INTELLIGENT ENERGY EUROPE

Guide for Proposers v1.0 December 2012

Call for Proposals 2013

Call identifier: CIP-IEE-2013




Promotion / Dissemination Projects: SAVE, ALTENER, STEER and INTEGRATED INITIATIVES*

[CIP-IEE-PROMO-P]

Deadline: **Wednesday 8 May 2013, 17:00** (Brussels local time)

For further information: http://ec.europa.eu/energy/intelligent/

** For MLEI-Project Development Assistance [CIP-IEE-PROMO-PDA] and the BUILD UP Skills initiative [CIP-IEE-PROMO-BWI] please use the separate funding schemes, guides and application forms.*

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 2013

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

0. QUICK GUIDE TO THE ELECTRONIC SUBMISSION SYSTEM OF THE EUROPEAN COMMISSION (WEB APPLICATION)

All proposals must be submitted by the coordinator of the consortium using the web based electronic submission system of the European Commission. To reach the web based system, please use the link given on the Call web page:

http://ec.europa.eu/energy/intelligent/getting-funds/call-for-proposals/how-to-apply/index_en.htm

The link will automatically re-direct you to the relevant funding scheme for your proposal which is located in the 'Research & Innovation Participant Portal' of the European Commission.

To access the system, users must have an account with the European Commission (ECAS – European Commission Authentication Service), as the system does not issue passwords.

To create an account with the European Commission follow this link:

https://webgate.ec.europa.eu/cas/eim/external/register.cgi

Upon accessing the Participant Portal, assistance is available if you have technical problems with the software or simply need help understanding the call. Full instructions are in the User Manual for the electronic submission system which is available in the Participant Portal and there is a help-desk facility details for which can be found both within the system and on the Call web page.

All the data that you upload is securely stored on a server to which only the coordinator and partners in the proposal have access. This data is encrypted until the close of the call. Following the submission deadline, information submitted to the electronic submission system can be reviewed in read-only mode by the coordinator and participants.

The following table highlights the differences in the electronic submission system between a coordinator and partner:

As **co-ordinator** you can:	As **partner** you can:
– Select the Call and 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 and preparing Part B, C and annexes) – Up-load the application documents (Part B, Part C and annexes) – "Submit" the complete proposal	– View the whole proposal – Complete your own section A2 (participant data)

Only the coordinator is authorised to submit the proposal.

Beware: Your proposal consists of a number of parts: namely Part A, Part B, Part C and annexes. Completing the on-line forms and uploading the documents does **NOT** yet mean that your proposal is submitted. Submission is deemed to occur only at the moment when the proposal co-ordinator completes the last step of the submission sequence. If you wait until too near the close of the call to start uploading your proposal, there is a serious risk that you will not be able to submit in time.

➲ Once you have a consolidated version of the proposal, you must press 'submit'. Note that 'submit' only starts the final steps for submission.

- The system performs a limited automatic validation of the proposal. A list of any problems such as missing data, wrong file format or excessive file size will then appear on the screen.
- Submission is blocked until these problems are corrected. When corrected, the coordinator must again press 'submit', making any further corrections, until the system proceeds to the final step: the 'proposal submitted page' where a message indicating that the proposal has been received is displayed.
- The electronic submission system also sends a submission confirmation e-mail to the proposal co-ordinator. Beware: the e-mail can end up in the spam folder or be blocked by the anti-spam system of your organisation.
- An official acknowledgement of receipt will also be sent at a later stage.

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.

→ You must always log on to the system with the same ECAS account – otherwise you will not see your proposal in the system.

→ Use the advantages of the electronic submission system: 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. Beware: for any changes to be included in your submitted proposal you <u>must</u> always complete the last step of the submission sequence.

→ When you work in the electronic submission system: save early and often. The time out of the system is 13 hours, but it is recommended to save your forms regularly. Note that the validation process does not save your forms, you must use 'save and close'.

→ Before you start uploading documents, note:

- File names can only contain Latin letters (A-Z, a-z), digits (0-9), the underscore (_), the dash (-) and the dot (.). They <u>cannot</u> contain any special characters. Spaces will be converted to underscore.
- Part B filename should be: IEE-12-ACRONYM.
- Part C filename should be: IEE-12-ACRONYM-PartC.

Annex Filenames should also follow strict instructions – refer to Section V.

I. INTRODUCTION

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. Which type 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 lead to 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 2013.

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/eco-innovation/index_en.htm)

4. The Executive Agency for Competitiveness & Innovation - EACI

The Executive Agency for Competitiveness & Innovation (EACI, http://ec.europa.eu/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 2007[1], the EACI is in charge of managing parts of the Competitiveness & Innovation Programme.

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. 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:

- Read carefully the Call for Proposals 2013 and the Work Programme of the Intelligent Energy – Europe programme to find out which actions and priorities may be funded, the conditions to apply, the evaluation criteria and how to submit your proposal.
- 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 2013 priorities to make sure the idea behind your action fits.
- Look at the presentations and slides given during the IEE European Info Day (http://ec.europa.eu/energy/intelligent/events/2013/european-info-day_en.htm).
- Read the FAQ on the Call page of the IEE website and do not hesitate to contact the EACI (http://ec.europa.eu/energy/intelligent/contact/index_en.htm) or your IEE National Contact Point (http://ec.europa.eu/energy/intelligent/contact/national_en.htm) in your country for any additional information you may need.
- Subscribe to our News Alerts to automatically receive the latest news and updates.

[1] 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

- Investigate thoroughly the state-of-the-art.
- Build on previous IEE actions: check out the projects area and read our latest news review and project brochures (http://ec.europa.eu/energy/intelligent/projects/index_en.htm).
- Find suitable project partners e.g. with the help of our ManagEnergy partner search page (http://ec.europa.eu/energy/intelligent/call_for_proposals/partner_search_en.htm).
- Refer to background documents related to the IEE programme and the current EU energy policies on renewables and energy efficiency (see section 6).

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

6.1 Documents available at: http://ec.europa.eu/energy/intelligent/

- **Essential for your proposal**: Intelligent Energy - Europe II Work Programme 2013 & Call for Proposals 2013
- **You would like to know the contractual obligations and conditions**: Look at the model Grant Agreement for promotion and dissemination actions of the "Intelligent Energy – Europe" Programme
- **Details on eligibility of cost, 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)

6.2 Other information

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

Check your project idea with the EACI: should you want to check if your idea is addressed by this year's priorities, or to confirm which key action is most appropriate, you can submit a short outline (maximum 1-2 pages) to **eaci-iee-enquiries@ec.europa.eu**. More info available at:

http://ec.europa.eu/energy/intelligent/getting-funds/call-for-proposals/how-to-apply/index_en.htm

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

▼ 13 December 2012

Publication of the call for proposals

The IEE programme publishes annual work programmes which define the funding rules and priorities. The Call for Proposals 2013 implements the 2013 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 2013, 17:00 CET

How do we 'receive' your proposal?

You submit your proposal via the Electronic Submission System of the European Commission. Proposals arriving at the EACI by any other means will not be accepted. Closing of receipt is 17:00 (Brussels local time) on 8^{th} May 2013. 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 2013

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 2013. 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 2013

Information on results of the evaluation

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 2013 - February 2014

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 2014

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 2014

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.

