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**Germany-Frankfurt-on-Main: ECB - Provision of services with
regard to on-site supervisory activities and related horizontal tasks
2017/S 158-326563**

Contract notice

Services

Directive 2014/24/EU

Section I: Contracting authority

I.1) Name and addresses

European Central Bank
Sonnemannstraße 22
Frankfurt am Main
60314
Germany
Contact person: RP van Deelen
Telephone: +49 69/13440
E-mail: procurement@ecb.europa.eu
Fax: +49 69/13447110
NUTS code: DE712

Internet address(es):

Main address: <http://www.ecb.europa.eu>

I.2) Joint procurement

I.3) Communication

The procurement documents are available for unrestricted and full direct access, free of charge, at: <https://www.ecb.europa.eu/secure/procurement/>
Additional information can be obtained from the abovementioned address
Tenders or requests to participate must be submitted to the abovementioned address

I.4) Type of the contracting authority

European institution/agency or international organisation

I.5) Main activity

Economic and financial affairs

Section II: Object

II.1) Scope of the procurement

II.1.1) Title:

Provision of services with regard to on-site supervisory activities and related horizontal tasks.
Reference number: PRO-003204.

II.1.2) Main CPV code

79210000

II.1.3) Type of contract

Services

II.1.4) **Short description:**

The ECB intends to select highly qualified external service providers with experience in the assessment of banks' risks. This experience should include having reviewed compliance of significant institutions under the direct SSM supervision (hereby referred to as 'Banks') with banking regulation (hereby referred to as the 'Regulatory requirements') and having assessed applicable risk models and risk management processes. The regulatory requirements include Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26.6.2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012 (hereby referred to as the 'CRR') and Directive 2013/36/EU of the European Parliament and of the Council of 26.6.2013 on access to the activity of credit institutions and the prudential supervision of credit institutions and investment firms, amending Directive 2002/87/EC and repealing Directives 2006/48/EC and 2006/49/EC (hereby referred to as the 'CRD IV'), together with the level 2/implementing regulations, e.g. Commission implementing regulations, regulatory and implementing technical standards, national discretions as well as the applicable international standards.

II.1.5) **Estimated total value**

II.1.6) **Information about lots**

This contract is divided into lots: yes
Tenders may be submitted for all lots only

II.2) **Description**

II.2.1) **Title:**

Lot 1: expert assessments for on-site inspections (OSIs) and internal model investigations (IMIs)
Lot No: 1

II.2.2) **Additional CPV code(s)**

79210000
79410000

II.2.3) **Place of performance**

NUTS code: DE712

II.2.4) **Description of the procurement:**

For lot 1, the contractor(s) shall execute independent tasks in connection with the ECB's carrying out of on-site inspections (hereby referred to as 'OSIs') and internal model investigations performed as on-site inspections (hereby referred to as 'IMIs') at the Banks' premises, upon specific request of the ECB. The contractor(s) shall execute independent assessments and provide additional perspectives based on their relevant expertise in specified areas that could be included in assessing the Banks' risks and/or reviewing Banks' compliance with the regulatory requirements. In doing so, the contractor(s) shall adhere to a variety of inspection techniques, including (but not limited to) observation, information verification and analysis, targeted interviews, walk-through tests, sampling, and data analysis, and contribute to the assessment report with a set of defined deliverables.

II.2.5) **Award criteria**

Price is not the only award criterion and all criteria are stated only in the procurement documents

II.2.6) **Estimated value**

II.2.7) **Duration of the contract, framework agreement or dynamic purchasing system**

Duration in months: 48
This contract is subject to renewal: no

II.2.9) **Information about the limits on the number of candidates to be invited**

Maximum number: 12

Objective criteria for choosing the limited number of candidates:

For lot 1, the ECB intends to invite up to 12 candidates to submit a tender provided that a sufficient number of candidates meeting the selection criteria is available.

II.2.10) **Information about variants**

Variants will be accepted: no

II.2.11) **Information about options**

Options: no

II.2.12) **Information about electronic catalogues**

II.2.13) **Information about European Union funds**

The procurement is related to a project and/or programme financed by European Union funds: no

II.2.14) **Additional information**

II.2) **Description**

II.2.1) **Title:**

Lot 2: horizontal tasks with regard to on-site inspections (OSIs) and internal model investigations (IMIs)
Lot No: 2

II.2.2) **Additional CPV code(s)**

79210000

79410000

II.2.3) **Place of performance**

NUTS code: DE712

II.2.4) **Description of the procurement:**

For lot 2, the contractor(s) shall execute specific independent tasks upon request of the ECB for carrying out horizontal tasks related to OSIs and IMIs, including horizontal analyses of results. Only in exceptional cases due to the nature of the tasks, presence on the ECB premises will be required. More specifically, the contractor(s) shall execute the below (non-exhaustive) list of tasks:

