

PROJECT ASSESSMENT CRITERIA AND METHODOLOGY

Energy Programme in Romania

Call for Proposals, Small Grant Scheme 2 (SGS2)

Energy Audit

Focus area: Energy Efficiency

Updated 22.01.2019

1. Assessment methodology

This document presents information about the assessment process that will be conducted by Innovation Norway as the Fund Operator. Project applications will be assessed by the Fund Operator who bears the responsibility for the handling of the applications and the project selection. The assessment will be based on a combination of appraisal methods as presented in section 2 of these Project Assessment Criteria.

ADMINISTRATIVE AND ELIGIBILITY CHECK

The Fund Operator will check the fulfilment of administrative conformity and eligibility criteria based on the information included in the Electronic Application Form and in the attachments to the Electronic Application Form, as they were requested in this Call for Proposals.

If any shortcomings are found related to criteria included in the section called ADMINISTRATIVE CHECK, the Fund Operator will revert to the Applicant to verify if there is any misunderstanding in the provided information. The Applicant will be given 10 working days from the Fund Operator's notification to submit missing information/complete documentation. Applications filled in a language other than English language will be automatically rejected.

All applications meeting the administrative criteria and the eligibility criteria, will be subject to full assessment organised by the Fund Operator. A "no" assessment corresponding to any of the criteria will disqualify the project application from further assessment and will lead to the rejection of the application. A letter to the Applicant will indicate the main reason for rejection. The rejection decision is final and will be communicated to the Applicant via e-mail, using the e-mail address indicated in the Electronic Application Form under the section "Contact person".

TECHNICAL AND FINANCIAL ASSESSMENT

Applications which fulfil administrative and eligibility criteria will be further assessed by experts from the Fund Operator. The experts shall evaluate the projects against the selection criteria contained in present Call for proposals. If necessary, the Fund Operator may use external expertise on a case by case basis.

The financial and technical assessment criteria presented below will be scored in a rating from 0 (zero) to 6 (six) points, where 0 is the lowest (a criteria is not fulfilled at all but the project could still be considered for funding) and 6 is the highest score. The scoring will constitute a basis for an assessment profile and will be used to rank the projects. Each of the assessment criteria may be a critical success factor, a factor that can jeopardize the whole project.

The result of the experts' assessment shall be a ranked list that forms the basis of the Fund Operator's Selection Committee's discussion. The Selection Committee will make the decision to reject or approve the applications and decide on the ranking of approved applications. Prior to the Fund Operator's final decision, the FMO, the Programme Partners and the National Focal Point will be provided with the ranked list and reasonable time to give their input to the Fund Operator.

In case of decision to approve the application, the Applicant will first be informed about the decision via e-mail. Thereafter, the Applicant will receive a Project Contract containing the Grant Offer Letter, contractual conditions, approved project budget, maximum grant rate and amount, and the expected outcomes from the implemented project.. Specific issues may be subject to further formalisation in the Special Conditions of the Grant Offer Letter.

DOCUMENTARY EVIDENCE

For each criterion that will be assessed, the Fund Operator will check information included in the sections from the Electronic Application Form and in the mandatory documentation attached to the Electronic Application Form. Please note that specific attachments " will be mandatory for submission by the Applicant if they are listed in this Call for Proposals. During the assessment process, the Fund Operator reserves the right to request clarifications and further documentary evidence as may be necessary.

2. Project Assessment Criteria

	CRITERION	DOCUMENTARY EVIDENCE	APPRAISAL METHOD
	ADMINISTRATIVE CHECK		

1	The Electronic Application Form has been filled in according to the instructions given in this Call for Proposals, in the Application Form Guidance and all mandatory documentation is attached to the application.	Application Form and Attachments	Yes/No
2	The application and requested supporting documents are submitted and presented in English; (the certificates issued by the Romanian national authorities and the certified financial annual accounts issued in Romanian language can be submitted and presented in Romanian; for the rest of the documents, non-certified translation in English is required).	Application Form and Attachments	Yes/No
3	The appropriate Electronic Application Form, specifically prepared for this Call for Proposals, has been used.	Application Form	Yes/No
ELIGIBILITY CHECK		DOCUMENTARY EVIDENCE	APPRAISAL METHOD
Applicant			
1	The Applicant is registered as legal person in Romania and the entity fits in one of the categories of eligible applicants for this Small Grants Scheme, as listed in the present Call.	<i>Application Form:</i> "Applicant details", "Contact person" <i>Attachments:</i> Relevant registration documents listed in this Call for Proposals	Yes/No
2	The Applicant, and possible Partner(s), have been established for at least the period of time set out in this Call, section 1.1 .1. Eligible Applicants.	<i>Application Form:</i> "Applicant details", "Activity of the Applicant" and "Activity of the Partner" <i>Attachments:</i> Certified accounts, Relevant registration documents listed in this Call Proposals	Yes/No
3	The Partner(s) is established as legal entity in Romania or in the Donor State Norway.	<i>Application Form:</i> "Partnership" <i>Attachments:</i> Relevant registration documents listed in this Calls for Proposals	Yes/No

