than one country, the tenderer will describe in detail the organisational arrangements proposed in order to meet the required standards.
- Proficiency level in English (minimum level required is C1) for the national project manager and/or the fieldwork supervisor.

### 3.5 Geographical coverage

All 28 European member states (at the time of contract signature) together with two EEA countries (Iceland and Norway) will be included in the survey. Depending on budget availability, also Candidate Countries and Switzerland may be included. For a full list of countries, see table above in section 3.3.2 Task 3.

### 3.6 Quality control and assessment

In addition to the specific requirements under each of the tasks and deliverables described in the sections above, tenderers will include a **quality control plan** as part of their offer. The plan must describe in detail the measures and actions in respect of each task and for all deliverables, with reference to the following over-arching quality criteria, as adopted by the [European Statistical System](#): relevance, accuracy, timeliness and punctuality, accessibility and clarity, coherence and comparability. It will describe the key indicators that will be monitored along the different stages of ESENER-3, identifying solutions for potential challenges and the reporting of quality control throughout the project. Persons responsible for the different quality control measures and actions should be identified in the plan covering both survey processes and output.

All quality control requirements apply not only to the main contractor, but also to the fieldwork centres and associated staff.

The proposed quality control plan must specify:

- A detailed risk assessment and the corresponding strategies for risk mitigation.
- The procedures the tenderer intends to implement and the indicators to be used to ensure the quality and monitoring of the services provided.
- Personnel policy and management, including the mechanisms for notification to EU-OSHA, and timely and full replacement of any reduction in capacity, in order to ensure the high level of expertise and resources throughout the duration of the contract.
- The structure set up for coordinating the tasks between the different fieldwork research centres.
- The procedures the tenderer intends to use for quality control, including the linguistic quality checks of all the deliverables to be produced.

The proposed quality control plan will be revised at kick-off and a final version will be agreed with EU-OSHA. The document will be updated regularly by the contractor during the life of the project and in particular before project meetings. At the end of the project the contractor will deliver a quality control report clearly documenting how the plan was implemented for all key stages of ESENER-3. It will include the deviations as well as the corrective measures, where relevant, and the contractor will ensure that all

information is collected in view of assessing whether the targets specified in the quality control plan were met.

EU-OSHA reserves the right to attend local translation, sampling, interviewing, data entry or data processing etc. without prior notice. Furthermore, as specified above, a number of visits may be made to fieldwork centres in order to monitor implementation of the work and to learn how the survey has been received. These visits will be organised in consultation with the contractor. Controls may be carried out by EU-OSHA staff or its representatives, including external auditors, which may cover the main stages of data collection and also reporting. Tenderers in their offer will outline the possibilities they will provide EU-OSHA with for real-time fieldwork monitoring. The contractor and network must keep all relevant documents for five years after project end.

### 3.7 Volume of the contract

The maximum indicative amount of the framework contract over a maximum duration of three years is EUR 3,100,000, for the EU-28 plus Iceland and Norway<sup>33</sup>. Specific contracts will not be signed once the budget is exhausted.

### 3.8 Duration

The maximum duration of the framework contract is three years (36 months) according to the Article I.3 of the framework contract.

The framework contract will be implemented through specific contracts. Specific contracts must be signed before the framework contract expires and the framework contract will continue to apply to such specific contracts after its expiry. The services relating to such specific contracts must be performed no later than 12 months after the expiry of the framework contract.

EU-OSHA will order services by sending the contractor a specific contract by e-mail<sup>34</sup>. Within 10 working days, the contractor must either:

- send the specific contract back to EU-OSHA signed and dated; or
- send an explanation of why it cannot accept the order.