- establishing project management related to all or a subset of OSIs and IMIs to enable the on-site supervisory activities, for instance for special, topical investigations,
- expert advice on carrying out quality assurance of reviews and analyses according to a quality assurance framework and thereby bringing in external, independent views and experience, in line with defined deliverables and guidelines provided by the ECB,
- training (potentially also including organising examination and certifying) the inspectors who would carry out the on-site supervisory activities, so as to ensure that the reviewers working in different teams apply the appropriate methodologies,
- expert advice on specific topical investigations, projects or ad hoc questions concerning independently conducting horizontal analyses, benchmarking and peer comparisons and thereby bringing in external, independent views and experience, in line with defined deliverables and guidelines provided by the ECB,
- expert advice on specific topical investigations, projects or ad hoc questions concerning integrating, developing and maintaining methodologies, tools and templates and other documentation, and thereby bringing in external, independent views and experience, in line with defined deliverables and guidelines provided by the ECB,
- expert advice on specific topical investigations, projects or ad hoc questions concerning defining and implementing business requirements for databases, and thereby bringing in external, independent views and experience, in line with defined deliverables and guidelines provided by the ECB.

- II.2.5) **Award criteria**
Price is not the only award criterion and all criteria are stated only in the procurement documents
- II.2.6) **Estimated value**
- II.2.7) **Duration of the contract, framework agreement or dynamic purchasing system**
Duration in months: 48
This contract is subject to renewal: no
- II.2.9) **Information about the limits on the number of candidates to be invited**
Maximum number: 6
Objective criteria for choosing the limited number of candidates:
For lot 2, the ECB intends to invite up to 6 candidates to submit a tender provided that a sufficient number of candidates meeting the selection criteria is available.
- II.2.10) **Information about variants**
Variants will be accepted: no
- II.2.11) **Information about options**
Options: no
- II.2.12) **Information about electronic catalogues**
- II.2.13) **Information about European Union funds**
The procurement is related to a project and/or programme financed by European Union funds: no
- II.2.14) **Additional information**
- II.2) **Description**
- II.2.1) **Title:**
Lot 3: expert assessments for on-site missions related to market risk models
Lot No: 3
- II.2.2) **Additional CPV code(s)**
79210000
79410000
- II.2.3) **Place of performance**
NUTS code: DE712
- II.2.4) **Description of the procurement:**
For lot 3, the contractor(s) shall execute independent tasks in connection with the ECB's carrying out of on-site missions of market risk models under specific regulatory frameworks, such as the Fundamental Review of the Trading Book (FRTB), at the Banks' premises. The FRTB is expected to come into force via the new CRR from 2019 onwards. The contractor(s) shall execute independent assessments and provide additional perspectives based on their relevant expertise in areas related to reviewing market risk models for the calculation of prudential capital requirements and in assessing the Banks' risks and/or reviewing Banks' compliance with the regulatory requirements. In doing so, the contractor(s) shall adhere to a variety of inspection techniques, including (but not limited to) observation, information verification and analysis, targeted interviews, walk-through tests, sampling, and data analysis and contribute to the assessment report with a set of defined deliverables. Deliverables include for instance work papers, (draft) findings and (draft) reports.
- II.2.5) **Award criteria**
Price is not the only award criterion and all criteria are stated only in the procurement documents
- II.2.6) **Estimated value**

II.2.7) Duration of the contract, framework agreement or dynamic purchasing system

Duration in months: 48

This contract is subject to renewal: no

II.2.9) Information about the limits on the number of candidates to be invited

Maximum number: 9

Objective criteria for choosing the limited number of candidates:

For lot 3, the ECB intends to invite up to 9 candidates to submit a tender provided that a sufficient number of candidates meeting the selection criteria is available.

II.2.10) Information about variants

Variants will be accepted: no

II.2.11) Information about options

Options: no

II.2.12) Information about electronic catalogues

II.2.13) Information about European Union funds

The procurement is related to a project and/or programme financed by European Union funds: no

II.2.14) Additional information

Section III: Legal, economic, financial and technical information

III.1) Conditions for participation

III.1.1) Suitability to pursue the professional activity, including requirements relating to enrolment on professional or trade registers

List and brief description of conditions:

As stated in the procurement documents.

III.1.2) Economic and financial standing

Selection criteria as stated in the procurement documents

III.1.3) Technical and professional ability

Selection criteria as stated in the procurement documents

III.1.5) Information about reserved contracts

III.2) Conditions related to the contract

III.2.1) Information about a particular profession

III.2.2) Contract performance conditions:

In line with the terms and conditions of the draft contract. See details in the procurement documents.

