



EEP

ENERGY AND ENVIRONMENT
PARTNERSHIP / SOUTHERN AND EAST AFRICA

ENERGY AND ENVIRONMENT PARTNERSHIP PROGRAMME WITH SOUTHERN AND EAST AFRICA

*A Programme Funded by the Foreign Ministry of
Finland, the Austria Development Agency and UK
Department for International Development and Hosted
by the Development Bank of Southern Africa*

FIFTH CALL FOR PROPOSALS

14 September – 5 October 2012, 13h00 (GMT+2)

[GUIDELINES FOR PROJECT PROFILE APPLICATION](#)



Austrian
Development Cooperation



GUIDELINES FOR EEP PROJECT PROFILE APPLICATION: FIFTH CALL FOR PROPOSALS

The EEP Programme is jointly funded by the Ministry for Foreign Affairs of Finland (MFA), the Austrian Development Agency (ADA) and the Department of International Development (DFID) of The United Kingdom.

A. ELIGIBILITY OF APPLICATION

I. Eligible Applicants

Eligible applicants for project financing by the Energy and Environment Partnership (EEP) Programme include private companies, public institutions, research organisations, educational institutions, charitable organisations, Non Governmental Organisations (NGOs), Community-Based Organisations (CBO), Not-for-Profit Organisations (NPO) and Cooperative Organisation. Applicants who have participated in previous EEP-S&EA Calls for Proposals are also allowed to participate in this Fifth Call for Proposal.

Individuals and mainstream government entities e.g. Government Ministries and National/Provincial/District Departments are not eligible. An applicant should be registered with the appropriate registration body in its country of operation and a certified registration number will be required on the project profile application form.

Each organisation should submit **ONLY ONE** application for a given country. The EEP Programme strives to give every entity a chance and encourages a diverse pool of submissions from applicants. Applicants can partner with other organisations or entities in order to meet human resource capacity and competence to implement the proposed project. If a project is submitted by a consortium of organizations, the lead partner as per Memorandum of Understanding will be the (EEP) project applicant. The applicants should be the organisations or entities which have longer term commitment to develop the project to its investment stage. Applications will not be accepted if submitted by consultancy companies on behalf of their clients who are supposed to be the lead applicants. Any consultancy firms with the role of providing services to the project's lead applicant should be listed as a project partner.

Only applicants with project partnership that have committed the required level of own contribution to the project's fiscal budget will be eligible. Please check Section VII for details.

De Minimis Aid Received

Please note that the support received from EEP is under the EU Regulation 1998/2006 (De Minimis Aid Regulation). This regulation only applies to project partners originating from the EU countries. Project partners not originating from the EU need not worry about this.

The affected proponents are responsible for ensuring that their De Minimis Aid does not exceed the maximum limit, which is 200 000 Euros during the period of 3 years. If any of the project partners have received De Minimis Aid up to the above threshold during the last 3 calendar years, they shall contact the EEP Regional Coordination Office (RCO) before submitting the project profile application.

II. Choosing Type of Project Activities (Section 1.4b on Profile Application Worksheet)

The scope of EEP Call for Proposals (CFP) is limited to projects that deal with the development phase of concrete renewable energy producing or/and quantifiable energy saving/energy efficiency projects. The proposed activity must form one of the core activities of a project development cycle of a larger project that will lead to a bankable stage of an investment that will produce renewable energy or/and save a quantified amount of energy or conserves it.

Although the other activities that generally provide an enabling environment for the promotion of renewable energy and energy efficiency/conservation projects are important, these types of projects are excluded from the scope of EEP Call for Proposals. There are other grant funding programmes that support such activities but EEP does NOT. An EEP funded project actually ends up producing renewable energy or saving energy by itself or by a bigger investment project later. EEP funded project is NOT about “promoting” renewable energy or energy saving/conservation but about “producing” renewable energy or “saving/conserving” energy. Thus activities like Market Development Studies, Market Surveys/Design, Strategic Framework Studies, Capacity Building/Training, Policy Development Studies, Regulatory Frameworks, Energy Planning Tools, Innovative Financing Schemes Development not directly producing renewable energy or saving or conserving energy are all outside the scope of the EEP Call for Proposals and such proposal applications would NOT be considered for funding.