If the contractor repeatedly refuses to sign the specific contracts or repeatedly fails to send them back on time, the contractor may be considered in breach of its obligations, as set out in Article II.18.1 (c). of the draft framework contract

### 3.9 Payment Terms

Payment terms will vary depending on the tasks. The different foreseen options are:

Work-package A

- 30% following approval by EU-OSHA of any relevant progress reports (first interim report) or deliverable results as specified by the tender specifications or specific contract.
- 30% following approval by EU-OSHA of any relevant progress reports (second interim report) or deliverable results as specified by the tender specifications or specific contract.
- 40% following approval by EU-OSHA of any relevant progress reports (third interim report) or deliverable results as specified by the tender specifications or specific contract.

---

<sup>33</sup> Increases to the national sample sizes will be funded by the respective national authorities.

<sup>34</sup> EU-OSHA will initiate the process by submitting a *request for services* by email. The contractor will make a specific offer, within the time limit indicated in the *request for services*. Following acceptance of the offer, the specific contract will be submitted to the contractor.

#### Work-package B

- 90% following delivery of the dataset.
- 10% following approval by EU-OSHA of any relevant final report or deliverable results as specified by the tender specifications or specific contract.

EU-OSHA reserves the right to revise these terms if necessary.

### 3.10 Audits

In accordance with Article II.24 of the draft framework contract, an audit of the contractor's compliance with its contractual obligations may be carried out by EU-OSHA at the end of the framework contract.

## 4 EVALUATION AND AWARD OF THE FRAMEWORK CONTRACT

### 4.1 Identification of 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.

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)

For the tenderer and for all parties in the case of a joint tender:

- Copy of the incorporation of the company and the articles or association, including any amendments made to these documents pursuant to the legislation of the Member States in which the tenderer is established.
- Copy of the powers delegated to the person or persons authorised to act on behalf of the entity and who can therefore sign documents on behalf of it.
- Joint tender form (Annex 3) where appropriate
- Subcontractors Form (Annex 4) if their share of the work is above 10%

### 4.2 Verification of non-exclusion

All tenderers must provide a declaration on honour (see Annex 2), signed and dated by an authorised representative, stating that they are not in one of the situations of exclusion listed in that declaration on honour.

In case of joint tender, each member of the group must provide a declaration on honour signed by an authorised representative.

In case of subcontracting, all subcontractors whose capacity is essential to fulfil the selection criteria must provide a declaration on honour signed by an authorised representative.



EU-OSHA reserves the right to verify whether the successful tenderer is in one of the situations of exclusion by requiring the supporting documents listed in the declaration of honour.

The successful tenderer must provide the documents mentioned as supporting evidence in the declaration on honour before signature of the contract and within a deadline given by the contracting authority. This requirement applies to each member of the group in case of joint tender and to all subcontractors whose capacity is necessary to fulfil the selection criteria.

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

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

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

### **4.3 Selection criteria**

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

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

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

#### **4.3.1 Declaration and evidence**

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

This declaration is part of the declaration used for exclusion criteria (see section 4.2) so only one declaration covering both aspects should be provided by each concerned entity.

EU-OSHA will evaluate selection criteria on the basis of the declarations on honour. Nevertheless, it reserves the right to require evidence of the legal and regulatory, financial and economic and technical and professional capacity of the tenderers at any time during the procurement procedure and contract performance. In such case the tenderer must provide the requested evidence without delay. EU-OSHA may reject the tender if the requested evidence is not provided in due time.

After contract award, the successful tenderer will be required to provide the evidence mentioned below before signature of the contract and within a deadline given by EU-OSHA. 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.

A tenderer (or a member of the group in case of joint tender, or a subcontractor) is not required to submit the documentary evidence if it has already been submitted for another procurement procedure and provided the documents were issued not more than one year before the date of their request by the contracting authority and are still valid at that date. In such cases, the tenderer must declare on its

honour that the documentary evidence has already been provided in a previous procurement procedure, indicate the reference of the procedure and confirm that there has been no change in its situation.

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

#### **4.3.2 Legal and regulatory capacity**

Tenderers must prove that they are allowed to pursue the professional activity necessary to carry out the work subject to this call for tenders. 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.

