

Guide for Proposers

Call for Proposals 2012

Call identifier: CIP-IEE-2012



Mobilising Local Energy Investments – Project Development Assistance (MLEI –PDA)

[CIP-IEE-PROMO-PDA]

Deadline: **8 May 2012, 17:00** (Brussels local time)

For further information: <http://ec.europa.eu/intelligentenergy>

*This guide is only for projects under the MLEI-PDA initiative.
For proposals under all other IEE priorities, including Mobilising Local
Investment – "Replication": you must **not** use this document, please use the
Guide and Application Forms of the main Call for Proposals
(CIP-IEE-PROMO-P)*

**Important Notice:
Please read this guide carefully**

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Important Notice:

This Guide is based on the rules and conditions contained in the legal documents relating to the Competitiveness and Innovation Programme (CIP) and the Intelligent Energy-Europe (IEE) programme (2007-2013), in particular its Annual Work Programme 2012.

The Guide does not in itself have legal value, and thus does not supersede these documents.

MLEI – PROJECT DEVELOPMENT ASSISTANCE (MLEI-PDA)

1. Where is MLEI-PDA defined?

MLEI-PDA is defined in the Intelligent Energy – Europe Call for Proposals 2012 http://ec.europa.eu/energy/intelligent/files/call_for_proposals/call_2012_en.pdf.

It is Priority 1 of the integrated initiative called "Mobilising Local Energy Investments" (section 10.4.3).

Specific **eligibility criteria** and **award criteria** are defined in **sections 3.3 and 5 of this call**.

2. What is the purpose of MLEI-PDA?

In the frame of the Covenant of Mayors or other similar initiatives, many EU cities and regions have started to prepare or are initiating concrete energy efficiency and renewable energy projects to tackle energy and climate change challenges. However, the feedback received from many IEE projects in the field of developing Sustainable Energy Action Plans stresses that their implementation is proving difficult particularly for small and medium-sized local authorities which often lack the technical capacity to convert their plans into bankable projects.

MLEI-PDA is addressing small and medium-sized local and regional authorities or their groupings to develop projects or packages of sustainable energy projects which are of relevance for the local/regional territorial development and considered to be of 'bankable' scale by financing institutions and/or suitable for grant funding by EU financing schemes such as the cohesion or structural funds.

In practice, MLEI will fund activities necessary to prepare, and mobilise finance for public investment programmes, such as feasibility studies, stakeholder and community mobilisation, financial engineering, business plans, preparation for tendering procedures.

3. What is the concrete outcome expected from MLEI-PDA projects?

The expected outcomes of the project development assistance must be bankable projects, which are made ready and launched for implementation within a maximum of 36 months. Tangible evidence of implementation will be required, e.g. in the form of construction contracts or tenders which are publicly and unconditionally launched.

4. What is the priority for this Call 2012?

The 2012 Call lays down the following priority: Project development assistance to individual public authorities (municipalities, cities, provinces, regions) or groups of public authorities that are located next to each other in a clearly defined single geographical area, e.g. conurbations, cities grouped under the umbrella of a province or region - or other public body to work together with financial advisers and/or fund managers and/or ESCO's to prepare, mobilise financing for and launch investments in sustainable energy projects within their geographical area.

Proposals must:

- result in the launch of tangible investments which produce measurable results in terms of energy saved, RES supply increased, GHG reduced, and investments mobilised before the end of the project duration.
- address investment projects which have been prioritised in Sustainable Energy Action Plans, or similar energy/climate plans.
- include a learning process and capacity building for relevant stakeholders at local/regional level where the investments are launched.
- provide letters of support from the public authority owner(s) if the proposals are submitted by a public body.

Important: Smart and replicable actions demonstrating organisational innovation in their approach of mobilising the necessary funds for sustainable energy projects at local/regional level will be prioritised.

5. For which sectors can we apply for MLEI-PDA funding?

Actions that are covered by the project development assistance are:

- Refurbishment of buildings. Important note: new buildings are not included;
- Renewable energy sources in buildings (PV, solar heating/cooling, bio-heating/cooling, geothermal heating/cooling, and heat pumps);
- District heating/cooling;
- Energy efficient street-lighting;
- Clean urban transport¹.

6. Is my project at the relevant stage for MLEI-PDA?

It is important to assess whether you are at the right stage to propose a project under MLEI-PDA. There is a range of national and EU funding schemes which can be used for local energy investments. Here are a few European instruments which you may use to answer your needs at specific stages²:

1. Local energy planning: if you need to assess the situation of your territory in terms of energy, to mobilise stakeholders, to draft action plans such as Sustainable Energy Action Plans, Urban Mobility Plans, municipal building renovation programmes... In that case, some priorities in the "main call" of IEE may be relevant for you; please look in more details at the call priorities.
2. Project development: you already have a SEAP (or a similar plan) identifying investments, you have already validated the investment with feasibility studies, and you need to implement activities to make the investment bankable. In that case, MLEI-PDA is one of the funding opportunities for you.
3. Financing energy investments: you have already all the technical documents needed for financing institutions to perform due diligence and finance the investment. In that case you do not need MLEI-PDA any more. You will need to mobilise adapted financing from different sources, such as private or public banks, ESCO's (which will themselves need to finance the project through loans and equity), investment funds, available grants, or your own equity.

¹ which refers to: urban transport to increase energy efficiency and support integration of renewable energy sources, e.g. clean and energy-efficient road transport vehicles, trolleybuses; investments to improve public transport and its seamless link to private transport; investments in clean and energy-efficient solutions for freight logistics in urban areas; infrastructure for the refuelling of electrical vehicles. Transport infrastructure has to be specifically targeted at energy savings, utilisation of renewable energy sources and/or reduction of greenhouse gas emissions (GHG).

² This list is not comprehensive

7. How does MLEI – PDA relate to the ELENA Facilities?

This Key Action complements the ELENA Facilities which are funded under the IEE programme but not managed directly by the EACI. Information the ELENA facilities can be obtained directly from the responsible banks.

8. What is the difference between the two priorities under Mobilising Local Investment: project development assistance MLEI-PDA and MLEI Replication?

MLEI-PDA is exclusively designed to fund technical and financial assistance leading to concrete investment projects or programmes.

MLEI Replication is designed to fund promotion and dissemination projects aiming to replicate innovative financing solutions which have been used successfully by public authorities for bankable sustainable energy projects across the EU with the overall objective to accelerate and increase the investment opportunities for public authorities. *Proposals for this type of action should be submitted under the 'main' IEE Call 2012 – using the Application Form for Promotion & Dissemination Projects (CIP-IEE-PROMO-P).*

9. What are the legal requirements to qualify for funding?

Proposals will need to comply to a set of eligibility criteria to be formally accepted for evaluation:

- Your proposal must be submitted by one or more legal entities, established in an eligible country. Important Note: single country applications are eligible for MLEI Project Development Assistance (i.e. one or more partners from one single eligible country)
- Proposals must be coordinated by a local or regional public authority (municipality, city, province, region) **or** by another public body (for the definition, please see below).
- Grants for project development assistance within this priority must lead to investments with a minimum leverage factor of 15 (each Euro of project development assistance costs must lead to investments in RES/EE measures of at least EUR 15).
- Proposals must involve minimum project development assistance costs of EUR 400.000, leading to a minimum investment of EUR 6,000,000 in RES/EE measures or in justified cases EUR 200,000, leading to a minimum investment of EUR 3,000,000 (see the definition of investment costs below).
- Your proposal must be submitted on time and must be complete.
- All participants have filled in, dated and signed the 'Declaration of applicants' in view of the exclusion criteria.
- The proposal relates to the priority MLEI Project Development Assistance of the Call for Proposals 2012

10. Which type of proposer/consortium is expected to submit?

Proposals must be coordinated by a local or regional public authority (municipality, city, province, region), **or** by another public body. This goes in line with the commitment regarding the investment programme/project be prioritised in a Sustainable Energy Action Plan, SEAP or similar.

The consortium should include the entities which will be carrying out most of the project development activities and will be funded by the IEE programme. If the final beneficiaries (i.e. entities who will sign the investment contracts) are not those carrying out the PDA, they do not have to be included in

the partnership but specific contractual arrangements should be planned in order to secure their commitment to the project.

There is no requirement to have more than one country represented in the consortium in MLEI-PDA.

11. What is the definition of a public body for MLEI-PDA?

In the frame of Intelligent Energy Europe, a 'Public body' is defined as a body created by a public authority or a legal entity governed by private law with a public service mission, financed totally or to a large extent (i.e. more than 50%) by public sources, whose internal procedures and accounts are subject to control by a public authority and for whose liabilities a public authority will accept responsibility in the event that the public body ceases its activities.

12. What if an investment project/programme does not go ahead ?

IEE grants for PDA will only be paid in full if the planned investments are launched or the related investment contracts are signed before the end of the project period. The evidence must show that the investments will be launched without condition precedent, i.e. they must not contain elements that could prevent the investment from being implemented (such as obtaining an authorisation or a loan).

In the event of failure to deliver the planned investments, the EU contribution will have to be reimbursed by the beneficiary, although some costs may be eligible for support if adequately justified.

In case one or more of the sub-projects in an investment programme does not go ahead before the end of the 3 year period of the grant, then if time permits, a replacement sub-project may be agreed with the EACI using the normal amendment procedures applicable to IEE grants.

13. What are the 'justified cases' to qualify for an investment level of EUR 3 million?

Only projects targeting a geographical zone located totally in a "convergence region" under the definition of the European Region Development Funds are allowed to submit applications in which the proposed investments are lower than EUR 6 million, and in any case higher than EUR 3 million.

A map of these regions can be seen on: http://ec.europa.eu/regional_policy/atlas2007/index_en.htm

Proposers should keep in mind that the ambition of the proposed investments is one of the award criteria. Proposals bundling small-sized investments will be prioritised because they involve innovative ways to launch investments.

14. What are the evaluation criteria (award criteria)?

MLEI-PDA proposals will be evaluated against a fixed set of 4 criteria published in the Call for Proposals.

The application form (Part B) in which you will describe your actual proposal and work programme is designed in a way that it clearly identifies which answers refer to which criterion/criteria. This form is designed to help you to respond in a clear and concise manner in order to optimise your chances.

The following four award criteria will carry equal weighting within the overall assessment:

- 1. Relevance and EU added value of the proposed action (score 0-10), including:**
 - (a) Extent to which the proposed action is consistent with the call priorities
 - (b) Extent to which the requested funding would complement other related funding sources for project development assistance and would accelerate the investment process
- 2. Quality of implementation methodology (score 0-10), including:**
 - (a) Appropriate level of maturity of the starting point of the proposed action from technical and financial perspectives
 - (b) Suitability of the proposed approach to deliver the investment within the project lifetime, clarity of work packages, project planning and performance monitoring
 - (c) Capability of the proposed action to mobilise the relevant local actors and foster local capacity building
- 3. Credibility and impact of the proposed action (score 0-10), including:**
 - (a) Ambition of the project in terms of investment in renewables and energy efficiency compared with other energy investment programmes carried out by the proposers in the past three years
 - (b) Impacts within and beyond the project lifetime assessed with specific, measurable, accepted, realistic and time-dependent (SMART) indicators
 - (c) Replication potential of the solutions (concept) offered at local, national and European level
- 4. Resources allocated to the proposed action (score 0-10), including:**
 - (a) Share of responsibilities between partners and subcontractors, composition of the team and subcontracting, balance of skills, experience
 - (b) Appropriate levels of hours per partner and per work package, justification of share of subcontracting for the project development assistance in view of the planned investments, justification of costs and transparency of co-financing.

15. What does IEE project development assistance pay for in practice?

The project development assistance should focus on procuring the services and works for the investment, finalising the technical design of the investment projects, and on preparing and negotiating their financing including, if appropriate, bundling them together to form bankable packages.

In practice, MLEI will fund activities necessary to prepare, and mobilise finance for public investment programmes, such as feasibility studies, stakeholder & community mobilisation, financial engineering, business plans, preparation for tendering procedures.

Please keep in mind that there is no comprehensive list of eligible activities, but only the activities which are required to launch the investments will be considered relevant.

The IEE programme does **not** pay for the actual hardware investments, basic research, or technology development. The eligible costs for technical assistance include staff time, overheads, travel and subsistence, sub-contracting, and minor other specific costs – *"it pays for brains, not for bricks"*.

16. What does "investment cost" mean?

Investment costs should only refer to energy investments, i.e. investments which are directly related to or required for energy savings and/or renewable energy generation.

Other measures, i.e. investments which will be carried out but are not related to nor required for energy savings and/or RE generation, should not be included in the proposed investments. For example, in a building refurbishment, energy costs could include changing windows, painting the façade after it has been insulated, but not painting the hallways or changing the bath tub.

Investment costs should include VAT only for entities which cannot reclaim it. If the VAT will be reclaimed by the investors, your proposed investments should not include it.

The investments do not need to be defined in a very detailed manner at the proposal stage. The MLEI-PDA funding aims at supporting and accelerating this process.

The proposed costs will be subject to a detailed analysis during the negotiation phase, if your proposed action is recommended for funding.

17. What is the maximum duration of an MLEI-PDA action?

The maximum duration is 36 months.

18. What level of maturity should the proposed actions have?

MLEI-PDA is open to very different types of actions, but each of them must lead to investments being launched within a maximum of 3 years. The proposed actions must be credible, i.e. they must reflect a sufficient level of maturity at the time of the proposal to guarantee that the investments will be launched effectively within the 3 years. The level of maturity will be assessed by looking at what has already been done before the proposal was submitted, and the level of precision in the description of the investments.

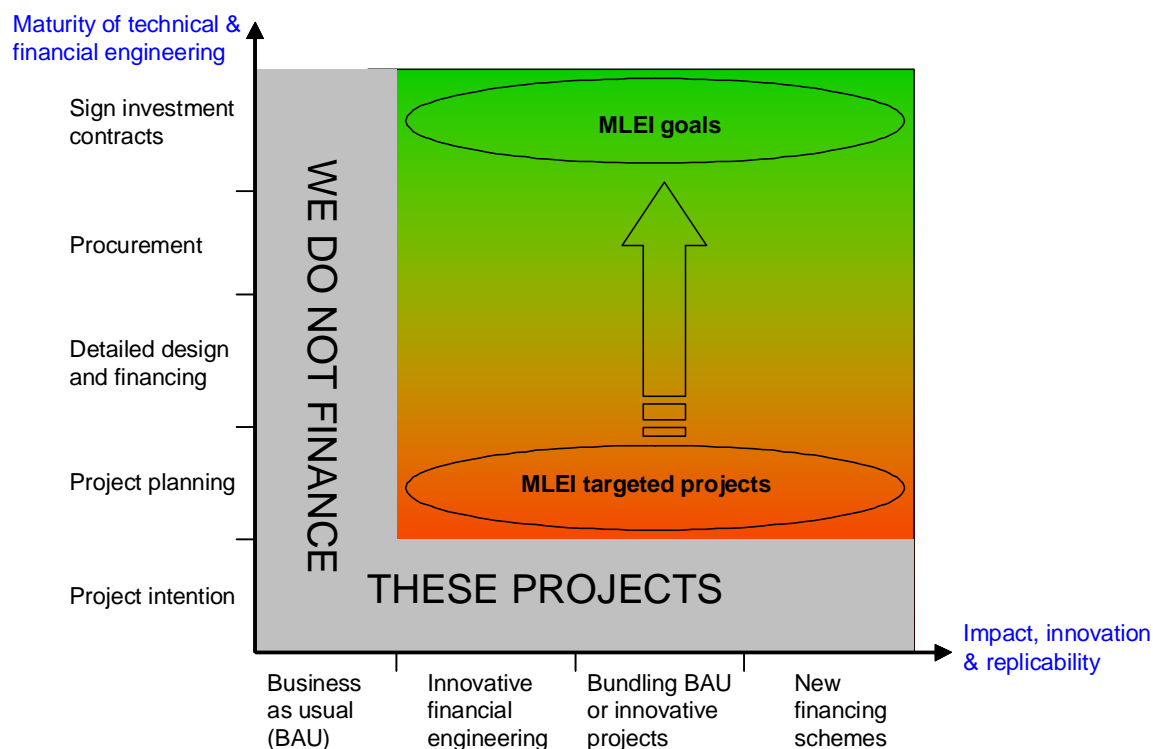
As shown in the diagram below, MLEI-PDA is designed to support project teams which have already defined what they plan to do. The application form enables proposers to provide very detailed information, because it is adapted for all types of investments. This does not mean that the same level of maturity is expected from all projects.