The Eligible EEP activities are pre-feasibility study, feasibility study, pilot project, demonstration projects and an up-scaling of existing pilot or demonstration project. The main eligible activities are defined as follows:

- a. **Pre-Feasibility Study:** A preliminary assessment of the technical and economic viability of a proposed project and may comprise activities such as:
 - Comparing alternative approaches to various elements of the project, and the most suitable alternative for each element is recommended for further analysis.
 - Estimating costs of project development from feasibility study to operations.
 - Assessing benefits of the project and calculating preliminary economic benefits.
 - Determining the requiring environmental and other operational permit issues

The pre-feasibility study should determine whether or not to proceed with a detailed feasibility study.

- b. **Feasibility Study:** Analysis and evaluation of a proposed project to determine economic viability. The Feasibility Study is a refinement of the pre-feasibility study and should present enough information for interested investors to finance the project. The main output from a feasibility project should be a “bankable feasibility study” with all the necessary permits such as power purchase agreements, clearance (from the National Environmental authority) on the Environmental Impact Assessment, water use rights, feedstock supply agreements and other business specific requirements according to the laws of the country where the project is implemented.

For a pre-feasibility and feasibility projects to be approved for EEP grant funding, the proposal would have to clearly indicate which aspects of the project bankability have been completed and which ones are still outstanding (refer to Application Form Section I.6f).

- c. **Pilot Project** – This is a type of projects which are testing project ideas, a product/service or a technology on a small-scale in order to check the conditions and operational details before full scale launch of production and/or marketing. Pilot projects should form part of an overall market development strategy. For a pilot project to be approved for an EEP grant, the project proposal should clearly indicate further steps envisaged towards large scale self sustaining operations after the piloting phase if the product/service is proven to be profitable (refer to Application Form Section I.6e).
- d. **Demonstration Project**- This category comprises projects which aim to establish evidence that a project, a product/service or a technology works. This may show the performance of a product/service or a technology in actual use conditions, or it may encourage the trial use or purchase of the product/services or technology by the target market. For a demonstration project to be approved for EEP grant, the project proposal should clearly indicate further steps towards large scale self sustaining operations after the demonstration activities if the product/service is proven to be profitable (refer to Application Form Section I.6).
- e. **Project Scale-up**. This category comprises all EEP previously supported pilots, demonstrations and pre-feasibility studies AND other scaling up initiatives from projects which have never been funded by EEP previously. The applicant will have to provide sufficient motivation for the scaling up and indicate the phase that has been reached in implementing the project and what is required to develop the project up to a commercial phase. The applicant will be required to describe what the clear intended development path of the project is and what motivates/justifies the need for this project and how it intends to address a need identified in a specific market. (refer to Application Form Section I.6d).

III. Sector Focus

You would be required to choose one of the following sectors that best describes your renewable energy and energy efficiency project:

- Rural Household Energy Solutions
- Rural Community Energy Solutions
- Household Electrification
- Community facility Electrification
- Commercial energy solution
- Energy for productive uses
- Industrial energy solution
- Urban/ Peri-urban Household Energy Solutions
- Urban/ Peri-urban Community Energy Solutions
- Cross-sectoral development (water supply),
- Improvement of education
- Health/hygiene services provision
- Agricultural Development
- Commercial/Domestic Waste Solution

IV. Technology/Energy Resource Focus

You would be required to choose one of the following technologies or energy resources that best describes your renewable energy and energy efficiency project:

- Solid Biomass (improved woody biomass, improved charcoaling, improved cookstoves, etc)
- Liquid Bio-fuels (Bio-diesel, Bio-ethanol). **NOTE:** Projects which promote plant biofuels from *Jatropha curcas* Spp. are not eligible
- Biomass power generation
- Biogas for power generation
- Biogas for large scale industrial/commercial applications
- Biogas for small scale domestic applications
- Energy Efficiency/Conservation (Quantifiable)
- Geothermal
- Small Hydroelectric Power
- Solar PV (grid/off-grid/ mini –grid)
- Solar Water Heating
- Concentrated Solar Power
- Waste-to-Energy
- Wind turbines for electricity generation
- Wind pumps
- Hybrid (indicate sources and technologies)
- Multi-Energy Use Solution
- Other (will have to be specified)

Please note that Projects which promote biofuels from *Jatropha curcas* Spp. are not eligible

V. Geographic Coverage

The projects must be implemented in at least one of the following Southern and Eastern African Partner Countries: Botswana, Burundi, Kenya, Lesotho, Mozambique, Namibia, Rwanda, Seychelles, South Africa, Swaziland, Tanzania, Uganda and Zambia.