#### **4.3.3 Economic and financial capacity**

The tenderer must have the necessary economic and financial capacity to perform this contract until its end. In order to prove their capacity, the tenderer must provide proof by means of one or more of the following documents:

- a) Appropriate statements from banks or evidence of professional risk indemnity insurance.
- b) Balance sheets or extracts from balance sheets for the last two 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 tenderer is established.
- c) A statement of overall turnover and turnover concerning the services covered by the contract during a period which may be no more than the last three financial years. The average annual turnover must be at least €1,000,000.

If exceptionally EU-OSHA considers that there are reasons to justify the failure by the tenderer to produce the documents requested, their economic and financial standing may be proven by any other document that EU-OSHA deems suitable.

#### **4.3.4 Technical and professional capacity**

The tenderer must prove that it has the technical and professional capacity to carry out the tasks described in these specifications. This shall be evaluated with regard in particular to know-how, efficiency, experience and reliability, and may be proven by means of the following documents:

##### **Criteria relating to tenderers**

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

- Infrastructure and resources available to perform the services under this contract as demonstrated by a description of the organisational structure and corporate experience, the overall number of staff on payroll, including back-up, managerial and operational staff, the number of staff working in the area of this tender, the tenderer's premises (locations and number) and the company's contract management and quality assurances.
- Extensive experience in the field of cross-national business surveys carried out by telephone (CATI), as well as cross-national web surveys (CAWI), as demonstrated by a list of references of the main services (a minimum of five) provided over the last five years in areas relating to



those covered by this contract. Tenderers should provide details of budgets, geographical coverage, dates and recipients of the services, both public and private. The most important services (at least three) shall be accompanied by written evidence of satisfactory execution, specifying that they have been carried out in a professional manner and have been fully completed.

- Having at its disposal the network capacity to carry out the contract, and that the network partners have experience with (cross-national) business surveys, carried out by telephone (CATI) as well as experience with cross-national web surveys (CAWI). In each of the countries where ESENER-3 will take place, each fieldwork centre must provide a sworn statement confirming its availability during the period foreseen in the tender, that the field-force and supervisors it will use for the survey have extensive experience of business surveys using CATI and that the interviewers are native speakers of the languages used in the country. Each national fieldwork centre will describe at least two surveys carried out in the past two years, including the client, survey method used and sample size.
- Commitment to work in accordance with the standards for good practice that are accepted in their field, as demonstrated by certificates of membership proving that the tenderer and members of its network (fieldwork centres) belong to ESOMAR, WAPOR or an equivalent body.

#### **Criteria relating to the core team delivering the services (as indicated under section 3, above)**

The core team coordinating the services should include, as a minimum, the following profiles:

- Minimum of ten years of experience in the coordination of cross-national telephone surveys in different languages (at least some of them business surveys) following a random probability sample design as evidenced by the CV provided for the person designated to be the **project manager**;
- Minimum of four years of experience in designing, conducting and/or coordinating cross-national telephone surveys in different languages (at least some of them business surveys) following a probability sample design as evidenced by the CVs provided for the **members** of the core team. They should at least include one or more experts on sample design and weighting of cross-national business surveys; a survey methodologist; a statistician expert in data manipulation and data analysis; an expert in questionnaire design;
- Experience in the coordination of cross-national web surveys in different languages following a probability sample design as evidenced by the CV provided for all members of the core team (including the project manager);
- Proficiency level in English (minimum level required is C1) for the team members designated to liaise with EU-OSHA as evidenced by the CVs provided;
- Proficiency level in English (minimum level required is B2) for other core team members as evidenced by the CVs provided.
- For the provision of the educational and professional qualifications of the proposed core team members, including the project manager, as outlined above (CVs), tenderers are requested to use the European template, which can be downloaded at <http://europass.cedefop.europa.eu/documents/curriculum-vitae/templates-instructions>

#### **Criteria relating to national partners and country teams delivering the service (as indicated under section 3 above)**

The suitability of the national teams proposed to conduct the work as evidenced by:

- A brief description of the composition and task division of each of the national partners, identifying the **national project manager** and a **fieldwork supervisor**.
- Minimum of four years of experience in operating as a team leader in telephone surveys following a probability sample design (at least some of them business surveys and some of them cross-national) as evidenced by the CVs provided for each of the national project managers and fieldwork supervisors;

- Experience in conducting web surveys (CAWI) following a probability sample design as evidenced by the CVs provided for each of the national project managers and/or fieldwork supervisors;
- Proficiency level in English (minimum level required is C1) as evidenced by the CVs provided for the national project manager and/or the fieldwork supervisors.