The level of precision expected may vary a lot depending on the nature and context of the proposed action. Proposers are expected to have carried out the steps necessary to decide that the investment is relevant and to have obtained the necessary authorisations to proceed in principle. For some types of investment, it may be acceptable to start a PDA with little studies, but a strong support of the beneficiaries; for others, it is not credible to start a PDA without carrying out extensive studies to ensure that the investments are relevant and feasible.

The specifications for the proposed investments may not be very precise, as long as:

- You provide and justify your assumptions
- This level of precision is sufficient to define the project (e.g. it is usual practice for this type of investments), and the proposed amounts of investment are credible
- In the course of your proposed action, you plan the necessary steps to define more precisely the content and costs of the investments

In other words, you may submit an application even if you cannot answer in full some of the questions in the application form.



19. What if parts of the investment programme/projects exist already?

In such a case a proposal could still be submitted for the remaining parts. The existing work should be clearly explained to avoid double funding. Section 2 of part B of your application will give you the opportunity to describe the local strategic framework, previous projects on which your proposal will build on and relevant investment projects prior to this proposal.

20. What is expected regarding innovation?

Projects demonstrating "organisational innovation in their approach of mobilising the necessary funds for sustainable energy projects" will be prioritised. This innovation could be for example:

- In the **organisation of the PDA**, e.g. projects aiming to bundle small investments in order to make them bankable
- In the **proposed financial engineering**, i.e. proposals using models of investment different from traditional investment model, in which the owner invests in energy efficiency and renewables through grants, loans and own equity, or in which public authorities simply subsidise investments.

Note: Financial innovations can be of many types; in general, they should try to reduce as much as possible the burden on public authorities, to use the revenues generated by the investment (energy savings, sale of energy), and to facilitate the intervention of private financing. Examples could be:

- Green loans,
- Energy performance contracts,
- Public ESCO's,
- Investment funds on energy efficiency, such as Jessica revolving funds,
- "Pays As You Save" models,
- Or anything else which would be relevant.

Please keep in mind that your proposed investment should rely on sound, proven technical solutions.

21. What is expected regarding communication, dissemination and replication?

MLEI-PDA projects should have high replication potential, and should contribute as much as possible to inspire other local authorities in carrying out similar projects.

Proposers are expected to use their usual networks to disseminate as widely as possible their experience in MLEI-PDA, e.g. through presentations in networks of local authorities, in conferences, etc. Dissemination is expected to focus mainly on the national level, but if proposers are in a good position to implement dissemination activities also at the European level, then they should propose it.

Communication activities at local/regional level and specifically accompanying your MLEI PDA activities should represent a limited fraction of the PDA costs, except for those which are required in order to launch the proposed investments (e.g. convincing stakeholders to invest). Please note that if the investment contracts are signed at the end of the PDA project, and the implementation will take place afterwards, then communication activities and material for the implementation will probably not be eligible to funding.

All projects will have to produce a result-oriented report in which they will document what they have done and provide the relevant information to potential replicators of their MLEI-PDA project. This report will be both in national language and in English.

Projects also have to create a web page presenting the project, both in English and national language. This page can be on the web site of the public authority. Projects will also be required to provide information to upload on the IEE and ManagEnergy web sites.

The EACI will facilitate exchange activities at European level for all projects under the IEE common dissemination work package in order to boost synergies between projects, to ensure their visibility and an effective dissemination of their results to relevant stakeholders across Europe.

22. What is expected regarding capacity building?

Proposals must "include a learning process and capacity building for relevant stakeholders at local / regional level where the investments are launched".

The purpose of this is to create a favourable environment for future investments to be implemented in the territory after the end of the PDA project, such as new governance, new regulations, trained staff...

This capacity building must not represent a major part of your proposed action, but it should be fully integrated in the activities.

0. QUICK GUIDE TO THE ON-LINE SUBMISSION SYSTEM

To enter the on-line system, please use the link given on the Call web-page http://ec.europa.eu/energy/intelligent/call_for_proposals/call_library_en.htm

Proposals must be submitted electronically, using the Commission's "Electronic Proposal Submission Service EPSS"³. Proposals arriving at the EACI by any other means are regarded as "not submitted" and will not be evaluated.

Full instructions are in the **EPSS User Guide** available from the EPSS entry page.

All the data that you upload is securely stored on a server to which only you (as coordinator) and other participants in the proposal have access until the deadline. This data is encrypted until the close of the call.

As co-ordinator you can in EPSS:	As partner you can in EPSS:
<ul style="list-style-type: none"> – Register as interested in submitting a proposal – Set-up and modify your consortium by adding/removing partners – Complete all of Part A of the proposal – Download the application document templates (for writing Part B & C) – Up-load the application documents (Part B, Part C and annexes) – "Submit" the complete proposal 	<ul style="list-style-type: none"> – View the whole proposal – Complete your own section A2 (participant data) – Download the application document templates for Part B & C of the proposal.

Only the Coordinator is authorised to submit the proposal. Beware: Completing Part A and uploading Part B, Part C and annexes does **NOT** yet mean that your proposal is submitted. Once you have a consolidated version of the proposal, you must press "**Submit now**". Note that 'Submit now' only starts the final steps for submission: After reading the information page that then appears, you must submit the proposal using the button marked "Press this button to submit the proposal".

The EPSS then performs an automatic validation of the proposal. A list of any problems (validation error message) such as missing data, wrong file format or excessive file size etc. will then appear on the screen. Once the coordinator has fixed them, he must then repeat the above step to achieve a submission.

If the proposal is successfully submitted, the Coordinator receives a message confirming the submission. This automatic message is not the official acknowledgement of receipt. The latter will only be sent by email to the coordinator.

³ Please note that the "Electronic Submission Service EPSS" is a service developed under the Research Framework Programme. The EACI is using this service based on an agreement.

IMPORTANT:

- Call deadlines are absolutely firm and are strictly enforced. In order to avoid the risk of a failed submission due to the time required for uploading files or due to validation errors, do not wait to the last hours to submit your application.
- Uploading annexes (see Section V of this guide) will take time, depending on the size of your consortium. Upload them well in advance.
- Try out all steps well in advance to make sure that you know the system.
- Use the EPSS advantages: Before the deadline, the system allows you to 'submit' your proposal at any time – you can update and replace the uploaded documents any time up to the deadline.
- When you work in EPSS: save early and often. **'Time out' of the system is after 30 minutes.** Saving will also validate the form. 'Editing/filling' a form is not considered as an activity by the system, only 'saving' or 'validating' the form will reset the time-out.
- Before you start uploading, note:
 - File names can only contain Latin letters (a-z), digits (0-9), the underscore (_), the dash (-) and the dot (.) character. It cannot contain any special characters or spaces.
 - Part B filename should be: IEE-12-ACRONYM.
 - Part C filename should be: IEE-12-ACRONYM-PartC.
 - Filenames of annexes should also follow strict instructions – refer to Section V.

File size for EPSS:

The average size of each single file to upload (Part B, Part C, Annexes) is of 2 Mb. Do stay below 3 Mb and under no circumstance you should try to upload a file beyond 10 Mb.

Practical advice for converting files into PDF Format:

- Do not use a resolution of larger than 300 DPI.
- Stay in black and white. Colours cannot be reproduced; nuances of grey may be reproduced but should be avoided for legibility purposes.
- Check your PDF in printed form for legibility.

I. PRESENTATION OF INTELLIGENT ENERGY – EUROPE

1. Intelligent Energy – Europe (IEE) 2007-2013

The 2007-2013 the Intelligent Energy - Europe (IEE) programme forms part of the EU's Competitiveness and Innovation framework Programme (CIP). Its global budget of €730 million is mostly used to support European actions under annual calls for proposals. Funding may cover up to 75% of the eligible costs.

The objective of the IEE programme is to contribute to secure, sustainable and competitively priced energy for Europe.

By improving energy efficiency and encouraging the wider uptake of new and renewable energies, the IEE programme aims to boost actions which will help achieve the EU's targets, including measures to:

- foster energy efficiency and the rational use of energy resources;
- promote new and renewable energy sources and to support the diversification of energy sources;
- promote energy efficiency and the use of new and renewable energy sources in transport.

The IEE programme has become the main Community instrument to tackle non-technological barriers to the efficient use of energy and the greater use of new and renewable energy sources.

IEE should also help with faster and smooth implementation of energy-specific legislation.

In particular it is expected to contribute to reaching the targets set by the European Union: 20% reduction in greenhouse gases emissions, 20% of energy savings compared to projections, and a share of 20% of renewable energies by 2020.

More information on the CIP: http://ec.europa.eu/cip/index_en.htm

2. Apart from MLEI-PDA, which types of actions does IEE fund?

The IEE is looking for convincing ideas to achieve EU 2020 targets.

Actions should produce a significant impact in terms of energy efficiency gains and/or renewable energies uptake. They may include for instance: knowledge transfer from one part of the European Union to another on how to do something or how to improve processes; helping the different decision making organisations understand each other better; building capacity among the various stakeholders; building confidence and understanding in the market which is essential to market growth.

The expectation is that chosen actions will act as catalysts and replication of success, triggering decisions to invest in energy efficient technologies and renewable energy sources. It is important that what is done well in one country or region can be transferred to other countries and regions. Actions with high visibility, making intelligent energy technologies and practices as widely available as possible and creating the right market conditions for their use will interest the IEE, as will those which identify where the market is failing and address those failures.

The strength of IEE lies in bringing people of different countries, experience, skills, responsibilities and cultures together, to work on a common challenge in a way that continues to have a positive impact after the action is over.

Actions must fit with the annual priorities listed in the Call for Proposals 2012.

3. And what will not receive IEE funding?

Basic research, technology development, and hardware investments will not be funded. The IEE programme might not be suitable for you if:

- Your action has a high research and development component: Go to the website of the 7th Framework Programme for Research & Development (http://cordis.europa.eu/home_en.html).
- Your action aims at the replication of an eco-innovative process, service, product or technology with environmental benefits - but does not focus on energy: Go to the CIP Eco-innovation website (<http://ec.europa.eu/environment/etap/ecoinnovation/>).

4. The Executive Agency for Competitiveness & Innovation - EACI

The Executive Agency for Competitiveness & Innovation (EACI) implements the Intelligent Energy - Europe programme. It was created in 2003 as the first of a number of new Executive Agencies by the European Commission to put policies into action more efficiently and with improved results, helping the Commission concentrate on its policy-making and institutional tasks. Since 2007⁴, the EACI is in charge of managing parts of the Competitiveness & Innovation Programme (CIP).

The EACI launches the Call, selects and monitors the actions funded under the IEE programme. Substantial efforts are dedicated to disseminate the results and best practices from IEE actions. This gives the programme a sharper focus and greater visibility.

In the execution of the programme, the EACI works in close collaboration with its parent Directorates General: Energy, Transport, Enterprise and Environment.

5. Background documents and information: IEE programme and Call documents

Essential for your proposal: Intelligent Energy - Europe II Work Programme 2012 & Call for Proposals 2012

If you would like to know the contractual obligations and conditions: Look at the model Grant Agreement for IEE projects

Details on eligibility of costs, time sheets and future reporting: can be found in the Financial Guidelines for the Intelligent Energy Europe II (2007 – 2013) grant agreements

Legal Background: Decision No 1639/2006/EC of the European Parliament and of the Council of 24 October 2006 establishing a Competitiveness and Innovation Framework Programme (2007 to 2013)

all available at: <http://ec.europa.eu/energy/intelligent/>

EU energy related policy initiatives and legislation: can be found extensively at http://ec.europa.eu/energy/index_en.htm

⁴ Commission Decision 2007/372/EC of 31 May 2007 amending Decision 2004/20/EC in order to transform the "Intelligent Energy Executive Agency" into the "Executive Agency for Competitiveness and Innovation", OJEU L142/52 of 1.6.2007

6. You apply to the IEE programme – what happens with your proposal?

▼ 20 December 2011

Publication of the call for proposals

The IEE programme publishes annual work programmes which define the funding rules and priorities. The Call for Proposals 2012 implements the 2012 work programme of the Intelligent Energy – Europe programme. You will find it on the IEE website. The call for proposals informs you on the political priorities, the objectives and the specific fields, the arrangements for the submission of applications as well as the eligibility, selection and award criteria. Applications must use the application forms and be complete.

Deadline ▼ 08 May 2012, 17:00 CET

How do we 'receive' your proposal?

You submit your proposal via the Electronic Proposal Submission Service (EPSS). Proposals arriving to the EACI by any other means will not be accepted. Closing of receipt is 17:00 (Brussels local time) on 8th May 2012. No submission beyond this deadline can be done. A committee checks whether your proposal fulfils the formal requirements, namely that your application was submitted before the closing date. Applications which do not satisfy the formal requirements are rejected at this stage.

▼ June/October 2012

Evaluation of your proposal

Your proposal will be evaluated by an evaluation committee on the basis of the eligibility, selection and award criteria announced in the Call for Proposals 2012. Independent external experts assist the evaluation committee by providing a technical advisory opinion. Based on the evaluation, the committee draws up a ranking list which is submitted for approval to the Director of the EACI.

▼ November 2012

Information on the results of the evaluations

Upon approval of the Director, applicants are informed of the results of the evaluation. The Coordinator of the proposal will receive a summary report on the conclusions of the evaluation of his/her proposal. Some proposers might be informed that their proposal is placed on a reserve list, due to budgetary constraints.

▼ November 2012 - February 2013

Negotiation of your proposal (if successful)

If your proposal was recommended for funding, you will be invited for negotiation. In this process, the EACI will clarify with you the detailed technical and financial aspects of the proposal based on the conclusions of the evaluation. Proposals on the reserve list might be invited for negotiations, should budgetary possibilities exist at a later stage of the process.

▼

Internal consultation of other Commission services

Other services within the European Commission are consulted in order to make sure that the action in question is not already financed by the EU.

▼ January – March 2013

Your grant agreement is drawn up

Once your negotiations are successfully completed, i.e. the exact amounts and contents for your proposal are set and approved by the EACI services, your grant agreement can be drawn up.