Projects whose resources and budgets are allocated to specific project activities to be carried out in more than one of the above countries are considered **Regional** projects. Projects involving more than one country but with most of the project resources and budgets (more than 80%) utilised in only one country CANNOT be considered as Regional.

VI. Duration

The project implementation period is limited to 24 months.

VII. Funding Amount and Mechanism

The EEP contribution is a grant principally aimed at supplementing the applicants' own funding. The Project Developer's co-funding contribution is therefore a key requirement for eligibility for EEP funding for all applicants since that demonstrates commitment, ownership and risk taking by the Project Developer which altogether boost the sustainability of the project.

During this Fifth Call for Proposals, all applicants are expected to make a commitment of own contribution by project partners in order to be eligible. For all projects, the Amount Requested

from EEP should not be more than EUR 300 000 depending on the type of project. For a Leading Applicant being an NGO, Community Based Organisation, Non-for Profit Organisation and the like, the Amount Requested from EEP should not be more than 90% of the Total Project Cost and the Total Own Contribution should not be less than 10% of the Total Project Cost. For all other organisations being the Lead Applicant, the Amount Requested from EEP should not be more than 75% of the Total Project Cost and the Total Own Contribution should not be less than 25%.

It is important to note that projects fulfilling all other eligibility criteria and with higher proportion of own funding contribution stands a better chance to be selected.

The estimated total projects grant budget for this Fifth Call for Proposals is **EUR 8.5 million** and this is expected to be awarded to about 40 - 50 projects. It should be noted that the EEP funds should be considered as "seed money" to support concrete and sustainable projects. All disbursements after the grant approval will be based on actual costs incurred and project milestone payments will be approved after submission of progress and financial reports with sufficient proof to support expenditures reported.

VIII. Project Partners

It may be advisable that projects consider including partners from both Beneficiary Partner Countries and technology supplying countries that would enhance technology transfer as one key objectives of the EEP Programme. However, the inclusion of technology supplying countries is not mandatory and what are important are reliable and innovative technologies and not necessarily the source of the technology.

IX: Expected project results and impacts

Selected projects shall contribute to the achievement of the EEP objectives which is to increase access to modern, affordable and reliable energy services through increased usage of renewable energy and energy efficient technologies. The projects should therefore present specific, measurable, quantitatively verifiable outputs with their respective indicators as follows:

No	Expected Output	Indicator
1	Increased generation of energy from renewable resources and/or energy saving	Amount of energy in kWh: [Type text] generated/saving over the lifetime of the project
2	Increased access to sustainable energy services	Number of new connections to renewable energy services/energy efficient products and services disseminated by the project over its lifetime: [Type text]
3	Increased opportunities for employment and income generation	Number of jobs created : [Type text]
4	Reduced emission of greenhouse gases (GHG)	Estimated Amount of GHG emission reduction per year in tCO ₂ eq/year: [Type text]

EEP projects should indicate its positive impacts on the following five cross-cutting issues namely the gender equality, reduction of inequality, climate sustainability, democratic and accountable society promoting human rights, inclusive green economy promoting employment, sustainable management of natural resources and environmental protection and human

development, if possible. If selected, the applicant will have to provide details on the project impacts when developing the full proposal.

X – Procurement

All procurements of materials, equipment and services shall be made in accordance with the Finnish legislation on public procurement (Public Procurement Act available at <http://formin.finland.fi/public/default.aspx?contentid=209147>), generally accepted principles and good procurement practices.

The following broad procurement guidelines will be followed:

- a) Costs below €100.00: procedure to be decided upon by the company.
- b) Costs between €100 to €3 999.00: comparison of at least three quotes/offers obtained directly from suppliers.
- c) Costs between €4 000.00 to €29 999.00: competitive tendering with invitations to tender sent directly to potential suppliers.
- d) Costs above €30 000.00: competitive open tendering with invitations to tender announced publicly.