## 4.4 Award Criteria

The contract will be awarded based on the most economically advantageous tender, according to the “best price-quality ratio” award method.

The quality of the tender will be evaluated based on the following criteria. **Tenders must score minimum 50% for each criterion and sub-criterion, and minimum 60% in total. Tenders that do not reach the minimum quality levels will be rejected and will not be ranked.**

EU-OSHA will assess the quality of the tenders according to the following award criteria (AC):

<b>AC.1 Efficiency and quality of the project management (max 30 points)</b>
<p>AC.1.1 The approach to project management and work organisation, including the resource allocation, the feasibility of the proposed timetable and the contingency plan for unforeseen events or complications, including procedures for quality control and assurance (<i>max 10 points</i>).</p> <p>AC.1.2 Extent and quality of the core team, including the composition in terms of expertise and skills, allocation of roles and responsibilities of all team members as well as resource back-up (<i>max 10 points</i>).</p> <p>AC.1.3 Quality of the proposed network of fieldwork research centres, the national project managers and the fieldwork supervisors (<i>max 10 points</i>).</p>
<b>AC.2 Work-package A: Questionnaire and sampling (max 35 points)</b>
<p>AC.2.1 Quality of the proposal to the questionnaire revision, including the suggested approach to new topics, the strategy to gather information from non-respondents and the pre-test (<i>max 10 points</i>).</p> <p>AC.2.2 Quality of the adaptation of the national questionnaires –while ensuring international comparability-, including the national ad-hoc modules, as well as the proposed approach to translation and the pilot test (<i>max 10 points</i>).</p> <p>AC.2.3 Quality of the sampling strategy, including the proposed business registers, the sampling design in view of minimising selection bias and the potential impacts on comparability with ESENER-2 (<i>max 15 points</i>).</p>
<b>AC.3 Work-package B: Training, implementation and delivery (max 35 points)</b>
<p>AC.3.1 Quality of the strategy for fieldwork preparation, particularly the approach to training and the contact strategy for reducing non-response, including the online module (<i>max 10 points</i>).</p> <p>AC.3.2 Quality of the proposed fieldwork execution, describing the overall approach to guarantee high-quality interviews and minimise non-response bias including the monitoring, control and reporting of the fieldwork process (<i>max 15 points</i>).</p> <p>AC.3.3 Quality of the approach to data processing, delivery and storage, including weighting and the impact on comparability with ESENER-2, as well as the reporting (<i>max 10 points</i>).</p>

## 4.5 Financial Offer

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

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

#### 4.5.1 Travel expenses and other costs

A **kick-off meeting** will be held with the contractor at premises of their choosing within a month of signature of the contract. In their offer tenderers should give details of other meetings planned. As a minimum, contractors will organise the following face-to-face meetings:

- Kick-off meeting with national partners, attended by the core team, the national project managers and fieldwork supervisors and EU-OSHA. The aim of the meeting is to ensure a common understanding over the tasks involved in the implementation of ESENER-3.
- **Pre fieldwork training seminar**, attended by the core team, the national project managers and fieldwork supervisors and EU-OSHA. The aim of the training seminar is to brief fieldwork centres about the aims of ESENER-3, the importance of the survey and the need to carry out fieldwork to the highest standards.
- Two additional meetings after (1) completion of the pre-test, to discuss the final revision of the master questionnaire and (2) after the pilot, to discuss the final national version of the questionnaire and all matters prior to fieldwork,

Additional meetings may be held at the request of EU-OSHA or at the request of the contractor (subject to the approval of EU-OSHA) at premises of the contractor's choosing. Before calling an extra meeting, the contractor shall first explore the possibility of using tele- or video- conferencing.