▼ March – April 2013

Start of your action and follow up of your grant agreement

The grant agreement is duly signed by both parties and the action can start. EACI staff (project and financial officers) is responsible for the monitoring of your action.

▼

Ex-post publication

All grants awarded in the course of a financial year are published on the Internet site of the IEE programme during the first six months of the year following the Call for Proposals.

7. Submission deadline and how to submit

Proposals must be submitted using the Commissions' EPSS on-line submission system. All parts of the proposal (Part A, Part B, Part C and Annexes) must be completed. The application forms and templates are available within the on-line submission system.

**The deadline for submission is Tuesday 8th May 2012 – 17.00
Brussels local time.**

8. Language of your application

The application should preferably be submitted in English. If the proposal is written in a Community language other than English, you must provide a translation of the summary in English. It is also recommended to include an English summary of all sections of Part B of the proposal.

Annexes and background documents may be submitted in their original language. If your proposal uses results and data from those documents within Part B, please provide the main elements in English in part B. Do not expect evaluators to extract information from the background documents in order to assess your proposal, even if it is in English.

Note that, for MLEI Project Development Assistance, the central reporting and a large part of the communication with the EACI will have to be in English.

9. Application Forms (“Which forms to fill?”)

The application consists of the following parts:

Encode directly in EPSS

- **"Part A" (A1 Proposal Summary, A2 Participants, A3 Budget):**

Data needs to be encoded directly in the on-line system EPSS.

Follow the instructions given directly in the on-line system. An overview of how to complete Part A can be found in Section II of this Guide and in the EPSS User Guide.

Upload 1 PDF file to EPSS

- **"Part B" – Detailed description of the action (Work programme):**

1. Download and use the Part B template (RTF format) from EPSS.
2. Continue to use it in RTF or WORD format.
3. When you have finalised your work programme, convert it to PDF for upload.
4. Double-check that your final PDF version prints out correctly before up-loading it.

Follow the structure and instructions given in Section III of this Guide for Proposers.

▶ EPSS menu "Part B and Annexes" ▶ "Download Part B/ Annexes Template (ZIP file)"

Upload 1 Excel file to EPSS

- **"Part C" – Detailed Budget:**

1. Download and use the Part C template (EXCEL format) from EPSS.
2. Keep it in Excel for upload.

Follow the instructions given on each worksheet. Additional details are included in Section IV of this Guide for Proposers.

▶ EPSS menu "Part B and Annexes" ▶ "Download Budget Template (ZIP file)"

Upload a series of PDF/Excel files to EPSS

- **"Annexes":**

You must prepare a series of annexes as described in this Guide for Proposers. Some of them are based on templates that you need to download from EPSS/or from links indicated in this guide, part of them are based on documents that you will provide from your organisation.

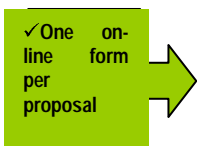
You will upload them in EPSS in PDF or Excel format (as appropriate) and with a file name as indicated in the instructions. Follow closely the instructions in Section V of this Guide for Proposers. Do not upload any other annexes than the ones listed; they will not be evaluated.

▶ EPSS menu "Part B and Annexes" ▶ "Download Part B/ Annexes Template (ZIP file)"

- Form A1 is to be filled by the Coordinator only
- Form A2 is to be filled by each participant
- Form A3 is to be filled by the Coordinator only
- Only Coordinators can upload files into EPSS – however all participants can view and download the uploaded files on their computers
- **Beware! The system has a time-out of 30 minutes! 'Save' or 'validate' your forms frequently!**

II. INSTRUCTIONS FOR PART A – Online forms

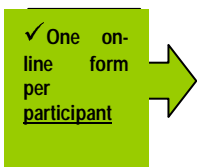
Detailed instructions for Part A are given directly in the EPSS on-line submission system – passing your cursor on the fields! In addition, the EPSS User Guide contains instructions on how to use the tool. The following presents an overview:



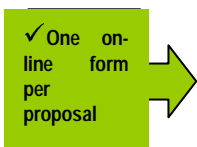
- 1. Form A1:** Contains essential summary data on your proposal, such as title, keywords, abstract & major outputs/expected results.

The correct topic for submitting proposals under the MLEI-PDA is:

CIP-IEE-2012.4.7. Mobilising local energy investment - Project Development Assistance



- 2. Form A2:** Contains essential data and information of each partner such as address, responsible technical/legal person, basic administrative data, and status of the organisation.



- 3. Form A3:** Contains a summary budget based on Part C - the Detailed Budget. You must take the relevant data from the first worksheet of Part C (called "A3 Form") and encode them directly in this on-line form. Make sure they are identical with your final version of your Part C! Note: In case of discrepancies the detailed financial information of Part C prevails.

More details on the A3 form are given with in Section IV "Instructions for Part C - the detailed budget" in this Guide.

Short Guide to the PIC – Participant Identification Code:

Intelligent Energy - Europe uses the services offered by the Unique Registration Facility (URF) of the European Commission's Research DG. The **PIC or Participant Identification Code** is a 9-digits unique code for the identification of validated legal entities of programmes. Participants with a validated PIC will not have to submit their legal and (in the future) financial information and supporting documents each time they submit a proposal or negotiate a grant agreement, but just their unique code - the PIC. **For this Call, please see in Section V of this guide the list of annexes to submit when using/not using the PIC code.**

If your organisation already has a PIC, you can use it. **This is not a compulsory step - you can prepare and submit a proposal without holding and/or using a PIC.** If you do not yet have a PIC, and you decide to use this service please follow this link to CORDIS: http://cordis.europa.eu/fp7/urf_en.html.

The PIC is provided at the end of the URF registration process. You will be able to use it in EPSS after 48 hrs.

III. INSTRUCTIONS FOR PART B – Detailed description of the action

Note: Part B aims at presenting two different elements which will be evaluated:

- the project development activities necessary to launch investments (this is referred to as "the proposed action"), which will be co-financed by MLEI-PDA if your proposal is selected.
- the investments you propose to undertake by the end of the PDA funding (maximum 3 years); MLEI-PDA does not finance these investments.

General recommendations for Part B

The following instructions refer to Part B of the application form which is used for the detailed technical description of the action. Please follow the advice given below:

- Follow closely the structure for Part B (headlines, tables etc.) given in the application form. The forms are designed to correspond to the evaluation criteria which will be applied.
- Remember to keep to maximum page lengths where these are specified. It is in your interest to keep your text concise.
- Please bear in mind that your proposal should be self-explanatory and easy to understand. Its assessment will be based on your descriptions, not taking into account any information elsewhere (e.g. on websites etc.).
- Use diagrams when possible, but don't forget to explain them; take into account that proposals are printed and evaluated in black and white.
- Ensure that you have read closely the Call for proposals 2012 and this Guide for Proposers.
- Ensure that information in all three parts of the application (A, B and C) is consistent.
- Maximise your chances: edit your proposal tightly, strengthen or eliminate weak points.
- Put yourself in the position of an evaluator who only has a few hours to assess each proposal.
- Remind yourself again of the selection and award criteria given in the Call for Proposals.
- Arrange for your draft to be reviewed by experienced colleagues; use their advice to improve it before submission.

Before you start

Optimise your chances – only high quality proposals will have a chance to get funding! This Guide for Proposers helps you to complete your application. However, regarding the content of your proposal, you should consult and benefit from the various sources of information:

- Coordinators: Please remind your partners to read carefully this Guide for Proposers – not only the 'ready-to-fill' Application Forms as they do not contain the instructions and guidelines. Look carefully at the Call 2012 priorities to make sure the idea behind your action fits.
- Do not hesitate to contact your IEE National Contact Point in your country (http://ec.europa.eu/energy/intelligent/contact/national_en.htm) or the EACI (http://ec.europa.eu/energy/intelligent/contact/index_en.htm) for any additional information you may need.
- Look at the presentations and slides given during the IEE European Info Day (http://ec.europa.eu/energy/intelligent/events/2012/european-info-day_en.htm).
- Subscribe to our IEE News Alerts to automatically receive the latest news and updates.
- Investigate thoroughly the state-of-the-art.
- Refer to background documents related to the IEE programme and the current EU energy policies on renewables and energy efficiency.

1 Summary

→ 2 pages maximum

Please give a short summary of your proposal. This summary should be copied into EPSS - Form A1. Note that Form A1 has two sections, each

This summary will be the 'business card' of your proposal and is a relevant part in the evaluation of your proposal. It must be coherent with the detailed description of the action. Bear in mind that it should be self-explanatory and easy to understand.

1.1 Abstract

The abstract should provide the reader at a glance with a clear understanding of the objectives of the proposal and their relevance to the IEE 2012 work programme, as well as the key steps required to achieve the stated objectives. It should express the actual benefit and changes which will occur due to the proposed activities. This section will be used as the short description in the evaluation process and in communications with the IEE Programme Committee and other interested parties. It should therefore be complete, short and precise and not contain any confidential information.

This point should be text only. You are expected to copy it into EPSS – form A1, with a limit of 2000 characters.

1.2 Major outputs & expected impacts

You should list up to 5 key outputs, plus the main impacts of your action. The information must be coherent with the tables provided in section 3 "Objectives of the proposed action".

This point should be text only. You are expected to copy it into EPSS – form A1, with a limit of 2000 characters.

1.3 Impact indicators

This point should not include text. The table should reflect points 1.1 and 1.2; it should be the same as in point 3.3.1.

Table 1: General data

1	Total proposed energy investment cost ⁵	
2	Total of eligible costs for the PDA	
3	Leverage factor ⁶	
4	Please indicate the NUTS2 and NUTS3 code (if applicable) ⁷	

⁵ Investment costs should only refer to energy investments, i.e. investments which are directly related to or required for energy savings and/or renewable energy generation. Investment costs should include VAT only for entities which cannot reclaim it.

⁶ Total cost of (planned) investment divided by total eligible cost of technical assistance (Each EURO of technical assistance cost must lead to investment of at least 15 EURO.)

⁷ The NUTS classification list for EU27 Member States can be downloaded (version 2006-2010):

http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/history_nuts; For Croatia, Iceland, Liechtenstein and Norway, the list can be downloaded here:

http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=SR_33&StrLanguageCode=E_N&StrLayoutCode=HIERARCHIC

5	Please indicate the LAU1 or 2 codes (if applicable) ⁸	
6	Is your project located in a convergence region?	

Table 2: Impact indicators

#	Type of investment	Energy investment costs (€)	Avoided emissions (tCO ₂ e/year)	GHG	Primary energy savings (MWh/year)	Renewable energy produced (MWh/year)
1						
2						
3						
...						
Total						

2 Starting point

→ Award criterion 1, 2 and 4

2.1 Rationale and composition of the consortium

→ Award criterion 4

→ 2 pages maximum

2.1.1 Rationale

The proposed actions may be carried out by one or several partners. The consortium should include the entities which will be carrying out the project development activities and will be funded by the IEE programme. If the final beneficiaries (i.e. entities that will sign the investment contracts) are not those carrying out the PDA, then they do not have to be included in the partnership but specific contractual arrangements will be needed in order to secure their commitment to the project (see point 4.4).

2.1.2 List of Participants

Please take into account that:

- Proposals must be submitted by one or more legal entities, established in a country which is eligible for IEE funding. Proposers may be from several eligible countries, but this is not a requirement.
- Proposals must be coordinated by a local or regional public authority (municipality, city, province, region), or by another public body. ‘Public body’ means a body created by a public authority or a legal entity governed by private law with a public service mission, financed totally or to a large

For more information on the definitions of the NUTS and LAU levels, please consult

http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/correspondence_tables/national_structures_eu and http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/correspondence_tables/national_structures_non_eu

⁸ The LAU classification list can found here (for EU27 Member States only):

http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/local_administrative_units

extent (i.e. more than 50%) by public sources, whose internal procedures and accounts are subject to control by a public authority and for whose liabilities a public authority will accept responsibility in the event that the public body ceases its activities. If you are a public body, please justify that you fulfil these criteria.

- Private entities may participate as partners, but not as co-ordinators.

Table 3: List of participants

N°	Participant name	Short name	Profile of the organisation	Main role in the Consortium
CO1				
CB2				
CB3				
CB4				
CB5				

2.1.3 Subcontractors

Some PDA projects may propose an important part of subcontracting in their budget. In that case, the mission and role of the subcontractors may be as important as those of the project partners.

Please describe what will be the missions of the subcontractors, what skills will be required from them, and whether they will be awarded separate or joint contracts. Please explain how and when the contracts will be awarded.

If subcontractors are to be selected during the course of your proposed action, do not forget to plan a specific task to define the missions and procure the contracts.

Proposers are reminded that subcontracts must be awarded in accordance with the conditions set out in Article II.9 of the grant agreement. In summary this means that subcontractors should be selected on transparent grounds, to the best offer taking into consideration price and quality (best value for money). In a very simplified procedure, three different offers should be obtained and evaluated against common criteria to ensure that each of them is treated fairly and equitably.

2.2 Geographical boundary and population concerned by the proposed action

→ ½ page maximum

Please provide accurate information defining the geographical zone in which the action will be implemented, and the population living in it. In case several local authorities are concerned, please provide those details for each.

If you are in a convergence region, please provide evidence of this.

2.3 Local strategic framework for the proposed action

→ 1 page maximum

Please confirm that the proposed action is embedded in your local strategic planning, and explain in which documents. These documents may be attached to the proposal.

The proposed investments must be prioritised in a Sustainable Energy Action Plan or a similar energy and climate action plan. These plans must be elaborated in consultation with all the relevant stakeholders in the concerned geographical zone, and define actions to be implemented. If such a plan is under elaboration but not finalised, you should show that it already foresees your proposed investments and explain when the plan will be finalised.

2.4 Specific needs and barriers which the proposed action will answer to:

→ 1 page maximum

Please describe what specific needs have been identified for the concerned zone, which the proposed action will answer to.

If any barriers have been identified to implement the investment projects, please explain them and explain how they will be addressed by the proposed action.

2.5 Previous or ongoing projects which the proposed action will build on

→ Award criterion 2

→ 2 pages maximum

2.5.1 Local projects

Please describe any local projects which the proposed action will build upon, and how it is linked.

2.5.2 National and European projects

Please describe if and how your proposed action will build on best practices/results from projects at national and EU levels.

Note: Do not only list the projects - explain how your proposal builds on them and illustrate how you will use and take forward the results.

2.6 Related investment programmes prior to the proposed action

→ Award criterion 3

→ 2 pages maximum

Please fill in the table below describing the main investment programmes launched and/or carried out in the concerned geographical zone in the past 3 years in the field of energy efficiency and renewable energy.

Depending on the context, it may not be necessary to list every single investment, but to simply group them.

Please classify the investments in general categories (such as building renovation, photovoltaic panels on buildings, district heating...). If the investment has been funded by one of the proposers, but carried out by another actor, please explain the funding scheme.

If the investments are not self-explanatory, please explain the specificities of the investments outside of the table.

In the case of funding programmes, indicate the total investment cost while mentioning in the description the share co-financed by the proposers.

Table 4: Related investments prior to the proposed action

#	Type of project	Description	Localisation (address)	Actor in charge	Investment cost (€)	Delivery year	Primary energy saved (MWh/year)	Avoided GHG emissions (tCO2e/year)
1								
2								
3								
...								