These are minimal requirements that will form part of the agreement for execution of the project. In addition to these minimum requirements, the applicant will follow own procurement policy after approval by the EEP Regional Coordination Office (RCO) but these would have to be generally acceptable transparent process.

Please consider appropriate time requirement and costs for procurement of project items in the planning of your project according to the broad procurement procedures above.

B. RULES FOR PROPOSALS SUBMISSION

All submissions must be made through the online portal (www.eepafrica.org). A MS Word Application Worksheet is attached for your preparation before filling out the online form. All application Guidelines and Worksheets will be made accessible on the website from the 19th September- 10th October 2012. To save you time, you are kindly advised to download the Worksheet and prepare all that is required before proceeding to submit via the online portal. It is also very important to familiarize yourself with all the requirements in the Profile Application Guidelines document of this Fifth Call for Proposals (CFP5) first before proceeding to complete your final online submission. It is important to note that there have been some changes in this CFP5 compared with the previous CFPs.

The Profile Application Worksheet comprises four Major sections namely 1) Overview, 2) Project Details 3) Financial Information and 4) Applicant information. Italicized instructions on the information which should be filled in under each section are available on the Worksheet.

The following rules will **strictly apply** to this Fifth Call for Proposals:

- a. The Online Application System will not be accepting any submission that contains relevant fields that are left incomplete.
- b. Under no circumstances will emailed submissions be allowed during this Fifth Call for Proposals

- c. Each application will be identified with the applicants email address and its organisation registration number for a legal entity.
- d. Applications should be submitted by the lead project partner, which is the organization or entity that will sign the project contract with EEP.
- e. For all applicants, it is advised that you download the application worksheet, check the requirements and make preparations on the worksheet before completing the final online submission.
- f. It is also advised to avoid completion of the online submission towards the deadline when the online application server traffic is expected to be high such that it may cause slow system responses or increase chances of non-delivery of submissions.
- g. If you do not receive any auto-confirmation message within three hours after you have submitted your proposal, please inform EEP S&EA on Email: eep@dbsa.org or Tel: +27-256-3560.
- h. Where in difficulty submitting your proposal through the EEP Online Application portal, please contact your National Coordinator for assistance in perhaps using their internet for submission, if convenient for the National Coordinator. The contact details of the National Coordinators have been listed below for your perusal.
- i. The **deadline** for submission of the project profile (concept note) is **10 October 2012 13h00 South African Time (GMT+2)**. Any proposal submission after this time will be rejected and any emails or telephone calls received regarding such late applications will not be considered further.

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C. **PROJECT PROPOSAL EVALUATION AND APPROVAL PROCESS**

The application process will involve a two tier submission processes starting with a concept note (Project Profile) and then followed by a full proposal for those projects which would be selected from this initial online profile application. In the first instance, only Project Profiles (concept notes) must be submitted to the EEP RCO via the online portal for the first tier of evaluation. Thereafter, applicants whose Profiles would be pre-selected by the EEP Steering Committee (SC) will be invited to submit a Full Proposal for final technical evaluation (second tier of evaluation). Further to a positive feedback from the evaluation of the Full Proposal, a contract will be signed between the Ministry for Foreign Affairs of Finland (MFA) and the project developer to mark the start of project implementation. The process of evaluations and approvals following the Project Profile submission is detailed below.

I. **Screening of Project Profiles**

The evaluation process starts with an online screening of all the submitted Project Profiles according to the basic requirements of the EEP Programme. The EEP Regional Coordination Office (RCO) will further screen the submitted applications regarding some key administrative aspects such as completeness of the application, appropriate amount of the requested EEP contribution and applicants own contribution, eligible scope of the project and time plan for implementation of the project before submitting the eligible ones to the National Coordination (NC) and Technical Evaluation Team for their evaluation.

II. **Evaluation of Project Profile**

The National Coordination Team (NC) pre-evaluates the Project Profiles by ranking them against each country's policy priorities, strategies and legislation. The resulting projects ranking is then sent to the Steering Committee (SC) through the RCO to be considered for funding.