4	The Partner(s)' main activity is closely related to the activities in which its contribution is proposed.	<i>Application Form:</i> "Partnership" <i>Attachments:</i> Relevant registration document/"Brønnøysundregistrene"	Yes/No
5	In the case of a Partnership Project, a draft Partnership Agreement has been attached to the Application Form.	<i>Application Form:</i> "Partnership" <i>Attachment:</i> Partnership Agreement	Yes/No
6	The Applicant and the legal representative signing the Application have clean criminal and tax record.	<i>Attachments:</i> Self-declarations regarding clean criminal and tax record	Yes/No
7	The Applicant is not an undertaking in difficulty (<i>applicable only to entities subject to state aid rules</i>)	<i>Attachment:</i> Self-declaration regarding undertaking in difficulty	Yes/No
Project			
8	The proposed project fits into the focus area for this Call and is within the eligible activities defined in this Call for Proposals.	<i>Application Form:</i> "Project Information"	Yes/No
9	An outline of a possible future investment project on "Energy Efficiency and its potential for energy and cost efficiency" is described;	<i>Attachment:</i> Project Document	
10	Grant maximum and minimum amounts and co-financing rates are complied with.	<i>Application Form:</i> "Project Information",	Yes/No

11	The project implementation period is no longer than the deadline for cost eligibility mentioned in these Call for Proposals.	<i>Application Form:</i> "Project details"	Yes/No
12	No overlapping/double funding arises from the applications for a similar project from EU/EEA/International Financial Institution/Bilateral or other sources.	<i>Application Form:</i> "No double financing"	Yes/No
13	The project is in compliance with both EU and national legislation of Romania (in particular state aid, public procurement and environment requirements).	<i>Application Form:</i> "Compliance with plans"	Yes/No
14	Incentive effect – work on the project did not start before the submission of the current application for grant.	<i>Application Form:</i> "Project details"	Yes/No
15	The appropriate Energy Auditor is identified for the appropriate type of audit. The said Energy Auditor shall be registered with a valid and active authorisation within the Ministry of Regional Development & Public Administration and/or the Romanian Energy Regulatory Agency (ANRE).	<i>Application Form:</i> "Project Information"	Yes/No

	TECHNICAL AND FINANCIAL ASSESSMENT	DOCUMENTARY EVIDENCE	APPRAISAL METHOD	WEIGHTING
1	Relevance - the extent to which the project meets the Programme expected outcome and the eligible activities set out in this Call for Proposals, i.e. Current level of CO2 emissions of the object(s) subject to energy efficiency measure(s).	<i>Attachments:</i> "Project Document"	Scoring 0-6	65%
2	Technical viability and feasibility – Energy efficiency: Planned annual energy consumption (MWh) reduction compared to current annual energy consumption (MWh) of the object(s) subject to energy efficiency measure(s) – Min. requirement is 5% per measure;	<i>Application Form:</i> "Project Information"	Scoring 0-6	
3	Technical viability and feasibility – Cost efficiency: Planned annual energy cost reduction (Euro) compared to current annual energy costs (Euro) for the object(s) subject to energy efficiency measure(s) – Min. requirement is 5% per measure.	<i>Application Form:</i> "Project information"	Scoring 0-6	
4	Releasing effect - the extent to which the project would not be executed without a grant; Grants shall not be greater than what is necessary for the execution of the project. In all cases, an economic reasoning about the grading of the support shall be based on the relationship	<i>Application Form:</i> "Project Information"	Scoring 0-6	20%
5	Project risks - the extent to which the project is adequately supported by a risk management plan; The Applicant should have identified and assessed the relevant risk factors that may affect the achievement of the project expected outcome and described how they intend to mitigate the risks. There may be different types of risks, i.e. financial risk, technical/technological risk, market risk, HR risk, time schedule, environmental and more.	<i>Application Form:</i> "Project value creation and risk"	Scoring 0-6	
6	Costs estimates and funding - the extent to which the project have clear and well documented cost estimates and a financing plan. The budget is correctly elaborated and correlated with project activities, allocated and estimated resources.	<i>Application form:</i> "Financial Plan", "Expense Budget"	Scoring 0-6	

7	Compliance with plans - the extent to which the project is in compliance with national, regional and local policies, strategies, plans and programmes in Romania.	<i>Application Form:</i> "Project information", "Legal/other issues relevant to the project"	Scoring 0-6	15%
8	Cross-cutting issues - the extent to which the project complies with relevant cross-cutting issues identified in the Application Form: good governance and good business practice, sustainable development and gender equality	<i>Application Form:</i> "Cross Cutting issues"	Scoring 0-6	