2.7 State of advancement of the project(s)

→ Award criterion 2

→ 2 pages maximum

Please describe:

- what has been achieved at the time of submission of this proposal,
- what is expected to be achieved between the submission (May 2012) and the expected start of the proposed action (March 2013).

The proposed phases and tasks are only examples which are NOT MANDATORY; they need to be adapted to each project.

Please detail in the table below the content of what has been achieved, and summarise the main outcomes when applicable.

If you have very different types of projects in the proposed action, please fill in several tables.

This part should be no more than 2 pages.

The level of precision expected may vary a lot depending on the nature and context of the proposed action. Proposers are expected to have carried out the steps necessary to decide that the investment is relevant and to have obtained the necessary authorisations to proceed in principle. For some types of investment, it may be acceptable to start a PDA with little studies, but a strong support of the beneficiaries; for others, it is not credible to start a PDA without carrying out extensive studies to ensure that the investments are relevant and feasible.

Table 5: State of advancement of the project

#	Task carried out (these are examples to be adapted)	Date	Main outcomes (examples)
1	Needs assessment:		
1.1	Inventory	2009	65,000 light points identified
1.2	Market studies	2010	Potential 35,000 households interested in energy retrofit of their homes
1.3	Establishment of baselines	2008	Public transport represents 3,000 GWh/year for the city
1.4	Energy audits		30 audits representative for 90% of the buildings
1.5	...		
2	Technical engineering		
2.1	Pre-feasibility study	2010	Further investigations needed
2.2	Feasibility study	2011	Project is feasible and estimated at 40M€
2.3	Detailed design or planning	07/ 2011	First tranche of the network
2.4	...		
3	Financial engineering		
3.1	Draft business plan (in house)	2010	Valid, but needs to be more solid (subcontracted)
3.2	Financial feasibility study / business plan	2011	The business plan was validated by the city council
3.3	Funding commitments		40% of financing is guaranteed

#	Task carried out (these are examples to be adapted)	Date	Main outcomes (examples)
3.4	Contacts with financing institutions		Main national banks are interested in the project (see letters of support)
3.5	Contacts with ESCO's		The project is attractive to most ESCO's
3.6	...		
4	Construction/works (if some have already started)		
4.1	...		
5	Involvement of stakeholders:		
5.1	Training local stakeholders		Consensus on the need to retrofit private building stock
5.2	Previous funding schemes or agreement with specific sectors		Readiness of the targeted sector to launch the investment
5.3	Consultation with the general public		Citizens approve the electrical trucks for waste management
5.4	Information campaigns		20,000 persons have visited the Energy corner
5.5	...		
6	Any other phase / field of activities...		

3 Objectives of the proposed action

→ Award criteria 1, 2 and 3

3.1 Added value of the MLEI-PDA

→ 1 page maximum

Please explain:

- What difference the MLEI-PDA funding would make for your proposed investments?
- What would happen if you are not selected for MLEI-PDA funding

3.2 Expected outcomes at the end of the proposed action

→ ½ page maximum

Please describe what will be achieved at the end of the proposed action. This can be:

- Investments (this is detailed in the following points)
- Capacity building
- A new funding scheme is in place
- Opening the way for other projects using the same approach in the region
- ...

3.3 Detailed description of the proposed investments

→ Award criterion 3

Please :

1. Provide an overview of your proposed investment (3.3.1)
2. Provide specific information corresponding to your proposed investment category (3.3.2 to 3.3.5).

For each type of investment, you must provide both a description (text) and fill in the table.

The table shows the minimum elements to provide. Complementary data is welcome, as long as the information is clear to understand. Please include totals per category wherever applicable, in order to facilitate the evaluation.

Baseline information and/or benchmarks should be provided i.e. what would be the primary energy consumption and greenhouse gases emissions if your action didn't take place?

Do not forget that your proposal will be judged on the ambition and the credibility of your objectives, i.e. a project with high ambitions in terms of impact may not be selected because the impact is overestimated (or not sufficiently justified, i.e. not credible).

Remember to present things in a clear manner, i.e. avoiding too long lists. If very detailed data is available, it will be appreciated if it is attached to the proposal as a PDF file, but it is required to present a concise vision here.

Note on the expected level of precision:

The level of precision which can be provided on your proposed investments depends on the nature and context of the proposed action.

For some projects it may be acceptable to use average ratios if:

- you provide and justify your assumptions
- this level of precision is sufficient to define the project (e.g. it is usual practice for this type of investments), and the proposed amounts of investment are credible
- the precision of the information you provide reflects the activities you have carried out so far (cf. Starting point)
- in the course of your proposed action, you plan the necessary steps to define more precisely the content and costs of the investments

Note on the definition of eligible investment costs

Investment costs should only refer to energy investments, i.e. investments which are directly related to or required for energy savings and/or renewable energy generation.

Other measures, i.e. investments which will be carried out but are not related to nor required for energy savings and/or RE generation, should not be included in the proposed investments. For example, in a building refurbishment, energy costs could include changing windows, painting the façade after it has been insulated, but not painting the hallways or changing the bath tub.

Investment costs should include VAT only for entities which cannot reclaim it. If the VAT will be reclaimed by the investors, your proposed investments should not include it.

The proposed costs will be subject to a detailed analysis during the negotiation phase, if your proposed action is recommended for funding.

3.3.1 General information for all projects

→ 1 page maximum

1. Please present briefly the main investments which will be carried out, grouping them by the most relevant categories.
2. Then fill in the table below (mandatory); the table should be no more than 1 page, and should be the same as in point 1.3.

Table 6: Impact indicators

#	Type of investment	Energy investment costs (€)	Avoided emissions (tCO ₂ e/year)	GHG	Primary energy savings (MWh/year)	Renewable energy produced (MWh/year)
1						
2						
3						
...						
Total						

3.3.2 Information required for investments on buildings:

1. Please describe the detailed content of the proposed investments;

In particular, please explain:

- if there will be a general refurbishment of the buildings or only energy savings measures?
- what uses are included in the provided energy consumptions (heating, domestic hot water, lighting, ventilation appliances...)
- if EE investments will address the envelope of the buildings or will only address heating and cooling systems
- which level of energy performance the buildings belong to (using the energy performance certificate levels) before and after the proposed actions
- if RES electricity will be fed into the grid or if it will all consumed on the site

2. Then fill in the table below.

Table 7: Investments on buildings

#	Type of buildings	Number of buildings	Total gross surface (m ²)	Current Average primary energy consumption (kWh/m ² .a)	Estimated energy savings (%)	Average GHG emissions in (tCO ₂ e/m ² .a)	Estimated CO ₂ reduction (%)	RES measures (summary)	EE measures (summary)	Expected payback time (years)	Total energy investment costs (€/m ²)	Total energy investment costs (€)
1												
2												
3												
...												
Total												

3.3.3 Information required for investments on street lighting:

1. Please describe the detailed content of the proposed investments;

In particular, please explain:

- if the investments will take place in the frame of a general renovation of the public spaces and/or lighting facilities, which would entail significant changes in the position of lights
- if a light plan or similar programming document has been or will be established in order to define the adequate levels of illuminance for each type of street (such as the guidelines provided in standard EN 13201 or any equivalent)
- if the proposed action will include modifications to the levels of illuminance, periods of illuminance, dimming, and/or any other type of low or no cost measure; in such case, please explain how much energy savings you expect from these measures
- if you plan to modify the GHG emission factor of electricity used for street lighting (e.g. by switching to renewable electricity), please explain how this will be guaranteed over time.

2. Then fill in the table below.

Table 8: Investments on street lighting

#	Municipality	Number of lamps	Number of controllers	Annual primary energy consumption (MWh/year)	Estimated energy savings (%)	Average GHG emissions in (tCO2e/year)	% GHG reduction	Investment on lamps / fixtures (€)	Investment on controllers (€)	Investment on other measures (€)	Total energy investment costs (€)	Payback time
1												
2												
3												
...												
Total												

3.3.4 Information required for investments on district heating and cooling:

1. Please describe the detailed content of the proposed investments;

The elements below are offered as guidance, however this is not an exclusive list. You are free to present the information you consider relevant to your project.

- Please explain the main heat sources which you plan to use for the network, in particular:
 - the amount and nature of recycled heat
 - in case of combined heat and power, the planned capacity and energy efficiency of electricity and heat production
 - how renewable energy will be sourced (biomass)
 - the technologies which will be used
- Please provide information regarding the characteristics and the density of heat demand which is foreseen; depending on the advancement of your project, you could provide one or several of the following:
 - Type of area(s): single housing, multifamily housing, central business district, industrial area...
 - Building density (floor surface / hectare or number of dwellings / hectare), overall and for each targeted area (minimal information)
 - Area heat density (heat demand / m² of land), overall and for each targeted area
 - Linear heat density (heat demand / m of pipe)
- Please present your assumptions in terms of energy consumptions (kWh/m².a) for the different types of buildings, and explain how they relate to the existing and forthcoming building regulations (e.g. the implementation of the recast Energy Performance of Buildings Directive).
- Please provide 1 to 3 overall maps showing the main heat sources and heat loads (existing and future), and draft routes for the primary network; maps should have a legend, and comments if needed. Complementary maps may be attached to the proposal.
- Please explain how you plan to acquire new customers, e.g. is there an obligation for new buildings to connect? What about existing buildings?

Note:

The financial and economic aspects of the proposed actions (e.g. setting up a DH company, cash flows, etc...) should be detailed in point 4.2.

2. Then fill in the tables below.

Table 9: Future demand for the district heating/cooling network

Please fill in the table hereunder, for each building or group of buildings to be connected or already connected. In the column "advancement of the project", please explain:

- For new build, whether a building permit has been delivered, or whether works have started
- For existing buildings, whether a letter of intent has been written whereby the building owner expresses interest in connecting to the district heating network.

#	Project	Owner developer /	Location (district, town)	Category (residential, commercial, ...)	Number of m ²	Annual heat demand (MWh)	Construction year (or existing building)	Year of connection to the DHN	Advancement of the project (connected / building permit / letter of intent...)
1									
2									
3									
...									
Total									

Table 10: Investments on district heating and cooling

Please present the details of the investment costs, splitting them by main areas in the concerned geographical zone, and between categories such as primary network, secondary network, heat generation, heat exchange station, buildings, etc.

#	Location (district, town)	Category (network, buildings, generation...)	Description	Expected year of implementation	Investment cost (€)
1					
2					
3					
...					
Total					

Table 11: Energy mix for the district heating/cooling network

Please present the technologies you plan to implement for the different parts of the network, and the energy mix once the proposed investments have been carried out. For waste heat or biomass, please explain if you plan to rely on specific sources (e.g. a local industry) and demonstrate the commitment of the heat provider.

#	Energy source	Main technologies used	Share of heat production by the end of the proposed investments (%)
1			
2			
3			
...			
Total			100%

3.3.5 Information required for investments on clean urban transport:

1. Please describe the detailed content of the proposed investments;
 - Please explain how your proposed investments will go beyond the current, and possibly future, legal standards in terms of energy performance and pollutant emissions.
 - In addition to the common impact indicators for transport, please use specific indicators adapted to the nature of your project.
 - For the replacement of existing vehicles or infrastructure, please describe also the current baseline conditions, including type, performance, technology etc as necessary to determine the net improvement.

2. Then provide tables summarising your proposed investments and the main impacts.

3.4 Strategic objectives to which the PDA will contribute

→ ½ page maximum

Please explain if the proposed investments will contribute to other strategic objectives than the energy savings, reduction of GHG emissions and RES generation presented above, for example if they will be able to launch other investments in energy efficiency and RES.

3.5 Evidence of the investments

→ Award criterion 3

→ 1 page maximum

Please describe, for each type of investment planned to be launched, what evidence you will provide at the end of the proposed action to show that the investment will be launched.

The documents must show that the investments will be launched without condition precedent, i.e. they cannot contain any elements that could prevent the investment from being implemented (such as obtaining an authorisation or a loan). Please explain which deliverables will be provided to prove that the investments have been launched.

Table 12: Evidence of the investments

#	Type of investment	Evidence of the investment	Actor issuing the document	Deliverables
1				
2				
3				
...				

3.6 Innovation

→ Award criterion 1

→ 1 page maximum

Please explain to which extent the proposed implementation method involves organisational innovation, e.g. in terms of financing, legal aspects, procurement...

Keep in mind that the proposed technologies must be proven.

Please explain:

- if similar projects have been carried out at regional / national / European level,
- if you plan to replicate these projects
- if your proposed action would bring innovation to the existing practices.

3.7 Capacity building

→ Award criterion 2

→ 1 page maximum

Please explain to which extent your project will contribute to build capacity in the concerned geographical zone, so that future energy investments may be carried out as a continuation of the proposed action.

3.8 Replication potential

→ Award criterion 1

→ 1 page maximum

Please explain what is the replication potential of the implementation method you propose. If relevant, please detail if replication could be implemented in other regions, other countries, other sectors.

Please explain what would be needed in order to achieve replication, and how your proposed action would provide some of the necessary elements.

4 Implementation method

→ Award criterion 2 and 3

4.1 Description of the investment scheme(s)

→ Award criterion 2

→ 1 to 5 pages maximum

Here you are expected to describe what scheme the investments will be based on. "Investment scheme" refers to the organisation of the investment, whereas aspects specifically related to financing are described in point 4.2.

An investment scheme could be for example:

- a direct investment by the owner of a building in order to retrofit it (in this case, you do not need to provide much information)
- an energy performance contract
- an investment fund using socially responsible savings, structural funds...

- a public ESCO
- a Pay As You Save model
- etc.

The level of precision which can be provided depends on the nature of the project. You are expected to provide information which is based on preparatory work carried out before the proposal.

4.1.1 General investment scheme

Please describe in details how the investments will be carried out, i.e. what scheme will be used in order for the investments to take place. There may be one or several different schemes.

If you plan to use a specific national scheme, please explain it in detail and do not take for granted that it is known to the evaluators.

4.1.2 Actors involved and responsibilities

Identify clearly each of the actors involved and their responsibility. It is highly recommended to use diagrams to present the scheme(s); however, you should also provide comprehensive written information.

4.1.3 Legal aspects

Please present the legal aspects of the scheme, i.e. what will be the contractual relationships between all actors and their respective duties.

While it is useful to mention that you will rely on national regulations or templates, you should still provide explanations. If relevant (e.g. in case of third party financing), please explain any legal aspects related to the ownership of investments.

4.2 Financing the proposed investments

→ **Award criteria 2 and 3**

→ **1 to 5 pages maximum**

The level of precision which can be provided depends on the nature of the project. You are expected to provide information which is based on preparatory work carried out before the proposal.

4.2.1 Financing structure

Please explain how the financing would be structured, i.e. where the money to be invested will come from. If you plan to outsource financing (e.g. to an ESCO), please provide assumptions regarding how they will structure the financing. If relevant, please provide assumptions on loan duration and interest rates, as they vary a lot between EU countries.

4.2.2 Financial sustainability

Please explain what revenues the investments will generate (energy savings, energy sales, user fees...), and to which extent they will contribute to the reimbursement of the initial investment. Please explain the assumptions, e.g. increase of energy prices, feed-in tariffs...

Please justify why this project is financially sustainable, i.e. how it will generate sufficient revenues to attract investors or financing institutions.