In submitting prices, the tenderer must take account of costs for meetings and any other overheads relating to routine execution of the tasks or projects (including kick-off and progress meetings, production of reports, delivery of data, etc.). These costs cannot be charged as an additional item.

The contractor may be required to attend up to three one-day meetings of EU-OSHA's stakeholder advisory group at a venue specified by EU-OSHA (normally Bilbao or Brussels). Travel and subsistence expenses associated with attendance of up to two persons at these meetings will be reimbursed by EU-OSHA in accordance with its Rules for reimbursement of travel, subsistence allowances and other expenses for Members of the Governing Board and experts invited to meetings organised by EU-OSHA<sup>35</sup>, as stated in Article 1.5.3. of the framework contract; however, the contractor's offer should take account of the time associated with their attendance.

EU-OSHA will cover the costs associated with its own staff or representatives' participation in meetings.

#### 4.5.2 Calculation of prices

The financial offer must be structured and detailed using the table in Annex 8. EU-OSHA will reject tenders where no financial offers are proposed. For the evaluation of the financial offer, the reference **price of the offer** is equal to the sum of the prices for **Work Package-A**, the sum of those for **Work Package-B** and the sum of those for a **40% increase in the sample size**, all three categories for all 36 countries included in the financial offer table. This is so regardless of (1) the final number of countries that will be included in ESENER-3 (candidate countries and Switzerland pending budget availability) and (2) the countries that will be expanding the sample size.

The tenderers are requested to fill in the table included in Annex 8.

---

<sup>35</sup> Decision of the Governing Board (2017/07), available at <https://osha.europa.eu/en/about-eu-osha/rules-forexpert-reimbursement.pdf>

## 4.6 Awarding of contract

The framework contract will be awarded to the most economically advantageous in accordance with the formula below. A weight of 70/30 is given to the quality/price.

**Score for tender x = Quality score of the tender\*0.70 + (lowest price offer/price offer of tender)\*100\*0.30**

All tenders passing minimum quality criteria will be ranked.

## ANNEXES

*Annex 1 – Checklist of documents to be submitted*

*Annex 2 - Declaration on honour on exclusion criteria and selection criteria*

*Annex 3 – Consortium Form*

*Annex 4 – Subcontractors form*

*Annex 5 - Legal entity form*

*Annex 6 - Financial identification form*

*Annex 7 - Privacy Statement on the protection of personal data in relation to procurement procedures*

*Annex 8 – Financial Offer*

## *Annex 1 – Checklist of documents to be submitted*

The following documents must be placed inside an 'inner envelope' marked "Open call for tender– not to be opened by the internal mail department"

- ☐ Cover letter
- ☐ Copy of the incorporation of the company and the articles of association\*
- ☐ Copy of the powers delegated to the person or persons authorised to act on behalf of the entity\*
- ☐ Declaration or certificate of enrolment in one of the professional or trade registers in the country of establishment (proof of access to the market)\*
- ☐ Consortium form(s) (if applicable)
- ☐ Subcontractors' form(s) (if applicable)
- ☐ Financial identification form
- ☐ Legal entity form\*
- ☐ Technical offer (placed inside its own envelope)
- ☐ Detailed financial proposal (signed by authorised representative and placed inside its own envelope)
- ☐ Declaration on honour on exclusion criteria and selection criteria\*
- ☐ Evidence of financial standing\*
- ☐ Evidence of technical and professional capacity\*

The above-mentioned documents must be placed in an 'outer envelope' and delivered to EU-OSHA according to the deadline set in section 2.8

\* Items marked with an asterisk must be provided by all members of a grouping when presenting an offer as a consortium