8. Submission deadline and how to submit

Proposals must be submitted using the Electronic Submission System of the European Commission. You can link to the system from the IEE website from where you will be re-directed to the relevant funding schemes in the 'Research and Innovation Participant Portal' of the European Commission. All parts of the proposal (Part A, Part B, Part C and Annexes) must be completed and then submitted via the system. The application forms and templates are available within the electronic submission system.

The deadline for submission is

Wednesday, 8th May 2013 – 17.00 Brussels local time.

9. 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.

Note that, for actions supported by the IEE programme, the project management, reporting and a large part of the communication with the EACI will have to be in English.

10. Checklist for your eligibility criteria

- ❒ Your proposal must be submitted on time.
- ❒ All participants are private or public legal entities.
- ❒ All participants are established on the territories of EU-27 or in countries having taken the necessary steps to join the programme (Norway, Iceland, Croatia, Liechtenstein, and Former Yugoslav Republic of Macedonia - as of December 2012). Up-to-date information on which countries are part of the programme is available on the programme website - please check regularly our website http://ec.europa.eu/energy/intelligent/call_for_proposals/index_en.htm
- ❒ The proposal is submitted by a team of at least three independent entities ("participants") established on the territories of three different countries participating in the IEE Programme.
- ❒ The proposal is complete.
- ❒ The proposal relates to the priorities of the Call for Proposals 2013.
- ❒ All participants have filled in, dated and signed the 'Declaration of applicants' in view of the exclusion criteria.

11. Application Forms ("Which forms to fill?")

The application forms are found in the electronic submission system of the European Commission which can be accessed via the link provided on the IEE web site:

http://ec.europa.eu/energy/intelligent/getting-funds/call-for-proposals/how-to-apply/index_en.htm

From there you will automatically re-directed to the relevant funding scheme for your proposal in the 'Research & Innovation Participant Portal' of the European Commission.

There are 6 basic steps in the electronic submission system. The application forms are found upon reaching Step 5 'EDIT PROPOSAL'. They consist of the following parts:

Encode directly online

- **'Part A' (A1 Content, A2 Participants, A3 Budget):**

  Data must be encoded directly online
  Follow the instructions given directly in the web based system. An overview of how to complete Part A can be found in Section II of this Guide for Proposers and in the system User Manual which is available in the Participant Portal.

Upload 1 PDF file as

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

  1. Download and use the Part B template (RTF format) by pressing 'download templates'.
  2. Continue to use it in RTF or WORD format.
  3. Follow the structure and instructions given in Section III of this Guide for Proposers.
  4. When you have finalised your work programme, convert it to PDF for upload.
  5. Before uploading, double-check that the final PDF version prints out correctly.

Upload 1 PDF file as

- **'Part C' – Detailed Budget:**

  1. Download and use the Part C template (EXCEL format) by pressing 'download templates'.
  2. Follow the instructions given on each worksheet. Additional details are included in Section IV of this Guide for Proposers.
  3. When you have finalised your Budget, convert it to PDF for upload.
  4. Before uploading, double-check that the final PDF version prints out correctly.

Upload a series of PDF/ZIP files as

- **'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 together with the templates for Part B and Part C (above), or from links indicated in this guide. Some of them are based on documents that you will provide directly from your organisation. You will upload them in the electronic submission system in PDF or ZIP format and with a file name as indicated in the instructions in Section V of this Guide for Proposers. Follow the instructions closely. Do <u>not</u> upload any other annexes than the ones required; they will not be evaluated.

→ 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 the electronic submission system – however all participants can view and download the uploaded files
→ The time out of the system is 13 hours, but it is recommended to save your forms regularly

II. INSTRUCTIONS FOR PART A – Online forms

The User Manual of the electronic submission system provides guidance on how to complete the forms. Further description of common nomenclature can also be found in Section C of this Guide for Proposers. The following presents an overview:

✓One on-line form per proposal

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

- You need to choose the topics under which you intend to submit your proposal. You can choose up to three topics, **in the order of their importance** with respect to your proposal. The on-line system works with a numerical key for each topic:

CIP-IEE-2013.1.2	Businesses
CIP-IEE-2013.1.5	Energy Efficiency Services and Obligations
CIP-IEE-2013.1.6	Consumers and products
CIP-IEE-2013.2.1	Electricity from renewable energy sources (RES-e)
CIP-IEE-2013.2.2	Renewable heating/cooling (RES-H/C)
CIP-IEE-2013.2.5	Bioenergy
CIP-IEE-2013.2.6	Renewable Energy Consumers
CIP-IEE-2013.3.1	Energy-efficient transport
CIP-IEE-2013.3.2	Clean and energy-efficient vehicles
CIP-IEE-2013.4.1	Local energy leadership
CIP-IEE-2013.4.3	Mobilising local energy investment - Replication & Capacity
CIP-IEE-2013.4.4	EE and RES in buildings

✓One on-line form per participant

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

✓One on-line form per proposal

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:

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 your organisation must have a PIC. This is a compulsory step - you cannot prepare and submit a proposal, nor can you participate as a partner in a proposal, without having a PIC.

If you do not yet have a PIC this can be obtained from the Unique Registration Facility of the European Commission's Directorate General for Research and Innovation which can be found in the 'Participants Portal' at: http://ec.europa.eu/research/participants/portal/page/myorganisations

You can also search to check if your organisation is already registered or not.

Please see in Section V of this guide the list of annexes to submit when using a non-validated PIC (i.e. a PIC provided by the URF but which is still to be validated).

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

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

- 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.).
- Ensure that you and all your participants have read closely the Call for proposals 2013 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.

1. Summary

→ This section should be a maximum of 1.5 pages

Please give a short summary of your proposal. This summary should be copied into Form A1 of the electronic submission system. Note that Form A1 has two sections, each with a limit of 2 000 characters.

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.

(a) Abstract

The abstract should provide at a glance the reader with a clear understanding of the objectives of the proposal and their relevance to the IEE 2013 work programme, as well as the key steps required to achieve the objectives. It should express the actual benefit to your target audience 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.

(b) Major outputs & expected results

You should list up to 5 key outputs, plus the main impacts (i.e. results) by the end of your action. The information must be coherent with the table "Specific Objectives, Key Outputs, Impacts and Performance Indicators within the duration of the action" as provided in section 6.

2. Overview of the Starting Point of the Proposed Action

→ Award criterion 1 / This section should be a maximum of 5 pages

Proposals often lack a clear analysis of the starting point. Please develop a clear red line from the current situation in the targeted countries/regions with its specific market barriers and needs to your proposed action and expected results.

(a) Common important user needs and market barriers

- What is your overall motivation to start the action?
- What are the important user needs and market barriers to be tackled by this action? (Give a short overview.)

(b) Current situation in the target countries/regions:

- What exactly is the gap, barrier, problem, challenge that you would like to solve and overcome in each of the specific target areas? Why is this action needed in each target country/region?
- What is the current situation in the target areas? Describe the specific market e.g. size, actors, jobs, energy consumption, saving / renewable energy sources potential etc.
- Which previous or ongoing national/regional/local initiatives and measures in the target countries/regions are important to your action? Which available tools will you build on?