If available and relevant, please present any other elements which demonstrate the financial feasibility of the proposed investments:

- draft business plan, foreseen cash flows for the project
- Financial ratios such as the expected internal rate of return (IRR), return on equity (ROE)
- profit and loss statement and balance sheet for the project or the proposed vehicle,

- ...

These documents may be attached to the proposal (see section 7).

4.3 Procurement process

→ Award criterion 2

→ 2 pages maximum

Procurement is a key process in an investment project. Different procedures are defined for public authorities to procure works and services (call for tender, negotiated procedures, competitive dialogue...). The method and planning chosen for procurement are essential to ensure the success of the proposed investments.

Please describe:

- what will be procured during the proposed action (design, consulting, works, turnkey contract...); if you plan to hire consultants during the proposed action, please explain it and plan the corresponding activities in the work programme
- how you plan to organise the public procurement process (call for tender, negotiated procedure, competitive dialogue...); state the expected duration.

Please provide a concise summary of your procurement process in the table below.

Table 13: Procurement process

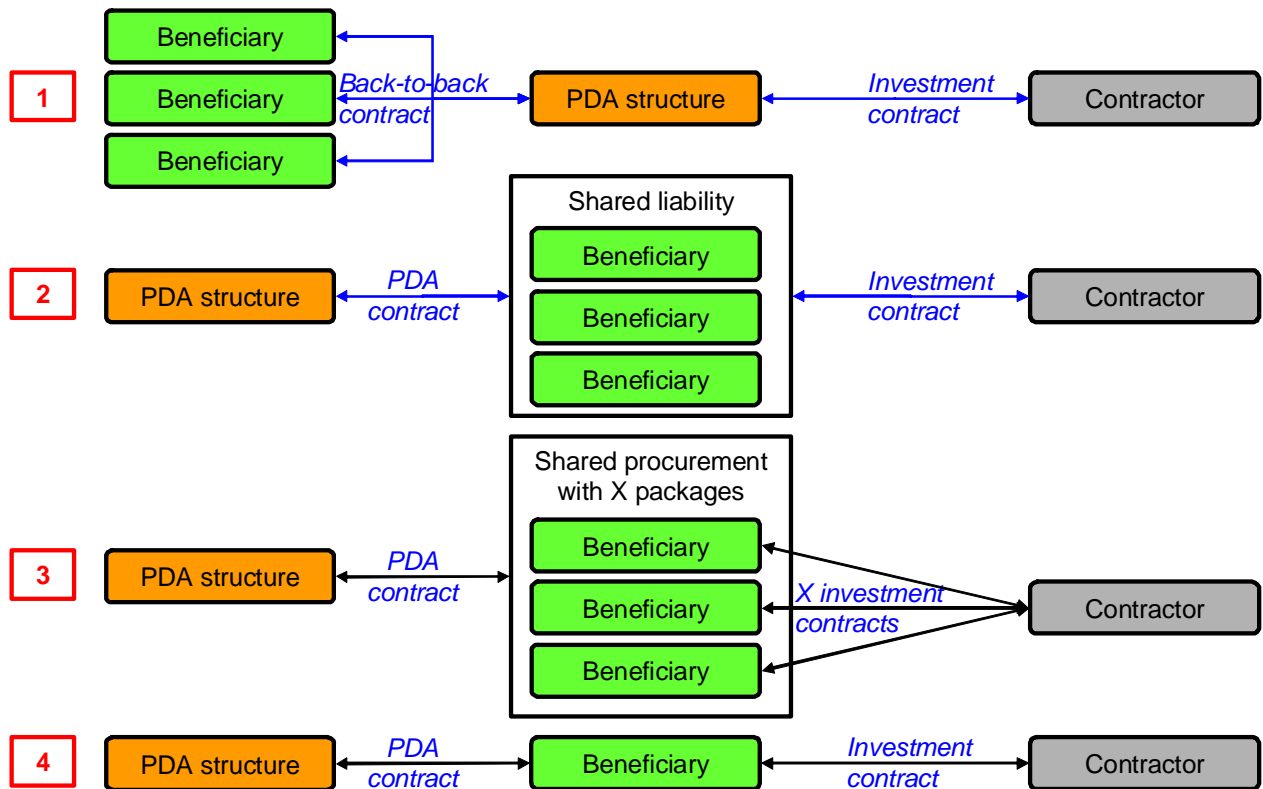
#	Object of the procurement	Foreseen procedure	Expected (months)	duration
1				
2				
3				
...				

If you plan to bundle different investments together, please explain how this will be done:

- in technical terms (what would be the criteria for defining the packages),
- in legal terms (what would be the legal relationship between the different decision-makers, the contractor(s), and the PDA structure).

The following diagram shows various examples of how a joint procurement process may be organised in a project which bundles several small projects to make them sufficiently attractive for investors. In this case, it is assumed that a PDA structure (i.e. one or several partners of the proposed action) carries out the project development for the benefit of the entities which will sign the contracts.

Examples of contractual arrangements for joint procurement in bundled investment projects



4.4 Involvement of stakeholders

→ Award criterion 2

→ 3 pages maximum

Please present the main stakeholders and their roles in the investments. These stakeholders may or may not be part of the consortium for this proposal.

Please note that this analysis focuses exclusively on stakeholders whose involvement is required for launching the investments. Other mobilisation activities are not expected.

4.4.1 Final beneficiaries

Please identify which stakeholders will be the final beneficiaries of the PDA, i.e. who will make the final decision to sign the investment contract. Depending on the project, the entity signing the investment contracts may be different from the partner carrying out the project development services, and may even not be included in the PDA project consortium.

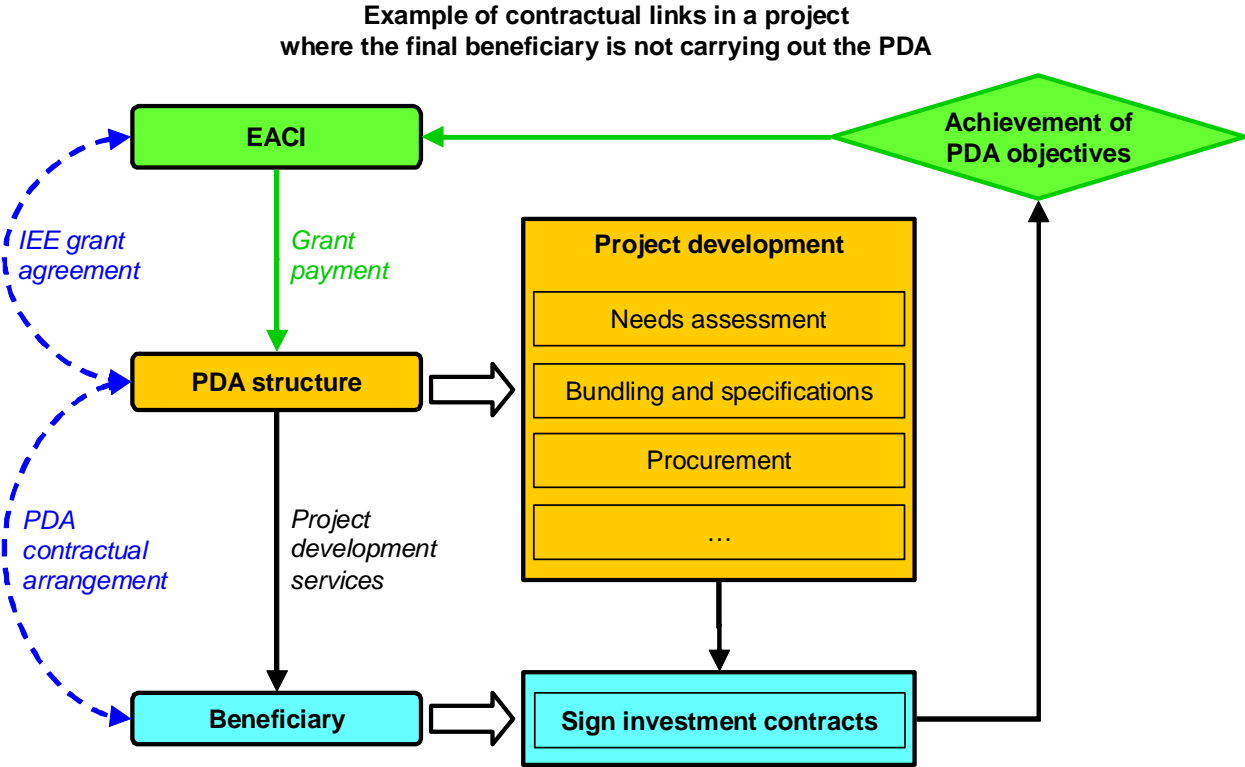
If the final beneficiaries are not the same as the PDA structure (i.e. the entities carrying out the PDA), there is a risk that when the investments are ready to be launched, the final beneficiaries do not sign the contracts. In such case, the IEE funding will have to be reimbursed by the PDA structure⁹.

⁹ although some costs may be eligible for support if adequately justified

In order to reduce such risks, it is essential to put in place a contractual relationship between the PDA structure and the final beneficiaries, in which the latter should commit:

- to sign the investment contracts resulting from the project development services,
- optionally, to contribute to the reimbursement of the IEE funding if it is demanded as a result of their decision not to invest at the end of the project.

The following diagram shows an example of contractual architecture.



If the final beneficiaries of the proposed action are different from the entities carrying out the PDA, please explain what commitment will be negotiated with the final beneficiaries, under which form and when. This should be made clear at the proposal stage, before or at the very beginning of the proposed action.

4.4.2 Investors

Please identify who will be investing in the foreseen investments, if different from the final decision-maker.

4.4.3 Financing institutions

If the investment requires financing from specialised financing institutions, please explain which are the foreseen institutions and in which form they would participate.

4.4.4 Other key actors

Please explain the roles of any other actors which need to be involved in order for the investments to be launched; e.g. their roles can be to mobilise the other stakeholders.

4.4.5 Overview: engagement of stakeholders

Table 14: Engagement of stakeholders

	Role in launching the investment	How do you ensure that they will play their role?	Key task(s) number from your work programme	Name and description of organisation(s) providing a Letter of Support
1) Final beneficiaries				
-				
-				
2) Investor(s)				
-				
-				
3) Financing institutions				
-				
-				
4) Other key actors				
-				
-				

5 Work Programme

→ Award criterion 2

5.1 Introduction to the Work Programme

→ 2 pages maximum

5.1.1 Rationale and structure of your work programme:

Explain briefly the rationale and structure of the work programme: main phases of the action, logic and links between work packages.

5.1.2 Flow chart of your work programme:

Provide a flow chart, showing the logic of your work programme.

5.2 Risk assessment

→ 1 page maximum

Please identify all factors which could prevent the investments from being launched, and explain how you address these risks, whether at proposal stage or during the proposed action.

Table 15: Risk assessment

#	Description of the risk	Mitigation actions
1		
2		
3		
...		

5.3 Milestones (key outputs)

→ 1 page maximum

Please present the key milestones for the proposed action.

Milestones are used to monitor the operational progress of your proposed action and alert you if your project is not running smoothly, and there is a risk of not achieving the expected results.

The difference to outputs and deliverables is that while outputs and deliverables are the final result of an activity, a milestone indicates the progress in this activity. For example, an output could be "3,000 households visited and engaged", while a milestone could be "1,500 households visited and engaged by month 8", and the following milestone "3,000 households visited and engaged by month 16".

The last milestone should be the launching of the investments.

Please fill in the table below. Provide for each milestone one or several clear and objective indicator(s), and state for each milestone if it is related to a deliverable or an output mentioned in the work packages.

Table 16: Milestones

#	Description (examples)	Indicator(s) (examples)	Related deliverable or output	Month
M1	50% of buildings have undergone a detailed energy audit	Energy audit reports	D2.3	8
M2	5 banks are ready to finance ESCO's answering the tender	Written commitment	O5.4	12
M3	Competitive dialogue is launched	- Publication at OJEU - candidates are pre selected	D3.2	15
...				

5.4 Work Packages

This part is for the description of your planned activities. It should be clear and concise, because you have described the implementation method in section 4.

You need to break the activities into work packages. Work packages represent major, natural packages of your proposed action. The size should be 2-4 pages per Work Package. Length and level of detail should correspond to the complexity and the amount of (human and financial) resources foreseen for the work packages and should allow the evaluators to assess the quality of the activities as well as their credibility and impact.

In the section below, you find the template to use for each work package. The section below also presents specific guidelines for three mandatory work packages:

- Work Package N° 1 Management: consortium management, including consortium meetings, monitoring and evaluation of progress/results and reporting;
- Work Package N° n-1 Communication activities: covers the specific communication activities in your proposal;
- Work Package N° n IEE common dissemination activities: covers specific requests from the EACI and pre-defined standard activities for all IEE actions

* n = total number of work packages of your work programme.

! Important notes:

- The number of work packages used must match the complexity of the work and the overall value of the proposed action. It is usual to have between 5 and 10 work packages. Do not exceed 10 work packages.
- Within each work package, explain the main tasks needed to reach the objectives of the proposal, describe each of the tasks with sufficient detail. Number the tasks based on the number of the WP, i.e. WP2 is composed of tasks 2.1 to 2.5.
- When designing the work packages, keep in mind the description of your proposed investments and implementation methodology – how is this translated into tasks and outputs in your work programme?
- The description in the work packages should be sufficiently detailed to justify the proposed effort and allow progress monitoring. Mind the consistency with the level of effort proposed in your budget (person hours).

- Each task should produce specific outputs and/or deliverables. These should be sufficient to track progress, but keep in mind that the key output of MLEI-PDA projects are investments.
- "Major subcontracts" are services that you intend to acquire in the course of the action and which are critical in terms of (technical) input and/or in terms of budgetary volume. Those should be shortly described – the detailed information being included under point 2.1.3. Please present the subcontracting budgets per WP and type of subcontractor (legal, technical, financial...) in order to enable a proper evaluation of your proposal.

5.4.1 Work Package Template:

Each work package should be described in about 2-5 pages using the following template. Note that the examples of outputs and deliverables in this template are given for illustration purposes.

N° of work package: X	[Please give a fitting name to your Work Package and use the same name in Part C]
Duration in months: X	[Partner of your consortium which will be leading this work package]

- ✓ Pay attention to consistency between tasks, outputs and deliverables!

I. Description of the work:

a) Overview of the Work package:

Please present a concise overview of the work package: objective within the action and what it will deliver. **(One paragraph)**

b) Description of the tasks:

- ✓ Structure the planned activities into tasks and subtasks and explain them with sufficient detail. The details must also be sufficient to justify the level of effort (person hours) you indicate in Part C.
- ✓ Number the tasks to facilitate reading.
- ✓ Be specific regarding the tasks: what activities are you exactly proposing to do?

IIa. Outputs of this work package (apart from deliverables):

- ✓ List the outputs of the tasks to be carried out under this work package. Deliverables are also outputs, but are listed separately below. Be precise and indicate the scale of your ambition, therefore use a quantitative description where applicable, as for example:

O1: Call for tender ready to be published
O2: Investment scheme operational
O3: Potential ESCO's and banks are aware of the upcoming tender

IIb. Deliverable(s) of this work package:

- ✓ List the deliverables produced under this work package. Use self-explanatory terms. Do not present quantitative data (such as number of prints, languages etc) – you are invited to do that in the overview of deliverables. Examples:

D1: Tender documents
D2: Deliberation of the regional council validating the scheme
D3: 3 articles presenting the upcoming tender in specialised press for ESCO's and banks

! Please use the same number and name in the 'Overview List of Deliverables'

III. Distribution of tasks of each partner in this work package (Award criterion 5):

- ✓ List clearly which tasks described above are performed by which partner(s). A short table such as the one illustrated below is recommended.