## Annex 2- Declaration on honour on exclusion criteria and selection criteria

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

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

### I - SITUATION OF EXCLUSION CONCERNING THE PERSON

(1) declares whether 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 national legislation or regulations;	<input type="checkbox"/>	<input type="checkbox"/>
(b) it has been established by a final judgement or a final administrative decision that the person is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the contracting authority is located or those of the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
(c) it has been established by a final judgement or a final administrative decision that the person is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the person belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:		
(i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) entering into agreement with other persons with the aim of distorting competition;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) violating intellectual property rights;	<input type="checkbox"/>	<input type="checkbox"/>
(iv) attempting to influence the decision-making process of the contracting authority during the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>

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



## II - SITUATIONS OF EXCLUSION CONCERNING NATURAL PERSONS WITH POWER OF REPRESENTATION, DECISION-MAKING OR CONTROL OVER THE LEGAL PERSON

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

(2) declares that a person who is a member of the administrative, management or supervisory body of the above-mentioned legal person, or who has powers of representation, decision or control with regard to the above-mentioned legal person (this covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares) is in one of the following situations:	YES	NO	N/A
Situation (c) above (grave professional misconduct)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (d) above (fraud, corruption or other criminal offence)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (e) above (significant deficiencies in performance of a contract )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (f) above (irregularity)	<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

(3) declares whether a natural or legal person that assumes unlimited liability for the debts of the above-mentioned legal person is in one of the following situations:	YES	NO	N/A
Situation (a) above (bankruptcy)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (b) above (breach in payment of taxes or social security contributions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## IV - GROUNDS FOR REJECTION FROM THIS PROCEDURE

(4) declares that the above-mentioned person:	YES	NO
(h) has distorted competition by being previously involved in the preparation of procurement documents for this procurement procedure;	<input type="checkbox"/>	<input type="checkbox"/>

## V - REMEDIAL MEASURES

If the person declares one of the situations of exclusion listed above, it must indicate the 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. The relevant documentary evidence which illustrates the remedial measures taken must be provided in annex to this declaration. This does not apply for the 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 the persons that are members of the administrative, management or supervisory body.



It must also provide the following evidence concerning the person itself and concerning the natural or legal persons which assume unlimited liability for the debt of the person:

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

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

The person is not required to submit the evidence if it has already been submitted for another procurement procedure. 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:

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

## VII - SELECTION CRITERIA

(5) declares that the above-mentioned person complies with the selection criteria applicable to it individually as provided in the tender specifications:	YES	NO	N/A
(a) It fulfills the applicable economic and financial criteria indicated in section 4.3 of the tender specifications;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) It fulfills the applicable technical and professional criteria indicated in section 4.3 of the tender specifications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(6) if the above-mentioned person is the sole tenderer or the leader in case of joint tender, declares that:	YES	NO	N/A
(c) 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.	<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. 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:

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 3 - Consortium form

(One form to be used for each partner)

**Name of tenderer:**

**Form of the Consortium:** (Please 'X' the relevant box)

Permanent: ☐      Legally established: ☐      Grouping for this tender: ☐

	Name	Address
<b>Leader of the Consortium</b> (person authorised to conclude contract)		
<b>Partner</b>		

### Declaration

*We confirm, as a partner in the consortium, that all partners are jointly and severally liable by law for the performance of the contract; that the leader is authorised to bind and receive instructions for and on behalf of each partner; that the performance of the contract, including payments, is the responsibility of the leader; and that all partners are bound to remain in the consortium for the entire duration of the contract.*

<b>Signature:</b> <i>Leader</i>	
<b>Signature:</b> <i>Partner</i>	

**Please attach:**

- **a completed declaration on honour on exclusion criteria and selection criteria**
- **a completed legal entity form** (tenderers that are already registered in the accounting system used by the Commission, an Institution, a Committee, an Agency or a body created by the Union (i.e. they have already been direct contractors) must provide the form but are not obliged to provide the supporting evidence)



## Annex 4 - Subcontractors form

(One form to be used for each subcontractor whose share of budget is above 10% of the total)

	Name(s)	Address
<b>Tenderer</b> <i>(person authorised to conclude the contract)</i>		
<b>Subcontractor</b>		

### Declaration

As subcontractors for this tender, we confirm that we are willing to perform the tasks assigned above and as specified in the tender.