Note: Typically, your proposal will address barriers in different geographical markets in Europe. Be specific and describe, where appropriate, the different starting points/advancements/problem environment. Explanations should be provided for all barriers addressed, preferably supported by making reference to relevant studies. Avoid general statements. You should describe in the specific tasks of the work programme how your proposal builds on the results of previous and ongoing initiatives.

(c) Link to relevant actions beyond the target countries/regions:

- What previous or ongoing initiatives, e.g. at EU level or other countries or regions not covered by your action, are important for this proposed action? What are their limitations?
- More specifically, what existing campaigns, tools, guidebooks etc. do you intend to use?

Note: Do not only list the initiatives - explain how your proposal builds on them and illustrate how you will use and take forward the results. Clear references to these initiatives and campaigns, tools, guidebooks should be inserted in the work programme.

(d) In case of follow-up proposals:

Describe how your proposal will build on your previous project, which lessons learned are you taking further. Demonstrate the added value this proposal will bring in addition to the results and impacts of your previous project. Be specific to target areas, if appropriate.

3. Objectives of the Proposed Action

⟶ Award criterion 1 / This section should be a maximum of 2 pages

In this section you need to set the objectives of your action, building on the market needs and barriers identified in the previous section.

Objectives present the overall goal of the action and address identified problems or barriers. You need to set your objectives on two levels (specific and strategic).

Be focused and keep your objectives to a manageable and meaningful number; not more than 3 to 5 objectives at each level (i.e. 6 – 10 objectives in total):

(a) your **specific objectives (during the action):**

- What are you trying to achieve during the life-time of your action, i.e. which change in the market and which effects do you seek to achieve on your target population/market etc.?
- In which way is your action consistent with the IEE call priorities?
- Which contribution will this action make to EU policies and priorities, targets and legislation?

(b) your **strategic objectives (for the longer term - to 2020):**

- What are your expectations from your action until the year 2020 in view of the EU targets, i.e. which longer-term effects on the markets/society can be realistically expected after its successful completion? Remember that your action must include activities to ensure its sustainability and to have an impact after the IEE funding ends.

Note: while in this section you need to set the objectives of your action, in section 6 you will need to present which targets for success you will set and how you intend to evaluate and measure – on the basis of a set of performance indicators with quantified targets - the impact of your action.

4. Target Groups and Key Actors / Letters of Support

⟶ Award criteria 1 and 2 / This section should be a maximum of 2 pages - including the table.

This section is dedicated to your target groups and key actors. Their involvement must be relevant and reflected by specific activities in your work programme, whilst matching the objectives of your proposal. You may wish to provide letters of support from your target groups and key actors. Depending on the topic and the composition of the consortium key actors and target groups might overlap or sometimes could even be the same.

Target groups:	Actors who benefit from the results of your action, now and in the future. A strong engagement throughout the action is necessary. Participation in the consortium is possible.
Key actors:	Actors whose involvement is essential to achieve the results of your action. Note that participants of the consortium are in any case key actors. But there could also be organisations outside the consortium that are necessary for the success of the action and where a close involvement during the action is expected. They can be multiplier organisations (e.g. associations) or facilitators or specific sub-groups of your target groups.
Letters of support:	Letters from relevant target groups and key actors supporting your proposal or demonstrating interest in its results. Provide a list of them in the table below.

(a) Target Group(s):

- Set limits and focus on your essential target group(s). A good practice rule is to have a maximum of 3 target groups, but this will depend on your proposed action.
- Describe how your target group was involved in your proposal preparation.
- List in the overview table below the main group(s) that your proposal aims to reach (e.g. architects, bankers, local policy makers, urban planners, utilities, ESCOs, social housing companies, householders, installers, transport operators, etc.).

(b) Key Actors:

- Limit yourself to the essential key actors
- Describe how your key actors were involved in your proposal preparation. List them in the overview table below.

(c) Letters of support:

- Make sure that these letters are specific to the proposal and that they are concrete about the nature of the involvement/support/interest.
- If not self-explanatory, you should give a short explanation of the profile of the organisation expressing the support.
- The letters should not be from the consortium members (i.e. not from the co-ordinator and the co-beneficiaries).
- Up-load them as an annex in the on-line submission tool (please see Point V – ANNEXES) for further instructions.

Overview Table: Engagement of Target Groups and Key Actors

Summarise this section in the table below.

Note: Although the consortium members may be one of the target groups, do not include them in this table.

(a) Target Group(s)	How will the target group(s) benefit from this action?	Key task(s) number from your work programme	Name of organisation(s) providing a Letter of Support
–			Name of the organisation (and country)
–			
(b) Key Actor(s)	How will the key actor(s) contribute to this action?	Key task(s) number from your work programme	Name of organisation(s) providing a Letter of Support
–			Name of the organisation (and country)
–			

5. Work Programme

→ Mainly Award criterion 2 but also touching all other criteria

The work programme describes the tasks you propose to perform during the course of the action and services/deliverables produced. Keep in mind the specific and strategic objectives of your proposal.

Follow this structure closely, keeping in mind the related award criteria. Please put yourself into the position of an evaluator, who will have to assess the quality of the methodology. Try to be as clear and concise as possible. Explain what you are going to do as well as how you are going to do it.

5.1 Introduction to the Work Programme

This part should be a maximum of 2 pages

(a) Rationale and structure of your work programme: Explain briefly the rationale and structure of the work programme: main phases of the action, logics and links between work packages.

(b) Flow chart of your work programme: Provide a flow chart, showing the logic of your work programme.

5.2 Work Packages

This will be a critical part of your proposal, describing your planned activities. You will need to break them into work packages. Work packages represent major, natural packages of your proposed action. The size should be **about 3-5 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 necessity of the activities as well as the value for money.

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 standard to have between 5 and 10 work packages. Do not exceed 10 work packages.
- Within each work package, illustrate the main tasks needed to reach the objectives of the proposal, describe each of the tasks with sufficient detail.
- When designing the work packages, keep in mind your target groups, key actors and the European added value – how is this translated into tasks and outputs in your work programme?

- The description of 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).
- Outputs should be consistent with the tasks – and vice versa!
- Work packages must show how the tasks are distributed amongst the partners. Note that it is recommended to allocate responsibility for leading the work packages to different partners of your consortium, relevant to their competence.
- "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.

Work Package Template:

Each work package should be described in about 3-5 pages using the following template. Note that the examples outputs and deliverables are for illustration purposes. They come from different funding areas of the IEE programme.

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?
- ✓ Be specific regarding important information necessary to understand the tasks: e.g. what is the scope of the work within each region covered, which type of tool used, how will you undertake a survey (desk, field visits etc), what is covered by an energy plan, which type of audits and how will they be undertaken, which type of events and their participant profiles …
- ✓ Be consistent: your tasks need to reflect your objectives.
- ✓ Be clear on how your activities will directly involve your target groups and obtain feedback from them.
- ✓ Help your partners and the evaluators: avoid use of popular terms (e.g. tool, plan, audit, analysis, etc) without giving a clear definition of them in the context of your proposal.

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: 1000 hours of training on Ecodriving (100 bus drivers trained) in each participating country
- O2: Consumer survey conducted with 3000 consumers
- O3: 6 Regional stakeholders consultations for biomass action plans
- O4: 5 regional seminars organised with 80 participants each (x% local authorities, x% financing institutions, x%...)
- O5: Forums on urban development for local communities in each country (30 in DE / 50 in FR / ...)