Partner	Task(s) for this partner organisation	Related to Task N°
CO		
CB1		
CB2		
...		

Major other specific costs:

- ✓ [List major other specific costs – if any - by task and describe them shortly]

Major subcontracts:

- ✓ List major subcontracts and shortly describe the tasks covered.

Mandatory phrase to keep: The subcontractors identified / to be identified were / will be selected following the provisions of Article II.9 of the Grant Agreement on competitive grounds on the basis of best value for money.

5.4.2 Work Package 1: Management

This work package must address at least the following important tasks:

- Reporting to the EACI will take the form of progress reports, an Interim report and a Final Report. Plan a task for reporting and specific deliverables for each of these reports.
- Risk management: present the critical steps/moments where the action could fail and how you propose to mitigate these risks; please foresee a risk management task.
- Monitoring the progress of the project through a regular review of the milestones and a deliverables list.

5.4.3 Work Package n-1: Communication

MLEI-PDA projects should have high replication potential, and should contribute as much as possible to inspire other local authorities in carrying out similar projects.

Please describe here your proposed communication activities by explaining purpose, target groups, tools and activities.

Note that Proposers are expected to use their usual networks to disseminate to other public authorities as widely as possible their experience in MLEI-PDA, e.g. through presentations in networks of local authorities, in conferences, etc. Your activities should be easy to implement using channels which are accessible to you. Dissemination is expected to focus mainly on the national level, but if proposers are in a good position to implement dissemination activities also at the European level, then they should propose it.

Communication activities at local/regional level and specifically accompanying your MLEI PDA activities should represent a limited fraction of the PDA costs, except for those which are required in order to launch the proposed investments (e.g. convincing stakeholders to invest).

Proposers are welcome to propose other communication activities.

At the end of the project, you are required to produce at least a **result-oriented report** which will document what you have done, and analyse the key factors of success, potential errors and improvement. This document must be written in a manner that is understandable for non specialists, and focus on the work process and methodologies rather than the technical aspects of the investment projects. The aim is that any public authority should be able to read it as an inspiring example. The document should be both in national language and in English. While it is not necessary to subcontract the visual aspects, the drafting and translation may be subcontracted.

You will be required to have a specific web page (or several pages) for the project, which may be hosted on the web site of the co-ordinating local authority (i.e. it does not need to be a specific web site). The web page(s) will have to show regularly the advancement of the project and enable visitors to download any public deliverable of the project.

Besides, you will have to provide input for specific pages on MLEI-PDA projects which will be developed on the IEE and ManagEnergy web sites. This is included in the IEE common dissemination activities.

5.4.4 Work Package n: IEE common dissemination Activities

Dissemination activities are foreseen for all IEE actions and in particular for specific programme areas ("project families") in order to enhance synergies, promote the actions in important European events, provide information to the central IEE programme web-site, participation in contractors' meetings and promotion of the actions via different media tools. The ultimate aim of this work is to enhance the visibility of the IEE actions and, in turn, to contribute to their dissemination and the promotion of their results at all levels.

Specific IEE workshops aims to improve the performance of the actions by enhancing their communication and management capacities.

Your contributions to the IEE common dissemination activities will include participation in contractors' meetings as well as responding to specific requests from the EACI to provide information about the action.

The activities listed in this work package are only upon request of the EACI. It is therefore necessary to include limited but adequate resources in your proposal for these activities. As a general rule, please foresee **no more than 150 hours per year of the action** (of the co-ordinator or shared, if appropriate, with additional 1-2 key partners), travel costs for 1 travel per year of the action and some other specific costs for presentations.

The content of this work package is given below. It is standard for all actions. Please do not change this standard text.

N° of work package:	IEE common dissemination activities															
Duration in months: [= Duration of the action]	[Participating organisation which will be leading this work package]															
<p>I. Description of the work:</p> <p>a) Overview of the work package: The work package covers resources to contribute, upon request by the EACI, to common dissemination activities to increase synergies between, and the visibility of IEE-supported actions.</p> <p>b) Tasks</p> <ol style="list-style-type: none"> 1. Contribution, upon request by the EACI, to the development of information material (Intelligent Energy MAG, videos, images etc.), as well as inputs to European portals (Build-Up) and databases in the quality and form specified. 2. Contribution, upon request by the EACI, to the development of material for upload on the ManagEnergy web site, in the quality and form specified. 3. Participation and/or contribution, upon request by the EACI, to information, training and dissemination events such as contractors' workshops, conferences, briefing days, exhibitions, etc) related to IEE or other relevant EU programmes. 4. Delivery, upon request by the EACI, of an update/further input of the action's contribution to the "IEE Common performance indicators" <p>II.a. Outputs of this work package:</p> <ul style="list-style-type: none"> ▪ Delivery of agreed presentation materials and media tools ▪ Participation in events, such as contractor's workshops, conferences etc. <p>II.b. Deliverable(s) of this work package:</p> <ul style="list-style-type: none"> ▪ To be agreed specifically at the time of the request. ▪ Set of updated IEE Common Performance indicators including their baseline and assumptions for extrapolation <p>III. Role and contribution (tasks) of each partner in this work package (Award criterion 5): For this work package, typically, the Coordinator is in charge. Where appropriate, 1-2 key partners are contributing. A short table such as the one illustrated below is recommended.</p> <table border="1"> <thead> <tr> <th>Partner</th> <th>Task(s) for this partner organisation</th> <th>Related to Task N°</th> </tr> </thead> <tbody> <tr> <td>CO</td> <td></td> <td></td> </tr> <tr> <td>CB1</td> <td></td> <td></td> </tr> <tr> <td>CB2</td> <td></td> <td></td> </tr> <tr> <td>...</td> <td></td> <td></td> </tr> </tbody> </table>		Partner	Task(s) for this partner organisation	Related to Task N°	CO			CB1			CB2			...		
Partner	Task(s) for this partner organisation	Related to Task N°														
CO																
CB1																
CB2																
...																

5.5 Overview of Deliverables

List the deliverables of each work package in the following summary table. They should be identical with those in the work packages and vice versa. Provide here the appropriate key (descriptive) information for each deliverable.

Important note on deliverables:

- Limit the number of deliverables and do not include minor sub-items (such as invitations to workshops) or internal working papers (such as internal coordination reports).
- Concerning the dissemination level, you are not expected to make all deliverables publicly available; only those which may present an interest for future replication need to be public (such as tender documents).
- The evidence proposed for the investments (point 3.5) must be included in the deliverables
- The month of completion of public deliverables should coincide with their availability e.g. for distribution via the website/mail shot/press releases etc.

Table 17: List of deliverables

WP	#	Deliverable name ^{a)}	Type of deliverable ^{b)}	Format ^{c)}	Language (national and/or English)	Target group ^{d)}	Lead participant ^{e)}	Dissemination level ^{f)}	Month of completion ^{g)}
WP1	D1.1								
	D1.2								
WP2	D2.1								
	D2.2								
WPn-1	Dn.n	Result-oriented report	Report	50 pages Electronic + 500 hard copies	National + English	Public authorities	...	PU	...

- a) Please use the same deliverable name as indicated in the work package descriptions in your work programme. The deliverable name should be self-explanatory.
- b) The type of deliverable could be: a publication (flyer/brochure/working paper/paper/article/press release/slides/Cd-rom), website/webtool, etc.
- c) The format could be: printed and/or electronic (downloadable), the approx. number of pages / number to be printed of a publication.
- d) Please indicate the specific target group for each deliverable. The target groups indicated should be consistent with your work programme. Indicating 'all' is not sufficient.
- e) Name the participant of your consortium who will lead the preparation of the deliverable.
- f) Please indicate the dissemination level using one of the following codes:
 PU = Public, to be freely disseminated, e.g. via the website of the action
 CO = Confidential, only for members of the consortium including the Commission/EACI Services (mainly for internal working documents and only in exceptional cases for results)
- g) Month in which the deliverables will be actually completed. Month 1 marks the start of the action, and all deadlines should be relative to this starting date.

5.6 Schedule of activities

- Show the time schedule for your action - adapting the template below to your needs (here is an example for a 36-month action). Take into account that the maximum duration is 36 months.
- Do not use anything other than “month 1, month 2, etc.”, e.g. do not use fixed dates such as June 2013, January 2014.
- Break down the planning of the work packages to the level of tasks, in order to make this chart meaningful.
- Try to keep the schedule on 1 page, 2 at most
- You may also provide specific schedules for investment sub-projects if this is relevant for your proposed action.

Phase / months	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36			
WP1: Management																																							
WP2: Short name																																							
Task 2.1. Short name																																							
Task 2.2. Short name																																							
WP3 - Short name																																							
Task 3.1. Short name																																							
WP4: Short name																																							
Task 4.1. Short name																																							
Etc....																																							
WPn: IEE common dissemination Activities																																							
Milestones	M1				M2					M3							M4			M5				M6		M7		M8		M10									
Deliverables			D1.1			D2.1							D3.1											D4.1															

6 Description of Each Participant

→ **Selection criteria and Award criterion 4**

This information is needed to assess the technical capacity of the applicants and the composition of the team. Section 6.1 is to be completed for each participant – they should also be completed for major subcontractors. They must be specific to this proposal.

6.1 Description of the participants

Please duplicate for each participant.

6.1.1 Description of the organisation

→ **A maximum of ½ page per organisation**

Provide a short description of each participating organisation. This description should highlight their expertise and experience in the fields required for the action. Do not use standard or not subject-related descriptions of the organisation.

In case a participant is an association and it intends to involve members of the association in the actual work, please:

- provide a clear description and evidence of the association's structure, showing in particular the membership structure and the total number of members;
- list those members envisaged to join (perform tasks) within the action. Please list the legal name, address and the name of the responsible person for each relevant member and the task(s) these members are expected to carry out, if known already. Please make also a reference in the work package (III. Role and contribution of each partner) to the member that you foresee to perform the task, if already known.

6.1.2 Relevant experience of the key personnel proposed to work on this action

Please use the format below to demonstrate the directly relevant skills and competences of the key personnel proposed to work on this action. Do not attach full CV's!

'Key personnel' are the responsible managers of the action in the participating organisation.

Organisation:					
Name :		First Name:		Nationality:	
Qualification:					
Staff category*:					
Short description of work experience, relevant to the proposal**:					

*: e.g. Senior expert, Expert, Junior Expert (same categories as in part C) / **: 1 paragraph per person

6.2 Co-financing sources

Please explain clearly the co-financing sources for the proposed action for each participant in the proposal with the help of the table below:

- In the case that you are proposing to use internal (own) resources, explain clearly the rationale/motivation behind this decision specifically for each partner;
- In case you are expecting/aiming at co-financing from external 3rd parties, identify the co-financing party and describe the state of advancement in the confirmation of this co-funding. Note that confirmation of this funding or letters of intent for funding may be attached to the proposal, but are not mandatory at proposal stage.

If the final beneficiaries of the proposed action (i.e. the entities that will sign the investment contracts) are not included in the consortium, please explain if they will contribute in any way to the co-financing.

Table 18: Co-financing sources

Participant	Co-financing source	Comments/justifications
CO1		
CB2		
CB3		
CB4		
CB5		
CB6		
CB7		
CB8		
...		

7 Attached documents

You may attach the 5 most relevant documents to support your application, apart from those required for administrative and financial purposes.

Background documents may be submitted in their original language. If your proposal uses results and data from those documents, please provide the main elements in English in part B. Do not expect evaluators to extract information from the background documents in order to assess your proposal, even if it is in English.

If you attach background documents, please ensure that:

- **They comply with the specifications explained in part V of the guide**
- The documents are mentioned and explained in the relevant sections of part B
- They are relevant and needed, i.e. they support your application efficiently
- Files for letters of support are entitled "acronym_LOS_number"
- Files for background documents, and any other type of documents, are entitled "acronym_BACK_number"

Table 19: Attached documents

File name	Description and comments
acronym_BACK_1	
acronym_BACK_2	
acronym_BACK_3	
acronym_BACK_4	
acronym_BACK_5	

IV. INSTRUCTIONS FOR PART C - THE DETAILED BUDGET

→ Award criterion 4

1 Basic principles on budgeting IEE actions

What is the cost-sharing principle?

IEE funding is based on cost-sharing grant agreements. The proposal should estimate the costs of the action in order to establish an indicative budget. Once the action has started, only costs actually incurred within the duration of the action can be claimed and reimbursed. Exception: costs related to the final report and costs for audit certificate, where applicable.

For details, see the guidelines below. More information can be found in the IEE Financial Guidelines: http://ec.europa.eu/energy/intelligent/implementation/financial_en.htm#information.

How and when to plan the costs/budget of your action?

The budget is best established once the work programme and its division into work packages are known, and the role and tasks of the participants is sufficiently specified to be able to estimate the resources needed to fulfil the tasks.

Which costs are eligible?

The eligibility of costs is defined in Article II.14.1 of the model Grant Agreement of the IEE programme:

"Eligible costs of the action" are costs actually incurred by the beneficiary, which meet the following criteria:

- *they are incurred during the duration of the action as specified in article I.2.2 of the agreement with the exception of costs relating to final reports and certificates on the action financial statements and underlying accounts;*
- *they are connected with the subject of the agreement and they are indicated in the estimated overall budget of the action;*
- *they are necessary for the implementation of the action which is subject of the grant;*
- *they are identifiable and verifiable in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost-accounting practices of the beneficiary;*
- *they comply with the requirements of applicable tax and social legislation;*
- *they are reasonable, justified and comply with the requirements of sound financial management in particular regarding economy and efficiency.*

The beneficiaries' accounting and internal auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the action with the corresponding accounting statements and supporting documents.

Furthermore Article II.14.2 and Article II.14.3 of the model Grant Agreement define the direct eligible costs and the indirect eligible costs.

It is strongly recommended that you consult the model grant agreement and the notes below.

The model Grant Agreement can be downloaded from the IEE website: http://ec.europa.eu/energy/intelligent/managing-projects/negotiating-your-contract/index_en.htm

The following costs shall not be considered eligible (see Article II.14.4 and II.14.5 of the model Grant Agreement):

- return on capital,
- debt and debt service charges,
- provisions for losses or potential future liabilities,
- interest owed,
- doubtful debts,
- exchange losses,
- VAT, unless the beneficiary can show that he is unable to recover it,
- costs declared by the beneficiary and covered by another action or work programme receiving a Union grant,
- excessive or reckless expenditure,
- in-kind contributions.
-

2 Set-up and content of Part C

Part C is set up as a spreadsheet (EXCEL file) in order to facilitate the processing of the data and to facilitate the calculation of the human and financial resources of the action.

The use of the Part C template is obligatory. It is provided for download in EPSS. It consists of the following worksheets:

Name of worksheet	Content	N° of pages
Proposal cover sheet	Title, acronym and duration of the action	1
A3 form	Basic budget data, equals Form A3 of online application	1
Budget	Overview on the costs, income and resources per participant and work package, consists of 4 tables - Table 1 – Cost summary - Table 2 – Income summary - Table 3 – Human resources summary - Table 4 – Financial resources summary	4
Participant Data	Participant cost data, consists of - Form 1 – Direct staff costs - Form 2 – Other direct costs	2 per participant

The *Part C - Detailed Budget* is constructed in a strict bottom-up manner. This means that it requires a few input data from each participant and then sums up automatically to the total budget of the action and allocates the total costs to work packages. It consequently also means that without these input data the budget cannot be established.