III.2.3) Information about staff responsible for the performance of the contract

Section IV: Procedure

IV.1) Description

IV.1.1) Type of procedure

Competitive procedure with negotiation

IV.1.3) Information about a framework agreement or a dynamic purchasing system

The procurement involves the establishment of a framework agreement

Framework agreement with several operators

IV.1.4) Information about reduction of the number of solutions or tenders during negotiation or dialogue

IV.1.5) Information about negotiation

IV.1.6) **Information about electronic auction**

IV.1.8) **Information about the Government Procurement Agreement (GPA)**

The procurement is covered by the Government Procurement Agreement: no

IV.2) **Administrative information**

IV.2.1) **Previous publication concerning this procedure**

IV.2.2) **Time limit for receipt of tenders or requests to participate**

Date: 11/09/2017

Local time: 18:00

IV.2.3) **Estimated date of dispatch of invitations to tender or to participate to selected candidates**

IV.2.4) **Languages in which tenders or requests to participate may be submitted:**

English

IV.2.6) **Minimum time frame during which the tenderer must maintain the tender**

Duration in months: 6 (from the date stated for receipt of tender)

IV.2.7) **Conditions for opening of tenders**

Section VI: Complementary information

VI.1) **Information about recurrence**

This is a recurrent procurement: no

VI.2) **Information about electronic workflows**

VI.3) **Additional information:**

The procurement documentation can be downloaded from an Internet platform. If you are interested in participating in the procurement procedure, register via the Internet platform using the following Internet address, user name and password:

Internet address: <https://www.ecb.europa.eu/secure/procurement/>

User name: 003204/MS4/PCS/2017/PQP

Password: 8395BD

After you have registered an e-mail will be sent to you with a new user name and password. The Internet address will remain the same. Use the new user name and password to download the procurement documentation.

However, your mere registration and downloading the procurement documents does not constitute an application. You must submit your application in hard copy version to the ECB, on time, in the format requested and including the content as further instructed in the application documentation.

Should you experience any problems in accessing the Internet platform for registration and/or downloading the documentation do not hesitate to contact the ECB under the following e-mail address: procurement@ecb.europa.eu quoting the procurement number and problem experienced.

The ECB shall endeavour to answer all queries concerning access as quickly as possible but cannot guarantee a minimum response time. The ECB shall not be bound to reply to queries received less than 7 calendar days before the time limit for the submission of tenders.

The procurement procedure shall be open on equal terms to all natural or legal persons resident or located in the European Union and to all natural and legal persons resident or located in a country which has ratified the World Trade Organisation Agreement on Government Procurement or has concluded with the European Union a bilateral agreement on procurement under the conditions laid down in the said agreements.

The procurement procedure is conducted in accordance with Decision (EU) 2016/245 of the European Central Bank of 9.2.2016 laying down the rules on procurement (ECB/2016/2), OJ L 45, 20.2.2016, p. 15 as amended, available on the ECB website at <http://www.ecb.europa.eu/ecb/jobsproc/tenders/html/index.en.html>
During the procurement procedure tenderers shall not contact any ECB staff members or organisations/ persons working for the ECB with regard to this tender procedure other than the person indicated in Section I.1). Tenderers shall also not contact potential competitors unless they intend to form a temporary grouping with them or to involve them as subcontractors. Any violation of this communication rule may lead to the exclusion of the tenderer in question.

VI.4) **Procedures for review**

VI.4.1) **Review body**

Procurement Review Body of the European Central Bank, c/o Legal Advice Team
Sonnemannstraße 20
Frankfurt am Main
60314
Germany
Telephone: +49 6913440
Fax: +49 6913446886
Internet address:<http://www.ecb.europa.eu>

VI.4.2) **Body responsible for mediation procedures**

European Ombudsman
1 avenue du Président Robert Schuman
Strasbourg
67001
France

VI.4.3) **Review procedure**

Precise information on deadline(s) for review procedures:
15 days from the receipt of the information specified in Article 34(3) of Decision (EU) 2016/245 of the European Central Bank of 9.2.2016 laying down the rules on procurement (ECB/2016/2) or, if no information is requested, 15 days from the receipt of the notification to unsuccessful tenderers. Further requirements are outlined in Article 39 of this Decision. A complaint to the European Ombudsman does not affect the deadline for lodging appeals.

VI.4.4) **Service from which information about the review procedure may be obtained**

Central Procurement Office
Sonnemannstraße 20
Frankfurt am Main
60314
Germany
Telephone: +49 6913440
Internet address:<http://www.ecb.europa.eu>

VI.5) **Date of dispatch of this notice:**

09/08/2017