! Please insert your key outputs in the table "Specific Objectives, Key Outputs, Impacts and Performance Indicators within the duration of the action" in section 6 of your work programme!

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 list in Section 5.3. Examples:

D1: Ecodriving Training manual for bus drivers
D2: Report on Consumer Survey including an executive summary for media and local authorities
D3: 6 Regional biomass action plans (extended and executive versions)
D4: Seminar reports including main conclusions and feedback analysis
D5: Short publishable & long version of Urban action plans including a Press release

! Please use the same number and name in the 'Overview List of Deliverables' (Section 5.3 of your work programme)

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) of this partner organisation	Related to Task N°

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.

5.2.1 Work Package 1: Management

⟶ Award criterion 5

Describe the **organisational structure and decision-making mechanisms** of the action. Show that they match the complexity and scale of the action. It is recommended to provide a management chart visualising the partners and reporting channels. Describe the management and coordination tasks; whilst designing this work package, address the following important questions:

- How will you work together – internally within the consortium? How will you communicate within the consortium and how will you maintain good communications between the project meetings?
- How will the consortium review and ensure the quality of the work and the results?
- How will you monitor, evaluate and document the impacts of your action via the progress of each of the performance indicators, including the IEE Common Performance Indicators?
- How will you ensure that real trans-national cooperation takes place? (for example: it is not considered trans-national when organisations from different countries only work in parallel on the same issues).
- Have a contingency plan: list the critical steps/moments where the action could fail and how you propose to mitigate these risks (please foresee a risk management task).

Note: Do not underestimate the importance of well-planned internal communication in a team carrying out an action on a European level. In addition to meetings, consider internal project websites, teleconferences and other ICT tools, etc. as possible communication channels. It is recommended to arrange project meetings regularly - at least every six months. The kick-off meeting is very crucial and should take place preferably in the first two months of the action, unless more time is justified to have partners prepared for the kick-off meeting. At the end of the action a meeting should be scheduled to present the results to the EACI.

In addition, at the very beginning of the action, the coordinator should attend a training session organised by the EACI in Brussels.

Where external actors are crucial for the success of the action, the setting up of advisory boards or local support groups could help to ensure their involvement in the management. Where there is no management involvement, work with external key actors should be part of the other work packages.

5.2.2. Work Package 2 –…

5.2.n-1. Work Package n-1: Communication

⟶ Award criterion 2

Professional communication with your target group is key to the impact of your action and to the success of the IEE programme.

It is essential that your proposal includes a tailor-made communication plan. Please make sure that all the proper components for communicating with your target groups are foreseen in this work plan. Describe its individual elements. Beware; loosely listing a series of communication tools will not be sufficient. You should provide deeper insight to the parts that are essential to the success of the action. Please note that during the action the communication plan will need to be further elaborated.

Your plan should be based on the following principles:

- Communicate your messages and your vision: place your target group and objectives at the core of your communication activities.
- Make sure your communication work plan is prepared as professionally as all other work packages. Its implementation will require the skills and expertise e.g. of communication

specialists, editors, web developers, graphic designers etc. You are encouraged to (sub)contract such expertise where appropriate and/or needed.

- Be targeted and focussed – choose your communication tools and channels to fit to the needs/benefits of your target group(s) and key actors.
- Be audience-driven, relevant to the target group and pro-active.
- Communicate right from the start of the action. Moreover, foresee in the work plan sufficient time to disseminate and transfer the action's results.
- Demonstrate links between the other work packages and your communication plan and vice-versa.
- Measure the effectiveness of your communications, e.g. monitor the traffic on your website, plan the evaluation of workshops and trainings, monitor the media coverage, etc.
- Ensure a European visibility, but remain cost-efficient. For example, present your action and results at international events instead of organising your own final "European Conference". Own events will only be accepted in exceptional cases.

Specific note on the webpage of your action:

Each IEE action must set up a website/-page. It must be online within the first 6 months of your action - it must be maintained for at least 2 years after the end of the action.

Please include a specific task for the work on the webpage in this work package. Your planned efforts should foresee that the website/-page will be professional, attractive, user-friendly, and systematically updated and easy to find.

Note that if you decide to outsource your web-design, the estimated costs are to be included under 'sub-contracting'.

5.2.n. Work Package n: IEE Common Dissemination Activities

The EACI foresees dissemination activities 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.

Another branch of the IEE common dissemination activities aims to improve the performance of the actions by enhancing their communication and management capacities, i.a. through specific workshops.

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

These contributions 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 about 100 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. This work package does not replace your own communication work package (see previous section), but it is complementary to it.

N° of work package:	IEE Common Dissemination Activities
Duration in months: [= Duration of the action]	[Participating organisation which will be leading this work package]

I. Description of the work:

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.

b) Tasks

1. Contribution, upon request by the EACI, to the development of information material (Intelligent Energy Europe Magazine, videos, images etc.), as well as inputs to European portals and databases in the quality and form specified.
2. 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.
3. Delivery, upon request by the EACI, of an update/further input of the action's contribution to the "IEE Common performance indicators"

II.a. Outputs of this work package:

- Delivery of agreed presentation materials and media tools
- Participation in events, such as contractor's workshops, conferences etc.

II.b. Deliverable(s) of this work package:

- To be agreed specifically at the time of the request.
- Set of updated IEE Common Performance indicators including their baseline and assumptions for extrapolation

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.

Partner	Task(s) of this partner organisation	Related to Task N°

5.3 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 your deliverables to a manageable number and do not include minor sub-items (such as invitations to workshops) or internal working papers (such as internal coordination reports). Similar deliverables for several countries should be grouped, where appropriate.
- A Result-Oriented Report is required. This report is the main document to inform the target groups about the achievements of the action. It presents results, lessons learnt and impacts.
- Concerning the dissemination level, it is expected that all deliverables will be publicly available and free of charge for potential users. If appropriate, the dissemination of some deliverables could be limited to a target group, but please justify. Should you wish exceptionally to define a deliverable as confidential, you must provide a justification. In exceptional cases, deliverables can be offered for sale but it must be clearly justified. Revenues must be budgeted and by no means may the action generate profit. Justifications are to be given in the relevant work package.
- The table "Overview of deliverables" and the "Schedule" must indicate the month of completion of the deliverable; for public deliverables (PU) this should coincide with their availability e.g. for distribution via the website/mail shot/press releases etc.
- Note that the technical progress reports (PR), interim reports (IR) or final reports (FR) for the EACI, as well as deliverables from the IEE Common Dissemination Activities, do not need to be included in the List of Deliverables.

Overview of Deliverables

Work Package	Deliverable N°	Deliverable name [a)]	Type of deliverable [b)]	Format [c]	Language(s) [d)]	Target group [e)]	Lead participant [f)]	Dissemi-nation level [g)]	Month of completion [h)]
WP1	D1.1								
	D1.2								
	D1.n	Result-Oriented Report [i)]							
WP2	D2.1								
	D2.2								

a) Please use the same deliverable name as indicated in the work package descriptions in section 5.2. of 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 specify each language in which the deliverable will be available - indicating ‘all’ or ‘national’ is not sufficient.

e) Please indicate the specific target group for each deliverable. The target groups indicated should be consistent with section 4 of your work programme. Indicating 'all' is not sufficient.

f) Name the participant of your consortium who will lead the preparation of the deliverable.

g) 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)

h) 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.

i) Each IEE action must produce a (Final) Result-Oriented Report. Its form and shape can vary depending on the nature of the action. It must be delivered to the EACI with the Final Report.