The Technical Evaluation Team (TET) evaluates the Project Profile against the preset EEP Project Evaluation Criteria and gives technical evaluation scores and recommendations for shortlisted projects. These scores and recommendations are then sent to the SC for approval consideration. The technical evaluation criteria and their respective scores are as presented below:

Category	No	Criteria	Max Score Points
PROJECT OVERVIEW	1	Application Authenticity [1.1]	1
	2	Own Contribution [1.2]	2
	3	Project Identity [1.3-1.6]	3
	4	Executive Summary [1.7]	4
PROJECT CONTENT	5	Project Scale-Up Potential	4
	6	Project Definition [2.1- 2.8]	15
	7	Coherence [2.1- 2.8]	5
	8	Technology Appropriateness [2.2-2.3, 1.4-1.5]	10
	9	Innovation & Dissemination [2.10]	5
	10	Sustainability [2.9]	5
	11	Project Planning [2.7]	5
	12	Risk Mitigation [2.11]	5
PROJECT	13	Appropriate Cost And Financing [3.1]	4

Category	No	Criteria	Max Score Points
FINANCIALS	14	Accuracy And Precision [3.1]	4
	15	Own Contribution Adequacy [3.1b]	4
	16	Co-Financing [3.1b]	4
	17	Human Resource Cost [3.3]	4
APPLICANT ASSESSMENT	18	Partner Credibility [4.1-4.2, 1.A1 -1.7]	4
	19	Capacity [4.3]	4
	20	Project Track Record [4.4]	4
	21	Experience [4.5]	4
			100

- The Technical Evaluation may also suggest some modifications for the project idea, technology, work plan, partnership, management or budget.
- The Project Profiles with evaluations of the TET and NC are then sent for the Steering Committee Approval through the RCO.

The criteria for National Coordinator Evaluation have been presented below as Appendix 1.

III. Project Profile Approval at the Steering Committee

The EEP Steering Committee (SC) is made up of the National Coordinators and the donor representatives from the Ministry for Foreign Affairs of Finland (MFA), Austrian Development Agency (ADA) and the United Kingdom Department of International Development (DFID). At the Steering Committee meeting, it is the National Coordinator that presents the Project Profiles of his or her country to the members by providing the basis for their ranking. In case of a regional project, the Project Profile can be presented by one of the National Coordinators involved or the Regional Director of the RCO. The SC makes project approval decisions based on a consideration of both the rankings of the National Coordinators and the Technical Evaluation Team. The approval of the Project Profile, indicating the amount of allocated funds, may include conditions or recommendations to be incorporated in the Project Proposal.

IV. Feedback to Project Proponents after Approval of Projects by Steering Committee

After the first round of Steering Committee provisional approval of projects, all applicants will be notified of the status of their application. Should the project profile not be approved, the proponents will receive a brief notification thereof and will be encouraged to resubmit their applications during the next call for proposals. NOTE: The RCO does not offer any level of detailed feedback at the profile stage of submission.

V. Full Proposal Development and Final Evaluation

Based on the recommendations of the Steering Committee, the Project Proponent is asked to develop and submit a Full Project Proposal within 6 weeks according to specified Full Proposal Formulation Guidelines. The Full Proposals are then sent by the RCO for final Technical Evaluation to especially ensure compliance with the SC recommendations. Expenses covered by EEP Funding Contribution should be the following:

- Technical services and consultancies on the project
- Travel expenses on the project
- Equipment and materials for the project
- Project execution expenses
- Auditing

- Dissemination of project information

Please note that the professional fee rates and travel cost rates should be based on reasonable industrial/market rates such as those defined by Governments or professional councils/associations in the country of implementation.

VI. Contracting and Start up of Project Execution

The final approval will be done by the Ministry for Foreign Affairs of Finland (MFA). Once approved and ratified by the partners, the Project Proposal turns into the document that governs the execution of the Project. A contract will be co-signed by the MFA and the lead applicant and the RCO will facilitate the process. All the documents prepared and included in the Project Proposal will enter into force upon signature between the co-signing parties. The project activities should start at least within three months from this time. All disbursements are undertaken based on satisfactory delivery of project milestones except in special cases where upfront payment can be justified based on written motivation provided.