The following input data is needed from each participant and to be filled into the Participant Data worksheet:

- hourly rate (labour rate) per staff category;
 - number of hours spent per staff category for each work package;
 - other direct costs (subcontracting, travel, etc.) allocated to the work packages.
- ➡ The Participant Data worksheet is also available as separate file to facilitate the provision and collection of data from the other participants.

IMPORTANT: If a co-ordinator receives Participant data sheets from his/her partners and likes to copy the received data into Part C:

Part C is a partly protected EXCEL file that allows easy copying of the data from separate participant data files into the Participant Data worksheet of Part C. In this case the co-ordinator copies all the received information of a participant "in one go" into the respective Participant Data sheet. **This works ONLY the following way:**

1. Open the Participant Data sheet received from a partner.
2. **Check and ensure that the partner has not added any extra row (or column) to the sheet. This is crucial as otherwise the whole calculation is messed up when copying the information to the *Part C*.**
3. Click into the left top corner of the partner's spreadsheet (the unlabeled grey-coloured cell between column A and row 1). By that the whole spreadsheet is marked. Then copy it (ctrl+c).
4. Switch to Part C and click on the data worksheet prepared for the respective participant. Click into the left top corner of this sheet to mark the whole sheet. Then paste the whole data sheet (ctrl+v). If you follow these instructions, all formatting remains.
5. Check and ensure that the numbering and order of the partners is consistent between the partner data sheet, the cost, income and resources summary and the numbering of the online submission system (EPSS, form A3). There is no link!
6. Rename the Participant Data worksheet by adding the participant's short name: Double-click the name of the sheet in the tab at the bottom. E.g. for participant n° 2: Data EACI (CB 2).

➡ **It is not possible to insert or delete whole worksheets in the *Part C - Detailed Budget* as the prepared links from the partner's data sheets to the budget tables would not work.**

The following pages provide you with practical guidance on how to fill in Part C. All templates are available for download in the "Part B and Annexes" section of the online submission system (EPSS).

➡ **Only uncoloured ("white") cells are to be filled!**

➡ **Additional instructions are also given directly in the template.**

3 Instructions per worksheet

3.1 Worksheet "Data Coordinator (CO)" and "Data Partner (CB2-..)"

This worksheet gathers all cost data of a participant. It is structured in two forms:

- Form 1 – Direct staff costs
- Form 2 – Other direct costs

It needs to be filled by every participant (including the co-ordinator). At the stage of proposal these data do not need to be signed.

⇒ Subcontractors should not fill in this form.

IMPORTANT

- ⇒ **Do not add any rows or columns** to this worksheet nor to the separate Participant Data sheet. It will mess up all formulas in the budget worksheet.
- ⇒ **No decimals.** Use only whole EUR amounts.
- ⇒ Costs must exclude value-added tax (VAT), unless an organisation can show that it is unable to recover VAT.
- ⇒ All costs have to be given in Euro and not in thousands of Euro.
- ⇒ Make sure that all costs are allocated to work packages as otherwise Table n°4 (Financial resources summary) will not be correct.

The explanations below follow the numbering of the footnotes given in the Excel template:

Form 1 – Direct staff costs

1. Proposal acronym	Please insert the proposal acronym, consistent with the one used in EPSS form A1.
2. Participant Short Name	Please indicate the official short name of the organisation. This should not be more than 20 characters long. If an organisation has no official short name (or one longer than 20 characters), please choose one to identify the organisation within this proposal. The same short name must be used in Part B, Part C and the Annexes as well as in any other application submitted to this call.
3. Organisation Name in English	Please provide the English translation of your organisation's legal name. ⇒ If the organisation legal name is originally in English, please repeat it as this cell is used for reporting purposes.
4. Participant number	This number is allocated by the co-ordinator to the participants for this proposal. The co-ordinator of a proposal is always participant number one. ⇒ The participant number is filled in manually at different places. Make sure that the participant number is consistent between the data sheet of the participant, the budget worksheet and the A3 form of EPSS.
5. Participant Role	Automatic indication of the role of each participant, as defined by the consortium for this proposal. The two options are CO and CB. CO stands for 'co-ordinator' of the action, CB stands for 'co-beneficiary', the partners of your consortium. CO signs the grant agreement with the EACI for his organisation and on behalf of all CB. All CB will sign a mandate to the CO to grant power of attorney to the CO for signing the grant agreement on his/her behalf.
6. Legal Status	Recall: In order to be eligible, the <u>co-ordinator</u> of an MLEI-PDA proposal must be a local or regional public authority (municipality, city, province, region) or another public body (see criteria below). Partners may be non-public.

	<p>Please select one of the following options:</p> <ul style="list-style-type: none"> - Governmental (local, regional or national public or governmental organisations e. g. public authorities, universities, hospitals, schools) (Abbreviation: GOV); - Public Commercial Organisation (i.e. commercial organisation established and owned by a public authority such as Public Transport Operators) (Abbreviation: PUC) - Private Non-profit making Organisation (i.e. any privately owned non-profit organisation) (Abbreviation: PNP) - Private Commercial Organisation (i.e. any privately owned organisation with profit-making goals, owned by individuals either directly or by shares) (Abbreviation: PRC) - European Economic Interest Group (Abbreviation: EEIG) - International Organisation (i.e. an international organisation established by national governments) (Abbreviation: INO) - Other (Abbreviation: OTH). Please specify in the next field. <p><u>Bodies that declare their status as public must comply with the following criteria:</u></p> <ul style="list-style-type: none"> ➤ The body has been created by a public authority or is governed by private law with a public service mission. ➤ Note: The “public interest” must be explicitly mentioned in the relevant legal or administrative act/s. ➤ The internal procedures and accounts are submitted to control by a public authority. ➤ The body is financed totally or to a large extent (i.e. more than 50%) by public sources. ➤ In the event that the body stops its activities, all rights and obligations including financial will be transferred to a public authority.
<p>7. Country code</p>	<p>Select the participant's country code from the provided drop-down list.</p>
<p>8. Number of productive hours per month</p>	<p>Total productive hours per year can be obtained either from timesheets or from summaries of time records, or on the basis of the total workable hours according to the employment contract, less certain allowance for sickness, holidays etc.. Productive hours cover the hours spent on external actions as well as on internal work. An example for determining the total productive hours per year could be – on the basis of standard hours - as follows:</p> <p>Days/year.....365 days Less 52 weekends.....104 days Subtotal.....261 days Less Annual holidays.....26 days Statutory holidays.....15 days Illness/other.....5 days Total-Productive days..... 215 days</p> <p>Productive hours/year (215 days x 7,5 hrs/day) 1613 hrs Productive hours/year (215 days x 8 hrs/day) 1720 hrs</p> <p>Divided by 12 months (for a full-time employee): Productive hours/month (1613 hours/12 months) 134 hrs Productive hours/month (1720 hours/12 months) 143 hrs</p>
<p>9. Only for associations with members or companies with affiliates</p>	<p>An association with members or a company with affiliates has the possibility to have part of the work carried out by some of its members or some of its affiliates.</p> <p>Where an association participating in the action intends to involve its member(s) (or a participating company involves its affiliates) to carry out the work or parts thereof, the costs incurred by clearly identified member(s) (or the affiliates) can be accepted provided that they are eligible and can be verified during the course of the action as being 'actual' costs.</p> <p>Costs of the members/affiliates should be included under the various cost categories of the</p>

	<p>participant</p> <ul style="list-style-type: none"> ➤ the member's/affiliate's staff costs under "<i>Direct staff costs</i>"; ➤ its subcontracting costs under "<i>Subcontracting</i>"; etc. <p>Furthermore, for members of an association, the participant (association) in section 9 of Part B (detailed description of the action) shall:</p> <ul style="list-style-type: none"> ➤ provide clear description and evidence of the association's structure, showing the relationship with the member(s); ➤ list those members envisaged to join the action. Please list the legal name, address and the name of the responsible person for each relevant member and the task(s) these members are expected to carry out, if known already; ➤ ensure that the contractual provisions applicable to the participant, especially those related to the eligibility of costs and the checks and audits that the EACI and/or the European Commission may carry out, are also applicable to its members; ➤ retain sole responsibility to carry out the action and for compliance with the provisions of the grant agreement. <p>Furthermore, for affiliate(s), the participant ('Mother Company'), in section 9 of Part B (detailed description of the action) shall:</p> <ul style="list-style-type: none"> ➤ provide a clear description and evidence of the ownership structure showing the affiliation with the affiliate(s); ➤ provide clear evidence that the costs will be recharged and therefore incurred by the participant; ➤ ensure that the contractual provisions applicable to the participant, especially those related to the eligibility of costs and the checks and audits that the EACI and/or the European Commission may carry out, are also applicable to its affiliates; ➤ retain sole responsibility to carry out the action and for compliance with the provisions of the grant agreement. <p>You should also add, where appropriate, a remark related to the relevant member(s)/affiliate(s) in each work package description ("<i>Role and contribution (tasks) of each partner in this work package</i>") of Part B of the proposal.</p>
<p>10. Category of staff to work on the action</p>	<p>Identify each category of staff in a clear and unambiguous manner. Apply the staff categories used in your organisation.</p> <p>Under staff costs you may charge only staff <u>directly</u> working on the implementation of the action. Such persons must be</p> <ul style="list-style-type: none"> - directly employed by the participant in accordance with his/her national law; - under the participant's sole technical supervision (in essence the technical output must belong to the participant); - remunerated in accordance with the normal practices of the participant provided these are acceptable to the EACI / European Commission. <p>The work of these staff has to be recorded and documented in time sheets (see http://ec.europa.eu/energy/intelligent/managing-projects/day-to-day-management/financial-guidance/index_en.htm#timesheets for a template of time sheets).</p> <p>Other staff, such as management, administrative and secretarial staff of an organisation – important for the functioning of the organisation but not directly working on the implementation of the action – is included in the 60% indirect costs ("overheads") (see note 21). Exceptions could occur when tasks outlined in the action justify a distinct role of such staff, which then also has to be recorded in time sheets.</p> <p>☞ Examples of staff categories: project manager, senior expert, junior expert, technician, in-house consultant, etc.</p> <p>☞ <i>In-house consultants</i> deliver 'external services' and are in principle to be considered under the 'subcontracting' cost category. Similarly, persons delivering services under '<i>civil contracts</i>' (a form of service contract under private law with the obligation to deliver results in a specified timeframe) are in principle also to be considered under the 'subcontracting' cost category.</p> <p>However: costs of <i>consultants</i> (i.e. natural (physical) persons) and/or of the persons under <i>civil contracts</i> who join the beneficiary's project team <u>may</u> be classified under staff costs, regardless of whether the consultants are self-employed or employed by a third party, if the criteria listed below are fulfilled (in addition to the general eligible cost criteria of the grant agreement).</p>

	<p>THE CRITERIA :</p> <p>(1) The <u>consultant/person</u> has a contract to work for the beneficiary and (some of) that work involves tasks to be carried out under the IEE grant agreement</p> <p>(2) The consultant/person works under direct instructions/supervision of the beneficiary</p> <p>(3) The consultant/person works in the premises of the beneficiary as a member of the project team</p> <p>(4) The <u>output of the work belongs to the beneficiary</u></p> <p>(5) The <u>costs of employing the consultant/person are reasonable, are in accordance with the normal practices of the beneficiary (provided that these are acceptable to the EACI) and are not significantly different from the personnel costs of employees</u> of the same category working under a labour law contract for the beneficiary</p> <p>(6) <u>Travel and subsistence costs</u> related to the participation of the consultant/person in project meetings or other travel relating to the project is <u>directly paid by the beneficiary. The applicable tax and social security costs related to the consultant are paid by himself/herself, the applicable tax and social security costs related to the person working under a civil contract are paid by the beneficiary.</u></p> <p>(7) The consultant/person <u>MUST</u> be a user of the beneficiary's infrastructure (i.e. user of the 'indirect costs')</p> <p>Please note that teleworking may only be allowed if the standard working conditions applicable to the employees of the beneficiary allow it and the above mentioned criteria are still respected. A copy of the standard working conditions might be requested by EACI on a case by case basis.</p>
<p>11. Hours on the action</p>	<p>Sum of hours per staff category.</p> <p>Automatically added from the table in which the hours per staff category are allocated to work packages (see note 16).</p>
<p>12. Hourly rate</p>	<p>Based on annual gross remuneration (=gross salary or wages plus obligatory social charges) divided by the number of productive hours per year.</p> <p>Average rates can be used if they fairly reflect the grades working on the action. In either case, the average must reasonably reflect the cost of personnel on the action.</p> <ul style="list-style-type: none"> ➤ This rate cannot include any profit margin or any overhead costs. ➤ As a general rule, no overtime may be charged to IEE actions, unless this element has also been taken into account in the calculation of the total productive hours, or overtime is reimbursed specifically by the participant. For more information on how to calculate the productive hours per month please refer to note 8. ➤ Participants should be prepared to justify their hourly rates upon request from the EACI.
<p>13. Direct Staff Costs</p>	<p>Multiplication of the hourly rate and the hours budgeted per staff category.</p>
<p>14. Total hours on the action</p>	<p>Sum of the hours per participant.</p> <p>This amount is taken into column G of the budget.</p>
<p>15. Total direct staff costs</p>	<p>Sum of the direct staff costs per participant.</p> <p>This amount is taken into column H of the budget.</p>
<p>16. Allocation of staff hours/costs to work packages</p>	<p>Estimated hours needed for each staff (categories) to work packages.</p> <p>This estimation should be based on the role and responsibility of the participant in each of the work packages as described in Part B of the proposal.</p> <ul style="list-style-type: none"> ➤ Hours related to general project management, including meetings of the action, should be always allocated to work package 1 'Management'. ➤ Work package leader should include the hours of co-ordination of the work package under the respective work package. ➤ The final work package 'IEE common dissemination activities' is usually only for the co-ordinator. For more information see guidelines under Part B of the proposal.

Form 2 - Other Direct Costs

17. Subcontracting (= external services)

External services are those performed by third parties outside the participating organisation and outside the consortium of the action. They relate exclusively to purchases of services, not of goods.

Subcontracts must be awarded in accordance with the conditions set out in the general conditions of the model grant agreement (Article II.9). In summary this means that subcontractors should be selected on transparent grounds, to the best offer, taking into consideration price and quality (best value for money). In a very simplified procedure, three different offers should be obtained and evaluated against common established criteria to ensure that each of them is treated fairly and equitably.

The subcontracts have to specify tasks and remuneration for these tasks. There are limits to subcontracting such as:

- subcontracting should be reserved for limited tasks outsourced by the beneficiary, and for hiring special expertise. Otherwise the EACI might request that the subcontractor should become a beneficiary during contract negotiation.
- beneficiaries who issue subcontracts will have to pay 100% of the subcontractors' invoice before claiming reimbursement from the EACI at the agreed level of co-funding.

Travel costs for subcontractors are to be included under subcontracting costs.

Work to be subcontracted must also be described in Part B of the application.