5.4. Schedule of activities

- Show the time schedule for your action - adapting the template below to your needs (here an example for a 30-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 2014, January 2015.
- Break down the planning of the work packages on the level of tasks, in order to make this chart meaningful.
- Schedule carefully and foresee sufficient time towards the end of the action to effectively disseminate and transfer your results.

Schedule of activities

(Template for a 30-month action - Please adapt as appropriate)

Phase / Duration of the action (in 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
Work package 1: Management																														
Work package 2: Name																														
Work package 2: Task 2.1.name																														
Work package 2 - Task2.2.name																														
Work package 3 – Name																														
Work package 3: Task 3.1.name																														
Work package 4: Name																														
Work package 4: Task 4.1.name																														
Etc….																														
Work package n-1: Communication																														
Work package n: IEE Common Dissem. Activities																														
Project meetings [a)]	x					x						x						x						x					x	
Workshops / events									w						w							w					w			
Project reports to EACI [b)]										PR									IR											FR[c]
Project Information Sheet & Slides to EACI		X								X									X											X
Project Webpage/site creation and update						X																								
Project deliverables [d)]							D1.1 D2.1 etc.			D3.1																				

[a)] It is recommended to hold consortium meetings about every 6 months. A kick-off meeting should take place in the first 1-2 month(s). A final meeting should be foreseen to present the results to the EACI.

[b)] According to the model Grant Agreement the minimum number of reports to EACI:

- 1-2 Progress reports (PR; the number of progress reports depends on the duration of the action).
- 1 Interim report (IR – technical and financial),
- 1 Final report (FR – technical and financial) at the end of the action, accompanied by a final Result-Oriented Report.

Please be aware that submission deadlines for the three types of reports have to be indicated in this time schedule, whereas the period covered is fixed in the grant agreement (PR/IR within 1 month after the end of the period, FR at the latest 2 months after the end of the period). The submission deadline of the interim report is to be proposed by the contractors, bearing in mind that it should represent a substantial advancement of the works performed. It is recommended to set the end of the interim period when about 50-60% of the works will have been accomplished.
Examples of submission deadlines (depending on the duration of the action):
24-months-action [month]: PR: 7; IR: 14 **/** 30-months-action [month]: PR: 10; IR: 19 / 36-months-action [month]: PR: 10, 28; IR: 19

[c)] The Final Report will be due at the latest 2 months after the end of the action (in this 30 month example: at the end of month 32). Only costs related to the preparation of the Final Report and to an audit certificate (where applicable) are eligible during these 2 months. Note: the Final Report can of course be submitted immediately at the end of the action.

[d)] Please ensure that the deadlines indicated in the List of Deliverables and the Schedule are consistent.

6. Impacts and Performance Indicators

→ **Award criterion 3**

In this section you need to present how you intend to evaluate and measure the impact of your action. The impacts are directly linked to the objectives (presented in section 3) and to the outputs of your action (presented in section 5).

You need to assess the expected impact based on a bottom-up approach: when you assess the impacts caused by your action, you should consider them within the entire value chain (as explained in the flow chart and tables below):

Objectives → outputs → impacts and indicators to measure them

(a) Overview tables with key outputs, impacts, performance indicators and targets

To complete the tables, please use assumptions which are best fitted to the specific environment that you will be addressing. Build on your specific and strategic objectives. Explain your assumptions and extrapolations e.g. per country / region / partner, as appropriate.

In order to assess the **changes** caused by your action it is important to understand the relation between its inputs, activities, outputs, impacts, performance indicators and targets.

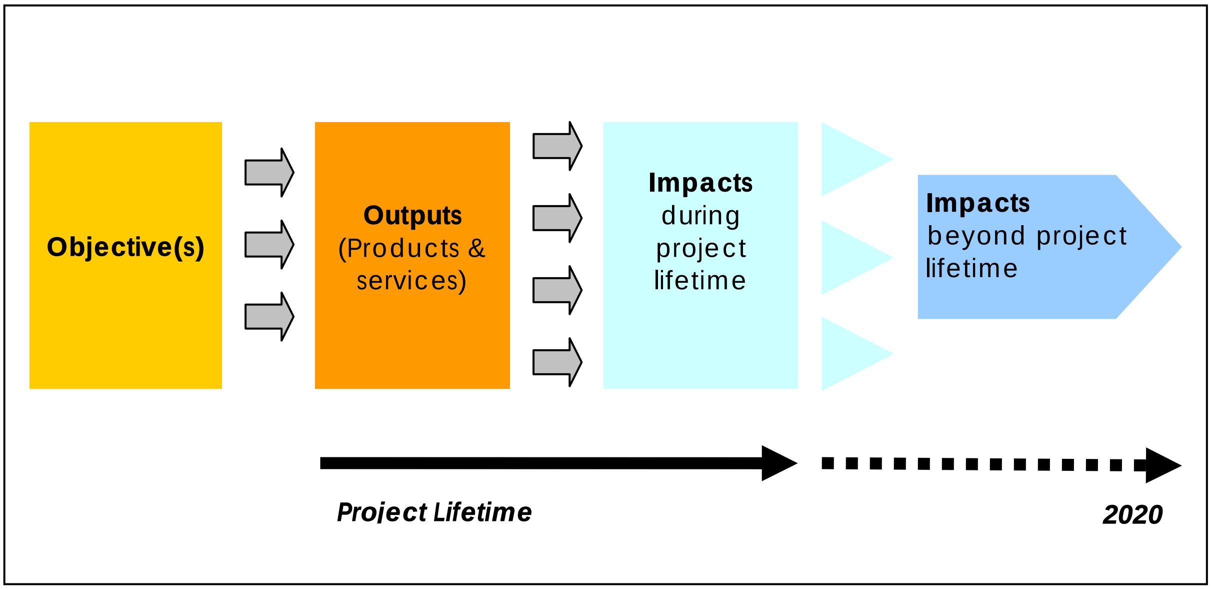
- **Inputs** are the resources required to deliver your action. These are set out in Part C of your proposal.
- **Activities** are the tasks or processes undertaken. These are set out in the work packages in Section 5 'Work Programme' of your proposal.
- **Outputs** are the direct products and services that your action will deliver. They include material deliverables (e.g. brochures, reports, CD ROM) as well as services provided (e.g. hours of training, number of people taught). However, usually they say very little about the actual effect of the action or benefits to your target group.
- **Impacts** are identifiable changes which demonstrate the extent to which your activities have an effect on your target group.

  These changes – the impacts of your action - can take place during its lifetime (**specific impacts**) or beyond its lifetime (**strategic impacts**), and come under the following five fields of delivery:

  - Creating favourable market conditions
  - Shaping policy development and implementation
  - Preparing the ground for investments
  - Building capacity and skills
  - Informing stakeholders and fostering commitment

- **Performance indicators** should be used to determine the success of your action in reaching its objectives and creating an impact. Describe these performance indicators in the tables below and **quantify them** – with **targets -** to measure the impacts of your action. The performance Indicators should be SMART (specific, measureable, achievable, relevant and time-bound).
- The changes caused by your action include **quantifiable energy-related impacts** both within the duration of the action and beyond its lifetime, known as **IEE Common performance indicators.** These are the **sustainable energy investments** triggered, **renewable energy production**, **primary energy savings**, and **reduction of greenhouse gas emission**, demonstrating the contribution to the EU energy targets.