The RCO will supervise and monitor the execution of the projects with the assistance of the National Coordination, where possible.

VII. Timelines for the Projects

1. Announcement of the Call for Proposals: 14 September– 19 September 2012.
2. Deadline for submitting Project Profiles: **10 October 2012 13h00 South African Time (GMT+2)**. The application form must be completed and submitted via the online portal on the EEP website before the deadline.
3. EEP Steering Committee Meeting to approve Project Profiles: **30 November 2012**
4. Notification of award and invitation of full proposals: **3-14 December 2012**
5. Deadline for receiving full proposals: **15 January 2013**
6. Contract signing and start of projects: **May-June 2013**.

APPENDIX 1: CRITERIA FOR NATIONAL COORDINATOR EVALUATION

There is a total of 20 criteria

Criteria Weighting: All criteria have equal weight, one point for each score AND zero for non-scoring

Projects Ranking: The projects should be ranked according to the total score with the highest score getting the highest rank

Evaluation Comments: Evaluation comments should be provided for each project reflecting the evaluation criteria scores of the project. This should be brief and clearly stated in the Comments Column in neutral and impersonal statements **intended for** potential feedback to the project proponent.

Definition of the criteria

NO	Criteria	Description
	Credibility	
1	EXISTENCE	Does the proponent organization exist and operate legally in the country of origin or in the country of implementation? Please check the registration number of the organization and the registration Body. (Sections 1g -1i)
2	RELIABILITY	Is the organization reliable and trustworthy in delivering outputs timely?
3	ACTIVE IN THE COUNTRY	Does the organization have a track record in contributing to renewable energy supply, energy access and energy saving initiatives in the country? (Section 4.4)
	Relevance	
4	OBJECTIVES, ACTIVITIES & RESULTS REALISTIC	Are the project objectives, activities and results realistic considering the actual local conditions?
5	CONTRIBUTION	Does the project contribute to meeting national specific energy-related targets OR objectives?
6	RECOGNITION OF OTHER INITIATIVES	Does the project recognize policies, programmes and projects of the Government and/or other actors' current and previous efforts on similar initiatives? Is the project not a duplication of efforts or reinventing the wheel? Is the project not double charging donors i.e. company receiving grant funding from more than one source for the same results?

Usefulness

- 7 NEEDS IDENTIFICATION Are the beneficiaries and target market clearly identified and selected? Does the project provide the beneficiaries/market with opportunity to define their needs, demands and priorities ? Are the beneficiaries involved in the planning, implementation, monitoring and evaluation of the project? (Section 2.8)
- 8 APPROPRIATENESS OF SOLUTIONS Are the proposed project solutions appropriate for meeting the needs of the identified beneficiaries ? Have the identified solutions been evaluated against other available means?

Impacts

Check Section 2.7

- 9 INCOME Will the project lead to increasing income generation?
- 10 EMPLOYMENT Will the project lead to creation of local employment?
- 11 HEALTH Will the project lead to an improvement in health of the end users of the technology?
- 12 EDUCATION Will the project contribute to improvement of delivery of education services or performance of students/pupils?
- 13 ENERGY SAVING Will the project lead to a reduction of fuel consumption compared to the consumption pattern of the current source?
- 14 ENERGY SUBSTITUTION Will the project lead to reducing consumption of fossil fuels, or switch to a more efficient renewable source?

Sustainability

- 15 CAPACITY BUILDING Is the project contributing to developing new skills, knowledge, methods and approaches?
- 16 MANAGEMENT Is the management arrangement clear and sufficient to ensure success in the project implementation?
- 17 POLICY/ REGULATIONS Will the project contribute to influencing formulation of favourable policy and regulations?
- 18 RISKS MITIGATION Are project risks clearly identified and mitigation measures proposed? (Section 2.11)
- 19 OWNERSHIP Is the ownership of the project results/outcomes defined and is there a long term commitment for maintenance of the results, particularly, technologies?
- 20 CONTINUATION AND SCALE-UP Are there conditions or is there a high likelihood for the project activities to continue after the end of the EEP grant financed component? Is there a clear vision for the project to develop to an investment stage? (Section 1.6).