<b>Signature:</b> <i>Tenderer</i>	
<b>Signature:</b> <i>Subcontractor</i>	

**Please attach a completed declaration on honour on exclusion criteria and selection criteria.**

Contract number: [complete]



## *Annex 5 – Legal Entity Form*

[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)

Contract number: [complete]



## *Annex 6 – Financial Identity Form*

[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)



## *Annex 7- Privacy Statement on the protection of personal data in relation to procurement procedures<sup>36</sup>*

### **Organizational part of the Agency entrusted with the processing of personal data**

- Head of the Resource and Service Centre

### **Purpose of processing**

- Upon reception of tenders or requests to participate in public procurements, personal data of applicants are collected and further processed for the purpose of the management and administration of public procurement procedures at EU-OSHA.

### **Type of data processed**

The controller will be collecting and processing personal data of the actors who take part in procurement procedures at EU-OSHA, both natural and legal persons, being contractors and subcontractors.

- For individuals: last name, first name, official address, VAT no., ID and passport no, date/place and country of birth, contact details (telephone, email, fax), other personal data included in CVs (such as technical skills, academic background, professional experience and records), a declaration of honour that he/she is not in one of the exclusion situations referred in Articles 106 and 107 of the General Financial Regulation (for the company director or any person with powers of representation, decision making or control in relation to the tenderer), extracts from judicial records for high-value contracts before the award of the contract
- For private companies: type of company, name(s), abbreviation, address and head office, VAT no, place of registration, date of registration, national registration no, proof of having fulfilled all obligations to pay social security contributions and taxes, certificate of clear criminal record or extract of judicial records, extract from the register of bankruptcy, balance sheets or extracts for the previous years, statement of overall turnover and turnover concerning the service covered by the contract, documents attesting professional standing, contact details (telephone, e-mail, fax, name) and signature of authorized representative.
- For public entities: type of organization, names(s), abbreviation, address and head office, VAT no, place of registration, date of registration, contact details (telephone, e-mail, fax, name) and signature of authorized representative.
- For the Financial identification form: last name, first name, address, telephone, e-mail and signature of the concerned account holder, as well as bank's name, address and stamp, account and IBAN no (refer to Privacy Statement for Legal Entity and Bank Account Validation).

### **Legal basis**

- Council Regulation (EC) No. 2062/94 of 18/07/1994 establishing the European Agency for Safety and Health at Work and subsequent amendments;
- Article 85 of the Agency Financial Regulation, as adopted by the Governing Board on 15 January 2014. Pursuant to this Article, the relevant provisions of Council Regulation No 966/2012 (on the financial rules applicable to the general budget of the Union as amended by

---

<sup>36</sup> Information provided on the basis of Articles 11 – 12 of Regulation (EC) No. 45/2001 of the European Parliament and Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies on the free movement of such data.





regulation 2015/1929 and Commission delegated Regulation (EU) no 1268/2012 of 29/10/2012 (on the rules of application) as amended by regulation 2015/2462, shall apply to EU-OSHA's procurement procedures.

### **Lawfulness of processing**

- The lawfulness of the processing is based on Article 5(a) of Regulation (EC) No. 45/2001 of the European Parliament and 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 (hereinafter, Regulation (EC) No. 45/2001).