You need to provide an **estimation** of the IEE Common performance indicators**, based on robust assumptions and a credible baseline**. For the longer term impacts, you must provide an extrapolation up to 2020. Take account of market potential and trends, the triggering effect of your promotion and dissemination activities, and the 'snow-ball effect'. Your action should at least induce positive developments towards the strategic objectives – even if fully achieving them will usually also depend on other factors.



- **Specific Objectives, Key Outputs, Impacts and Performance Indicators <u>within the duration of the action</u>:**

Specific Objective(s) of your proposal	➡	<u>Key</u> Outputs (products and services) including their quantification where appropriate	Work package(s)	➡	Impacts, with SMART performance indicators and <u>quantified targets</u>	Means of monitoring the achievement of your targets
1. please copy the specific objectives from section 3.a	➡	▪ ▪ ▪		➡	▪	
2. please copy the specific objectives from section 3.a	➡	▪ ▪ ▪		➡	▪	
3. please copy the specific objectives from section 3.a	➡	▪ ▪ ▪		➡	▪	
4. please copy the specific objectives from section 3.a	➡	▪ ▪ ▪		➡	▪	

- **Strategic Objectives and Long-term impacts <u>beyond the duration of the action until 2020</u>:**

Strategic Objective(s) of your proposal		Expected impacts by 2020
1. please copy the strategic objectives from section 3.b	➡	▪
2. please copy the strategic objectives from section 3.b		▪
3. please copy the strategic objectives from section 3.b		▪
4. please copy the strategic objectives from section 3.b		▪

Example 1:

Specific Objective(s) of your proposal	Key Outputs (products and services) including their quantification where appropriate	Work package	Impacts, with SMART performance indicators and quantified targets	Means of monitoring the achievement of your targets
1. To promote the wood energy contracting model, and to facilitate agreements between parties for wood heating plants.	▪ Promotion of energy contracting model across participating countries ▪ 42 workshops on biomass for heating ▪ 33 study tours to relevant biomass supply chains or heating plants ▪ 72 one-to-one meetings to foster agreements on wood heating plant installation	WP 2	▪ 45 new wood-energy plants, corresponding to ± 15 MW_{th} established thanks to the action support ▪ Minimum of 1.350 uses of the "advisory tool", which gathers relevant information on successful cases of wood-energy plants	▪ Agreements for wood energy plants in place ▪ Downloads of tool and feedback form from users
Strategic Objective(s) of your proposal			Expected impacts by 2020	
1. A more stable and active engagement of the agricultural & forestry sectors (farmers, forest owners, forest entrepreneurs) into the EU bioenergy market, based on a sustainable forest and agricultural management			▪ Annually, 3% of informed actors decide to enter into wood-energy business, corresponding to 15 wood energy plants established and 5 MW_{th} of additional capacity installed	

Example 2:

Specific Objective(s) of your proposal	Key Outputs (products and services) including their quantification where appropriate	Work package	Impacts, with SMART performance indicators and quantified targets	Means of monitoring the achievement of your targets
1. To test and launch a new energy advice service to help householders optimise their electricity consumption	• Tests on 10,000 households • Specific energy advice service up and running • Training of 50 energy service providers	WP 2 WP 3 WP 4	▪ At least 80% of targeted households implementing low/no cost recommendations resulting into: ▪ 300 kWh/year of electricity saved in average per household (200 Toe/year in total)	▪ Comparative walk-through energy audits at the beginning and at the end of the action
Strategic Objective(s) of your proposal			Expected impacts by 2020	
1. To reduce householders' electricity consumption through tailored advice			▪ After the end of the project, the energy advice service ensured sustainable operation based on a mixture of financing sources ▪ Annually, the energy advice service grows by 20% and after two years, the service is expanded to additional 5 countries	

(b) IEE Common performance indicators:

This section should be a maximum of 2 pages - including the table

You need to estimate the energy-related impact of your action, within its duration and by 2020 using a set of performance indicators, which will be common to all IEE actions.

The figures you provide need to be consistent with the aim of your action, i.e. if it triggers investment for renewable energy and energy saving, both rows should be filled in. On the contrary, if the proposed action results solely in the production of energy from renewable sources, the row related to primary energy savings should be left blank.

Overall objective	Target within the action duration :	Target by 2020:
To contribute to the EU 2020 targets on energy efficiency and renewable energy sources	▪ xxx Cumulative investment made by European stakeholders in sustainable energy (Euro)	▪ xxx Cumulative investment made by European stakeholders in sustainable energy (Euro)
	▪ xxx Renewable Energy production triggered (toe/year)	▪ xxx Cumulative Renewable Energy production triggered (toe)
	▪ xxx Primary energy savings compared to projections (toe/year)	▪ xxx Cumulative Primary energy savings compared to projections (toe)
	▪ xxx Reduction of greenhouse gas emissions (t CO_2e/year)	▪ xxx Cumulative Reduction of greenhouse gas emissions (t CO_2e)

Explain in a concise, yet robust, manner your baseline, benchmarks and assumptions for the extrapolation:

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

- justification should be provided for all assumptions used, preferably substantiated making reference to relevant studies;

- try to use only one methodology: not different methodologies for each partner, region or country (the extrapolation should preferably be prepared by one partner);

- your extrapolation must relate to this action only, the impact of other initiatives should not be taken into account (do not provide sector related, national, or European targets);

- regarding the conversion from final energy consumption into primary energy consumption: for savings in kWh electricity you may apply a default coefficient of 2.5 reflecting an estimated 40% average EU generation efficiency. You may apply a different coefficient at national/ regional level provided that it can be justified.

- data needs to be given in the requested units i.e. tonnes of oil equivalent per year (**toe/year**) for primary energy savings and Renewable Energy produced and tonnes of CO_2 equivalent per year (**t CO_2e/year**) for greenhouse gas emissions savings. If needed the IEA energy unit converter can be used to do the necessary conversions (http://www.iea.org/stats/unit.asp);

7. EU Added Value

→ **Award criterion 4 / This section should be a maximum of 2 pages.**

This section needs to explain briefly why it is important that your action is carried out on the European level compared to a series of local, regional or national actions. In this section you need to explain the rationale behind each of the three sub-criteria:

(a) Evidence of the benefit of EU collaboration: What will be the added value of this European collaboration compared to separate local or national actions? Is this collaboration clearly demonstrated in the specific activities of your work programme?

(b) Geographical focus: What are the exact target areas (countries, regions, etc) that your action is addressing? Why did you choose this particular focus? How is this choice in line with the action's objectives?

(c) Transferability: What are the potential and the conditions for transferring the results to those parts of the EU which are not directly covered by your proposal? What are your plans and activities in your Work Programme to initiate this transfer?

Please note that this section of your proposal should be concise. The award criterion 4 "EU Added Value" is also evaluated based on Section 8 (Composition and Rationale for the Consortium) and on the work programme as described in Section 5.