How to fill in the form?

Indicate the name of the subcontractor, if already known, or TBD (to be determined), the country code (for the list of countries please refer to [note 7](#)), and some short, but clear key words characterising the work to be undertaken.

Do not add rows as this destroys the underlying links and formulas. If there are not enough lines for all subcontracts planned, put two subcontracts of the same work package in one row and specify the single amounts under "Description".

18. Travel costs and subsistence allowances for staff

This cost category includes the amount of travel and subsistence of personnel (staff only !) working directly for the action, calculated on the basis of the usual practices of the participant.

How to fill in the form?

A clear description of travel should be given:

- Reason for travel: please form categories such as (internal) consortium meetings, workshops, etc. Use the same terms as in Part B of the proposal;
- Destination, if known. If unknown, apply average estimates.
- Number of persons travelling: as a general guideline it seems appropriate that the co-ordinator attends project meetings with 2 persons whereas co-beneficiaries (other participants) attend project meetings with one person. However, kick-off meetings might be attended by more than one person per organisation, and also other project meetings might be attended by more than one person where this can be substantiated by distinguished roles at the meeting.
- Travel costs per person: travel costs of the whole trip, including subsistence costs.

☞ Travel costs (column I) should be budgeted respecting the principle of sound financial management. For (international long distance) travel a limit of 1000 EUR per person and travel should be applied. Exceptions must be duly substantiated.

☞ As a general rule travel to project meetings (in case not combined with other events) should all be allocated under work package 1 'Management'.

☞ Travel costs for subcontractors are to be included under subcontracting costs.

☞ Subscription fees to conferences or dissemination events are not travel costs and should be charged under "Other specific costs".

Do not add rows as this destroys the underlying links and formulas. Make categories of travels as described above.

19. Purchase costs for

This category applies only for equipment which is depreciated according to national

<p>equipment/Description of the equipment</p>	<p>accounting rules. Other equipment, if eligible, should be listed under "Other specific costs".</p> <p>Due to the type of actions (non-technological), any equipment for the promotion and dissemination actions of the IEE programme will only be accepted under <u>exceptional</u> circumstances and only with prior agreement of the EACI.</p> <p>How to fill in the form?</p> <p>If you think your equipment qualifies for these exceptional circumstances, please give a brief description of the equipment to be purchased specifically for use in the action. E.g. specific monitoring equipment, database software, etc. Standard office equipment and software (PC, laptop, printer, etc.) is part of the indirect costs and not eligible as direct costs under this category.</p> <p>Please describe the use of the equipment clearly and convincingly in the related work package in Part B of the application.</p> <p>If eligible, only a portion of the equipment's depreciation corresponding to the duration of the action and the rate of actual use for the purpose of the action may be taken into account as eligible costs.</p> <p>Equipment costs must be capitalised in the books of the participant, according to the national accounting rules.</p> <p>The costs to be charged to the action shall be calculated according to the following formula:</p> $(A/B) \times C \times D$ <p>A – Period of months used for the action B – Total period of depreciation (in months) C – The actual cost/value D – The percentage of usage of the equipment for the action</p>
<p>20. Other specific costs/Description</p>	<p>‘Other specific costs’ should be costs that cannot be included under any of the previous cost categories of direct costs. Examples:</p> <ul style="list-style-type: none"> - costs related to the organisation of events (excluding costs where a subcontract has been concluded with a service provider, which must be charged under 'Subcontracting'); - dinner costs at project meetings: Dinner costs are accepted as eligible costs within the limit calculated as follows: maximum of twice the number of consortium participants and € 40/person. Per meeting only the costs for one dinner will be accepted as eligible costs; - printing of promotion and dissemination material; - travel costs for persons who are not members of staff nor subcontractors; - subscription fees to conferences or events; - equipment which is not depreciated; - costs of bank guarantees. Financial guarantees equivalent to the amount of the first pre-financing are requested by the EACI for first pre-financings >100.000 EUR per beneficiary and for lower amounts in case the financial capacity of a participant is assessed as weak; except where the beneficiary concerned is a public body or an international organisation (please refer to note 6 for the definitions) - costs of audit reports, where applicable. Audit reports are only requested at the end of the action in case the amount of EU funding exceeds EUR 225.000 <u>per beneficiary</u>, save when the beneficiary concerned is a public body or an international organisation (please refer to note 6 for the definitions). See Article I.5.3 of the model Grant Agreement. <p>How to fill the form?</p> <p>Give a short but clear description of the ‘Other specific costs’ making it convincing that these costs are necessary for the action.</p> <p>Indicate the work package these costs relate to. Costs can only relate to one work package.</p> <p>Where applicable (i.e. printing,) provide the unit costs and the total number.</p> <p>Do not add rows as this destroys the underlying links and formulas. If there are not enough rows, please group some of your costs items and use the text field to separate.</p>

3.2 Worksheet "BUDGET"

This worksheet consists of four tables. Most of the information is taken automatically from the data of the participants through protected links.

The only information which the co-ordinator must fill directly into the budget is:

- the amount of EU funding per participant (column V in Table 2)
- the expected funding from 3rd parties (column Y in Table 2) and
- the names of the work packages (columns AJ-AR in Table 3).

Table 1: Cost summary in EUR

All information is taken automatically from the data of the participants.

21. Indirect eligible costs ("overheads")	<p>Indirect eligible costs are accepted solely with a flat-rate model. The applied rate is related to the direct staff costs and amounts to 60% of the direct staff costs per staff category. The amount is calculated automatically in column N.</p> <p>Indirect costs are intended to cover costs which, with due regard for the conditions of eligibility described in Article II.14.1 of the Grant Agreement, are not identifiable as specific costs directly linked to the performance of the action and therefore cannot be booked to it directly, but which are needed to employ, manage, accommodate and support directly or indirectly the personnel performing the work on the action.</p> <p>The 60% indirect costs do not need to be substantiated.</p> <p>➤ The indirect costs cannot be removed from the application. Where adjustments are necessary they will be done at the negotiation stage.</p> <p>Adjustments might become necessary in two cases:</p> <ol style="list-style-type: none"> 1. Organisations which receive an operating grant from the European Union cannot charge indirect costs for the same duration. 2. Local and regional energy agencies which were established with and are still beneficiaries of EU contributions from the IEE Programme. Their indirect costs are thus already covered for that duration.
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Table 2: Income summary in EUR

22. Requested funding from IEE programme	<p>Please insert the contribution requested from the EU in Euro. The overall funding is limited to 75% of the total eligible costs.</p> <p>As a rule, funding from the EU under the IEE programme can only be granted for participants from Member States (EU-27) and States with a signed association agreement for their participation in the IEE programme. For the actual list of countries with an association agreement please consult the IEE website. Organisations from countries without association agreements cannot be beneficiaries and cannot receive funding.</p>
23. Expected funding from 3 rd parties (public + private)	<p>Please insert the funding you <u>expect</u> from third parties (including other public funding, private funding as well as income from conference fees, trainings or sales of publications etc.).</p> <p>➤ A third party is any organisation <u>outside</u> the consortium. Own co-funding is therefore not 3rd party funding, but is calculated in column X as residuum of total eligible costs minus EU funding and 3rd party funding.</p>

Table 3: Human resources summary

Please insert the names of the work packages. They should be the same as in Part B of the application. All other information is taken automatically from the worksheets with the data of the participants.

Table 4: Financial resources summary

All information is taken automatically from the worksheets with the data of the participants.

➤ Check for inconsistency between Table n°4 "Financial resources summary" and the costs indicated by the participants. Make sure that the work package n° is indicated in the participant data sheet as otherwise the cost item cannot be allocated to work packages and Table n°4 will be wrong.

3.3 Worksheet "A3 FORM"

This worksheet presents a summary of the main budget/resource data per participant and the totals. **You cannot fill out this sheet:** it is protected and fills in automatically based on your data in the worksheets of each participant and budget.

It delivers exactly the data which the Coordinator will need to encode directly into Form A3 of the on-line submission system EPSS.

➤ If you do not respect to use only whole EUR amounts and whole numbers for hourly rates and other costs, rounding differences between the A3 of Part C and the A3 form of the online forms might occur and are accepted.

➤ **In case of discrepancies of the amounts in the online form A3, the A3 worksheet of Part C and the detailed financial information of Part C, the latter prevails.**

V. INSTRUCTIONS FOR THE PROPOSAL ANNEXES

→ Eligibility and Selection criteria

1. Overview:

Type of Annex	For whom?	What to upload?	Annex format for up-load in EPSS	How to name your file?
0. Summary Data Sheet	Co-ordinator	Excel table filled in with project data	XLS	Acronym_SUM
1. Declaration by the applicant (DEC)	Every participant	Scan of signed and stamped form (template provided directly in the on-line system EPSS) ! Should be scanned and uploaded in <u>one single file</u> for all partners	PDF	Acronym_DEC
2. Legal documents (LD)*	Every participant*	Scan of certified copy of your legal documents	PDF	Participant short name_LD
3. Legal entity form (LE)*	Every participant*	Scan of signed legal entity form (download standard form from link given below)	PDF	Participant short name_LE
4. Balance sheets (BS) and Profit and Loss account	<u>Private</u> participants	Scan of certified copy of most recent documents	PDF	Participant short name_BS
5. Simplified financial statement (SFS)	<u>Private</u> participants	Filled out financial statement (template provided directly in the on-line system EPSS) ! Should be uploaded in <u>Excel</u>	XLS	Participant short name_SFS
6. Audit report (AR)	<u>Private</u> participants who ask for more than 500.000 EUR funding	Scan of certified copy of audit report (in national language) which must certify the accounts for the last financial year available	PDF	Participant short name_AC
7. Financial identification form (FI)	Co-ordinator	Scan of signed and stamped financial identification form (download standard form from link given below)	PDF	Participant short name_FI
8. Letter(s) of support (LOS)	Optional	Scan of letter(s) – in <u>one single file</u>	PDF	Acronym_LOS
9. Background documents (max 5)	Optional	Scan of background documents such as feasibility studies SEAP...	PDF	Acronym_BACK_1 Acronym_BACK_2

* *Participants who have a validated PIC do not have to submit 1. Legal documents (LD) nor 2. Legal entity (LE) form.*

Important: For the Annexes, the only possible formats are PDF and XLS. The Annex filename should not contain any special characters or spaces. It can only contain Latin letters (a-z), digits (0-9) as well

as the underscore (_), the dash (-) and the dot (.). The Annex filename(s) must be different from the Part B filename. Those annexes which are per participant, file naming should include the short name of the participant.

2. Instructions:

Recall: These annexes need to be uploaded into the online submission system. Only the coordinator has the permission to upload files. Other participants have to send the required annexes regarding their organisation to the coordinator. However, the other participants can access and download the files.

File size for EPSS:

The average size of each single file to upload (Part B, Part C, Annexes) is of 2 Mb. Do stay below 3 Mb and under no circumstance you should try to upload a file beyond 10 Mb.

Practical advice for converting files into PDF Format:

- Do not use a resolution of larger than 300 DPI.
- Stay in black and white. Colours cannot be reproduced; nuances of grey may be reproduced but should be avoided for legibility purposes.
- Check your PDF in printed form for legibility.

1. Declaration by the applicant [Eligibility criteria – grounds for exclusion, Section 3 of the Call for Proposals]:

- Each participating organisation has to provide the declaration signed and stamped by an authorised representative of the organisation. The template is downloadable on EPSS. It should be printed on letterhead of the organisations concerned.
- The Coordinator should collect all declarations and convert them into PDF format in one single file containing the declarations of all participants.

2. Legal documents* [Eligibility criteria – legal persons, Section 3 of the Call for Proposals]

- Legal documents prove the legal existence of the organisation and that the organisation is established according to the respective national law(s). Legal documents should be coherent with the legal status on Form A2 of the participant data. If the applicable national law requires a registration, a copy of this registration should be included as well. Legal documents can be submitted in national language.
- Documents should be signed 'certified copies' before being scanned¹⁰.

¹⁰ Certification of documents: The purpose of the certification of the requested Balance sheets and profit and loss account and legal documents is to confirm that your copies of these documents correspond to the original. This certification can be given by any authorised person of the participating organisation by stating on the document "Corresponding to the original" and having this statement signed, stamped and dated. In case (some of) these documents have to be published in an Official Journal, the copies do not need to be certified. In case of voluminous documents, only the first page needs to be certified.

- For public bodies (e.g. cities, regions, provinces and municipalities, or governmental institutions, universities...), it is sufficient to provide a certified copy of the resolution, law, decree or decision establishing the body in question, or if not available, any other official document originating from this body (an invoice for example). For cities and municipalities a certified copy of a printed document provided by the city/municipality is sufficient if the header contains the name, address and when applicable the registration number.

** Participants who have a validated PIC do not have to submit Legal documents.*

3. Legal entity form* [Eligibility criteria – legal persons, Section 3 of the Call for Proposals]:

- The legal entity form needs to be filled out by each participant. It is downloadable in all Community languages at the following website:

http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm

- The form should be filled and signed by the authorised representative(s) before converting it into PDF.

** Participants who have a validated PIC do not have to submit the Legal entity form.*

4. Balance Sheets [Selection criterion – financial capacity, Section 4 of the Call for Proposals]:

- All participants - except public authorities and public bodies - should provide their balance sheets for the most recent year that accounts are closed.
- Organisations which according to their national law do not need to establish balance sheet should attach the closest equivalent, e.g. a statement of income and expenditures.
- Newly founded organisations, which do not yet have balance sheets and profit and loss account available, should attach their business plan.
- Documents should be signed 'certified copy' before converting them into PDF.

5. Simplified financial statement [Selection criterion – financial capacity, Section 4 of the Call for Proposals]:

- All participants - except public authorities and public bodies - should fill in excel the simplified financial statement for their organisation. It is downloadable from EPSS. Detailed instructions are provided within the form.
- The files will need to stay in excel for upload!

6. Audit report [Selection criterion – financial capacity, Section 4 of the Call for Proposals]:

- In case a participant - except public bodies - requests EU funding of more than €500 000, an audit report produced by an approved external auditor must be submitted together with the application. That report must certify the accounts for the last financial year available and can be submitted in national language.
- The report should be signed 'certified copy' before converting it into PDF.

7. Financial identification form:

- The financial identification form needs to be filled out by the Coordinator. It is downloadable in all Community languages at:
http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm
- The form should be filled, stamped and signed by the bank and the authorised representative before converting into PDF. As an alternative to signature and stamp of the bank, a copy of the account's bank statement clearly showing the IBAN code can be attached.

8. Letters of support / intent (optional)

- You may wish to enclose letters of support from relevant key actors/ stakeholders supporting your proposal or letters of intent regarding 3rd party co-financing.
- The Coordinator should collect all letters and convert them into PDF Format in one single file containing all letters.
- Please list the organisations giving letters of support in part B, point 4.4 (Involvement of stakeholders).
- Please list the organisations giving letters of intent in part B, point 6.2 (Co-financing sources).

9. Background documents (optional)

- You may wish to enclose the 5 most relevant background documents such as local strategic framework (e.g. SEAP), prefeasibility or feasibility studies, ... to support your proposal, in particular in view of the starting point you described in Part B, section 2.
- The Coordinator should collect those documents and convert them into low-resolution PDF Format. Use single files where possible regarding the final size of the file.
- Please list the background documents in part B, Section 7 (...)

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