### **Recipients of the data processed**

- EU-OSHA staff in charge of the procurement procedure;
- EU-OSHA staff acting as members of opening and evaluation committees and external evaluators, if applicable;
- Members of the public, in case of being awarded a contract with EU-OSHA, in accordance to EU-OSHA's obligation to publish information on the outcome of the procurement procedure (Article EU-OSHA Financial Regulation and Article 103 of the General Financial Regulation), limited to the name and the legal address of the awarded company;
- Court of Auditors (ECA), Internal Audit Service (IAS), Financial Irregularity Panel, Investigation and Disciplinary Office of the Commission (IDOC), the European Anti-fraud Office (OLAF), where applicable;
- Authorized staff of the European Commission and EU agencies in the context of the implementation of Article 108 of the General Financial Regulation, related to the Early Detection and Exclusion System (EDES);
- Legal Service, the Data Protection Officer (DPO), the European Ombudsman, and the European Data Protection Supervisor (EDPS), where applicable.

### **The data subject's rights**

- Data subjects have the right to access, rectify, delete and block their personal data in the cases foreseen in Articles 13, 14, 15 and 16 of Regulation (EC) No. 45/2001 and to object about their processing in the cases foreseen in Article 18;
- In particular, they can exercise their rights by submitting a request to the data controller whose contact information is mentioned in the tender specification;
- The right of rectification only applies to factual data processed within the concerned procurement procedure. This right can be only exercised up to the closing date for submission of tenders. Inaccurate identification data may be rectified at any time during and after the procurement procedure;
- Special attention is drawn to the consequences of a request for deletion, as this may lead to an alteration of the terms of the tender and as a result to exclusion as stated in Article 160 of the Rules of Application of the General Financial Regulation.

### **Information on the conservation period of personal data**

- Files relating to procurement procedures, including personal data, are to be retained by the service in charge of the procedure until it is finalized, and in the archives for a period of 10 years following the signature of the contract;

Contract number: [complete]



- Files relating to unsuccessful tenderers have to be kept only for 5 years following the signature of the contract;
- The above limits can be extended until the end of a possible audit, if once started before the end of the above period or if an appeal is underway.

### **Request for information**

For any further information regarding the handling of their personal data, data subjects can address their request to EU-OSHA Data Protection Officer at: [dpo@osha.europa.eu](mailto:dpo@osha.europa.eu).

### **Appeals**

Data subjects are entitled to lodge an appeal at any time with the European Data Protection Supervisor: <http://www.edps.europa.eu>, should they consider that the processing operations do not comply with Regulation (EC) No. 45/2001.

### **Date when processing starts**

Date of the launch of the procurement procedure



## Annex 8 Financial Offer

Geographical name	Reference sample size	Price for Work Package A	Price for Work Package B	Price for 40% increase in sample size
Austria	1500	€	€	€
Belgium	1500	€	€	€
Bulgaria	750	€	€	€
Croatia	750	€	€	€
Cyprus	750	€	€	€
Czech Republic	1500	€	€	€
Denmark	1500	€	€	€
Estonia	750	€	€	€
Finland	1500	€	€	€
France	2250	€	€	€
Germany	2250	€	€	€
Greece	1500	€	€	€
Hungary	1500	€	€	€
Ireland	750	€	€	€
Italy	2250	€	€	€
Latvia	750	€	€	€
Lithuania	750	€	€	€
Luxembourg	750	€	€	€
Malta	450	€	€	€
Netherlands	1500	€	€	€
Poland	2250	€	€	€
Portugal	1500	€	€	€
Romania	1500	€	€	€
Slovakia	750	€	€	€
Slovenia	750	€	€	€
Spain	2250	€	€	€
Sweden	1500	€	€	€
United Kingdom	2250	€	€	€
Albania	750	€	€	€
FYROM <small>Former Yugoslav Republic of Macedonia</small>	750	€	€	€
Iceland	750	€	€	€
Montenegro	450	€	€	€
Norway	1500	€	€	€
Serbia	750	€	€	€
Switzerland	1500	€	€	€
Turkey	2250	€	€	€
<b>TOTAL PRICE</b>		€	€	€
<b>TOTAL REFERENCE PRICE (Work Package A + Work Package B + 40% increase in sample size)</b>				€

Contract number: [complete]



**Prices shall include all costs to be borne for the performance of the contract**

**Signed:**

**Date:**

NAME: \_\_\_\_\_

*(person authorised to conclude the contract)*