8. Composition and Rationale for the Consortium

→ Award criterion 4 and 5 / This section should be a maximum of 2 pages – including the table.

(a) List of Participants:

Please provide the following list of participants:

Part. N°	Participant name	Short name	Country code	Profile of the organisation*	Main role in the Consortium**
CO1					
CB2					
CB3					
CB4					
CB5					
CB6					
CB7					
CB8					
etc.					

** Please indicate the type of organisation, for instance Public authority (National, regional, local), energy Agency, ESCO, consumer association, bank, consultancy, industry, housing association etc. [be aware, this is a non-exhaustive list]*

*** Please provide the main role/expertise offered by each partner (e.g. communication expert, technical expert, training provider, financial engineering, policy expert, market actor, etc.). Do not use work package numbers, tasks numbers, WP leader, etc.*

(b) Rationale for the composition of the consortium:

- Explain why you have formed this specific consortium;
- Outline the role and added value of each participant;
- Explain how the composition of the consortium matches the objectives of the action;
- Describe how they are suited, and committed, to the tasks assigned to them.

The contribution of other important key actors, which are not part of the consortium but committed to the action and to play a role in it, should also be briefly highlighted here.

9. Co-financing Sources

→ Award criterion 5

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

a) In the case that you are proposing to use internal (own) resources, explain clearly the rationale/motivation behind this decision specifically for each partner;

b) In the case that 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.

Participant	Co-financing source	Comments related to case a) or b) above
CO1		
CB2		
CB3		
CB4		
CB5		
CB6		
CB7		
CB8		
...		

10. Description of Each Participant

⟶ Selection criteria and Award criterion 5

This information is vital to assess the technical capacity of the applicants and the organisation of the team. Sections 10.1 to 10.2 are to be completed for each participant – they should also be completed for major subcontractors. They must be specific to this proposal.

10.1 Description of the organisation and the key personnel

(a) Description of the organisation (a maximum of a ½ page per organisation)

Provide a short description of each participating organisation. This description should highlight the 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 (IV. Role of each partner) to the member that you foresee to perform the task, if already known.

(b) 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. Depending on the size and the complexity of the action, a limited number (1-2 staff members per organisation) of additional key personnel whose competences are needed to perform the action can be added.

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

*: e.g. Senior expert, Expert, Junior Expert / **: 1 paragraph per person

10.2 List of most relevant actions

List for each participating organisation a selection of 5 relevant and recent actions directly related to the proposed action, first priority to national actions, second to EU actions. If your action is a follow-up or largely builds on a previous action, please describe in Section 2 of your Part B how you will use the results.

Action (not more than 5 items per organisation)	**National or local/regional or European**	**Year of finalisation**	**Budget involved for your organisation**	**Website**
▪				
▪				
▪				
▪				
▪				

IV. INSTRUCTIONS FOR PART C - THE DETAILED BUDGET

→ **Award criterion 5**

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 up to a maximum of 75% of the eligible costs.

For details, see the guidelines below. More details can be found in the Financial Guidelines for the IEE Call 2013, which will be available in early 2013 at the following link:

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.19.1 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 in the period of duration of the action as set out in article I.2.2,with the exception of costs relating to the request for payment of the balance and the corresponding supporting documents referred to in Article II.23.2;*
- *they are indicated in the estimated budget of the action set out in Annex III;*
- *they are incurred in connection with the action as described in Annex I and are necessary for its implementation;*
- *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 with the usual cost-accounting practices of the beneficiary;*
- *they comply with the requirements of applicable tax and social legislation; and*
- *they are reasonable, justified and comply with the requirements of sound financial management in particular regarding economy and efficiency.*

Furthermore Article II.19.2 and Article II.19.3 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 for the IEE Call 2013 will be available in early 2013 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.19.4 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,
- costs of transfers from the Commission charged by the bank of a beneficiary,
- costs declared by the beneficiary in the framework of another action receiving a grant financed from the Union budget (including grants awarded by a Member State and financed from the Union budget and grants awarded by other bodies than the Commission for the purpose of implementing the Union budget); in particular, indirect costs shall not be eligible under a grant for an action awarded to a beneficiary who already receives an operating grant financed from the Union budget during the period in question,
- excessive or reckless expenditure,
- contributions in kind from third parties,
- Deductible VAT.

2. Set-up and content of Part C

Part C is set up as a spread sheet (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. It is provided in two versions for different sizes of consortia:

	Version 15	**Version 35**
N° of participants	For up to 15 participants (sufficient for most cases)	For up to 35 participants

The use of the Part C template is obligatory. It is provided for download in the electronic submission system. Note that there are 6 basic steps in the electronic submission system; the templates are found upon reaching Step 5 'EDIT PROPOSAL'. They can be obtained by pressing 'download templates'. 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 spread sheet (the unlabelled grey-coloured cell between column A and row 1). By that the whole spread sheet 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 Form A3 in the electronic submission system.
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 C and Annexes" section of the electronic submission system.

➲ **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 deductible 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 form A1 of the electronic submission system.
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 the electronic submission system.
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	Please select one of the following options: - 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. <u>Bodies that declare their status as public must comply with the following criteria</u>: ➢ 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.
7. Country code	Select the participant's country code from the provided drop-down list.
8. Number of productive hours per month	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: 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 Productive hours/year (215 days x 7,5 hrs/day) 1613 hrs Productive hours/year (215 days x 8 hrs/day) 1720 hrs 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
9. Only for associations with members or companies with affiliates	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. 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. Costs of the members/affiliates should be included under the various cost categories of the participant ➢ the member's/affiliate's staff costs under "*Direct staff costs*"; ➢ its subcontracting costs under "*Subcontracting*"; etc. ➢ Furthermore, for members of an association, the participant (association) in section 9 of Part B (detailed description of the action) shall 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. Furthermore, for affiliate(s), the participant ('Mother Company'), in section 9 of Part B (detailed description of the action) shall: ➢ 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. You should also add, where appropriate, a remark related to the relevant member(s)/affiliate(s) in each work package description *("Role and contribution (tasks) of each partner in this work package")* of Part B of the proposal.
10. Category of staff to work on the action	Identify each category of staff in a clear and unambiguous manner. **Apply the staff categories used in your organisation**. Under staff costs you may charge only staff directly working on the implementation of the action. Such persons must be - 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. 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). 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. ➲ Examples of staff categories: project manager, senior expert, junior expert, technician, in-house consultant, etc. ➲ ***In-house consultants*** deliver 'external services' and are in principle to be considered under the 'subcontracting' cost category. Similarly, persons delivering services under ***'civil contracts'*** (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. However, if the criteria listed below are fulfilled (in addition to the general eligible cost criteria of the grant agreement): costs of consultants (i.e. natural (physical) persons) who join the beneficiary's project team may be classified under staff costs, regardless of whether the consultants are self-employed or employed by a third party. Similarly, the costs of persons with civil contracts who join the beneficiary's project team may be classified under staff costs, subject to the same criteria. ***THE CRITERIA :*** (1) The consultant/person has a contract to work for the beneficiary and (some of) that work involves tasks to be carried out under the IEE grant agreement (2) The consultant/person works under direct instructions/supervision of the beneficiary (3) The consultant/person works in the premises of the beneficiary as a member of the project team

	(4) The output of the work belongs to the beneficiary (5) The 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** of the same category working under a labour law contract for the beneficiary (6) Travel and subsistence costs related to the participation of the consultant/person in project meetings or other travel relating to the project is 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. (7) The consultant/person MUST be a user of the beneficiary's infrastructure (i.e. user of the 'indirect costs') 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.
11. Hours on the action	Sum of hours per staff category. Automatically added from the table in which the hours per staff category are allocated to work packages (see note 16).
12. Hourly rate	Based on annual gross remuneration (=gross salary or wages plus obligatory social charges) divided by the number of productive hours per year. 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. ➲ 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.
13. Direct Staff Costs	Multiplication of the hourly rate and the hours budgeted per staff category.
14. Total hours on the action	Sum of the hours per participant. This amount is taken into column G of the budget.
15. Total direct staff costs	Sum of the direct staff costs per participant. This amount is taken into column H of the budget.
16. Allocation of staff hours/costs to work packages	Estimated hours needed for each staff (categories) to work packages. 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. ➲ 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 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 and II.10). 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 becomes a beneficiary to the grant agreement. - beneficiaries who issue subcontracts have to pay 100% of the subcontractors' invoice. Services normally included under 'Subcontracting' are : - Website development - Interpretation services, - Consultancy services, etc. Travel costs for subcontractors are to be included under subcontracting costs. Work to be subcontracted must also be indicated 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) project meetings, training, dissemination workshop, 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 (long distance) travel costs 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 (which are 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 equipment/Description of the equipment	This category applies only for depreciation costs of equipment or other assets (new or second hand) as recorded in the accounting statements of the beneficiary, provided that the asset has been purchased in accordance with Article II.9. and that it is written off in accordance with the international accounting standards and the usual accounting practices of the beneficiary; the costs of rental or lease of equipment or other assets are also eligible, provided that these costs do not exceed the depreciation costs of similar equipment or assets and are exclusive of any finance fee.

	Only the portion of the equipment's depreciation, rental or lease cost corresponding to the duration of the action and the rate of actual use for the purposes of the action may be taken into account. By way of exception the full cost of the purchase of equipment might be eligible, where justified by the nature of the action and the context of the use of the equipment or assets. 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 exceptional circumstances and only with prior agreement of the EACI. Costs of items that are considered 'consumables' (if purchased in accordance with Art. II.9) should be included in the 'Other cost' category. How to fill in the form? 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. Please describe the use of the equipment clearly and convincingly in the related work package in Part B of the application. 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. Equipment costs must be capitalised in the books of the participant, according to the national accounting rules. The costs to be charged to the action shall be calculated according to the following formula: (A/B) x C x D 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
20. Other specific costs/Description	‘Other specific costs’ should be costs that cannot be included under any of the previous cost categories of direct costs but are purchased in accordance with Art. II.9. Examples: - costs related to the organisation of trainings and 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 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 325.000 per beneficiary, 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. - Translation costs - Costs of financial support to third parties within the meaning of Article II.11 (only after explicit approval of EACI). How to fill the form? Give a short but clear description of the ‘Other specific costs’ making it convincing that these costs are necessary for the action.

	Indicate the work package these costs relate to. Costs can only relate to one work package. Where applicable (i.e. printing,) provide the unit costs and the total number. **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.

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")	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. Indirect costs are intended to cover costs which, with due regard for the conditions of eligibility described in Article II.19.1 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. The 60% indirect costs do not need to be substantiated. ➲ The indirect costs cannot be removed from the application. Where adjustments are necessary they will be done at the negotiation stage. Adjustments might become necessary in two cases: 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.

Table 2: Income summary in EUR

22. Requested funding from IEE programme	Please insert the contribution requested from the EU in Euro. **The overall funding requested for promotion and dissemination actions is limited to 75% of the total eligible costs.** 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.**
23. Expected funding from 3rd parties (public + private)	Please insert the funding you expect from third parties (including other public funding, private funding as well as income from conference fees, trainings or sales of publications etc.). ➲ A third party is any organisation outside 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.

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

(a) Overview:

Type of Annex	For whom?	What to upload?	Annex format for upload	How to name your file?
1. Declaration by the applicant (DEC)	All participants	Scan of signed and stamped form (template provided directly in the on-line system) ! Should be scanned and uploaded in <u>one single file</u> for all partners	**1 <u>single</u> PDF file**	**Acronym_DEC.pdf**
2. Administrative Documents	! To be zipped into 1 single zip file		**Provide in 1 single ZIP FILE:**	**ACRONYM_ADMIN.zip**
a. Legal documents (LD)*	COORDINATOR*	Scan of certified copy of your legal documents	PDF	Coordinator short name_LD
b. Legal entity form (LE)*	COORDINATOR *	Scan of signed legal entity form (download standard form from link given below)	PDF	Coordinator short name_LE
c. Balance sheets (BS) and Profit and Loss account	COORDINATOR <u>if private</u> participants	Scan of certified copy of most recent documents	PDF	Coordinator short name_BS
d. Simplified financial statement (SFS)	COORDINATOR <u>if private</u> participants	Filled out financial statement (template provided directly in the on-line system) ! Should be uploaded in <u>Excel</u>	XLS	Coordinator short name_SFS
e. Audit report (AR)	<u>Private</u> participants who ask for more than 750.000 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
f. Financial identification form (FI)	COORDINATOR	Scan of signed and stamped financial identification form (download standard form from link given below)	PDF	Coordinator short name_FI
3. Letter(s) of support (LOS)	Optional	Scan of letter(s) – in <u>one single file</u>	**1 <u>single</u> PDF file**	**Acronym_LOS.pdf**

**** Coordinators who have a validated PIC <u>do not have to submit</u> 1. Legal documents (LD) nor 2. Legal entity (LE) form.***

<u>Important</u>: For the Annexes, the only possible formats are PDF and ZIP. The Annex filename should not contain any special characters. It can only contain Latin letters (A-Z, a-z), digits (0-9) as well as the underscore (_), the dash (-) and the dot (.). Spaces will be automatically converted to underscore during the upload process. The Annex filename(s) must be different from the Part B filename.

(b) 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.

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 from the electronic submission system. It should be printed on the 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 scanned[2].
- For public bodies (e.g. cities, regions 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.

** Coordinators who have a validated PIC <u>do not have to submit</u> 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 the coordinator. It is downloadable for all Community languages at the following website:

  http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm#en.
- The form should be filled and signed by the authorised representative(s) before converting it into PDF.

** Coordinators who have a validated PIC <u>do not have to submit</u> the Legal entity form.*

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

- The coordinator - except when a public body - 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.

[2] 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.

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

- The coordinator – except when a public body - should complete, in excel format, the simplified financial statement for their organisation. It is downloadable from the electronic submission system, together with the other templates. Detailed instructions are provided within the form.
- The file must be uploaded as a zipped excel file **-** i.e. you must add your excel file to a ZIP file 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 €750 000, 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. Alternatively 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, Section 4 (Involved organisations).
- Please list the organisations giving letters of intent in Part B, Section 9 (Co-financing sources).

Recall: File size for the electronic submission system

The average size of each single file to upload (Part B, Part C, Annexes) is of 2 MB. You are requested to please try to stay below 3 MB. The system has a 10MB limit for each file, except for the annex containing letters of support which has a 20MB limit.

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.

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