

SUPPORT_ERS

WP 5: Strengthening Administrative Capacities

D11: Checklist for administrative
procedures

D12: Report on good practices for
strengthening administrative
procedures.

WP Leader: BMU, Germany

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1 Executive Summary

D11: Checklist for administrative procedures

Inefficient and intransparent administrative procedures, e.g. during the permitting process, may increase the economic risks of RES-E and RES-H project developments substantially. Therefore, the optimization of administrative procedures is aiming at the following targets:

- Shorten the lead-time for reducing the permit.
- Reduce the cost and effort of procedures.
- Eliminate any uncertainty of formal requirements.
- Improve the transparency of procedures.
- Minimise the risk of failure (non-award of permit).
- Avoid the contestation of permits.

With a clear view to these optimization targets, the Working Group developed a lean procedure for the review of administrative procedures related to RES-E and RES-H projects on the basis of a checklist for administrative procedures.

- 1st Step: Identification and determination of the procedure under review
- 2nd Step: Selection of relevant action fields
- 3rd Step: Analysis of key activities
- 4th Step: Definition of objectives
- 5th Step: Analysis of the performed activities and documentation of observations
- 6th Step: Compilation of conclusions & recommendations

The Working Group proposes to implement these steps on the basis of a checklist (see Table 1, page 9). Examples for the definition of objectives per activity have been developed by the Working Group during its meeting on 9th June in Bucharest (see Table 2, page 10).

D12: Report on good practices for strengthening administrative procedures

The Working Group is presenting 8 examples for good practices for the strengthening of administrative structures and procedures. These examples are taken from the following countries:

Austria	• Environmental Support Scheme for Austrian Enterprises.
Bulgaria	• New aspects of energy policy in Bulgaria - Incentive mechanisms for production of electricity, heating and cooling energy from RE.
Croatia	• Renewable Energy Advisory Facility (REAF) at the Ministry of Economy, Labour and Entrepreneurship - support to the project developers in administrative procedures.
Estonia	• Web-based application of Guarantee of Origin.
Germany (2)	• Licensing procedure with EIA in Brandenburg. • Energy Supply Breuberg Rai-Breitenbach with Renewable Energies.
Romania (2)	• Licensing procedure and authorizations set up in electricity field. • Intermediate Body for Energy (IBE) - RES projects promotion in Sectoral Operational Programme Competitiveness, Priority axis 4.

Examples are covering all levels of administration: National (6), Regional (1), and Local (1)

2 Scope of work

This report is summarizing the results of the work performed in Work Package 4 (WP4), as far as Tasks 4.1 and Task 4.2 are concerned, resulting in the following deliverables as specified in Annex I of the grant agreement:

D11 Checklist for administrative procedures (see chapter 2)

D12 Report on good practices for strengthening administrative procedures (see chapter 3)

The main objective of WP4 is to explore approaches how to reduce administrative barriers for RES-E and RES-H. A checklist for administrative procedures is to be developed as the main tool. A report on good practices for the improvement of administrative procedures will be given as a basis for the elaboration of recommendations for a more efficient implementation of support schemes. The scope of work for WP4 consists of:

Task 4.1 Development of a checklist for administrative procedures

The administrative assessment report (WP3) and examples from EU-15 have been evaluated. On the basis of the achieved results, a checklist for administrative procedures aiming to optimise permitting and funding of RES projects has been developed which is presented in chapter 3 of this report.

Task 4.2 Good practices for the improvement of administrative procedures

A joint workshop for the WG Administrative Structures including consortium members was performed on 9th June 2009 in Bucharest. This workshop was dedicated to the exchange of experiences with optimisation of support schemes and administrative procedures. Good practice examples were summarised and presented to the workshop for discussion and evaluation.

A study visit to a model permitting institution was implemented on 1st December 2008 to the Instituto para la diversificación y ahorro de la energía (IDAE) in Madrid.

The results are summarized in chapter 4 of this report.

Task 4.3 Conference and briefing of policy makers

The conference is scheduled to be duly implemented on 26th of March 2010 in Brussels. This report will be used as one of the major inputs to the conference.

A report on the conference, its minutes and an information about the conference results (press release) which are specified as D13 / D14 / D15 in Annex I to the Grant Agreement will be delivered separately at the end of the project.

3 Checklist for administrative procedures (D11)

Based on gathered information and data as well as on a series of stakeholder interviews, Work Package 2¹ came to the conclusion that the major barriers for the development of renewable energy projects are often related to inefficient, expensive and time consuming administrative procedures, which may be characterised by, for example:

- Little awareness of the potentials and benefits of RES.
- Over-estimation of potential impacts of RES on environment or landscape.
- Low acceptance and little understanding of RES in relevant authorities.
- Complex and intransparent administrative procedures.
- Large number of authorities involved.
- Lack of transparency.
- Missing coordination between different authorities.
- Long lead-time to obtain necessary permits.
- High cost of permitting procedures.

Avoiding or overcoming these barriers is a major challenge in promoting RES-E and RES-H at the local and regional level.

3.1 Optimisation targets

Inefficient and intransparent administrative procedures, e.g. during the permitting process, may increase the economic risks of RES-E and RES-H project developments substantially.

Figure 1 shows an exemplary framework for the assessment of the development risks of RES-E and RES-H projects with regard to the permitting procedure, including the following criteria:

- Uncertainty of requirements.
- Intransparency of procedures.
- Required lead-time.
- Cost and effort.
- Risk of failure (non-award of permit).
- Contestableness of received permit.

Project developers will normally assess the different criteria on the basis of their own experience and expectations or on the basis of general market experience and expectations.

The following Figures (Figure 1 to Figure 5) illustrate how the optimization of administrative procedures may contribute to the reduction of the relevant project development risks.

¹ SUPPORT_ERS - WP 3: Assessment of Administrative Structures and Procedures – Sept. 2009

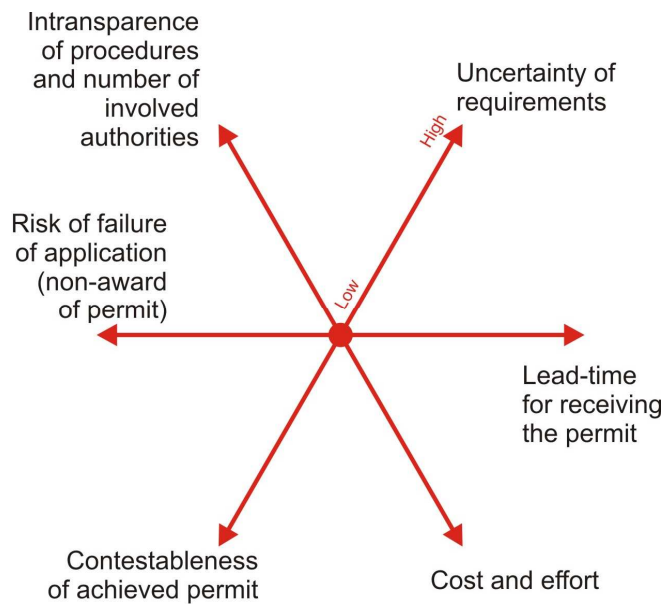


Figure 1: Exemplary framework of risk assessment for the project development of RES-E and RES-H projects (permitting procedure)

Figure 2 illustrates a high-risk situation which would in many cases prevent potential project developers from taking the risk. A first optimisation step could result in the clarification of permitting requirements and, as a consequence, in the reduction of cost and effort (Figure 3). Although there has not been anything changed in the administrative process as such, the overall risk for the project developer is already reduced.

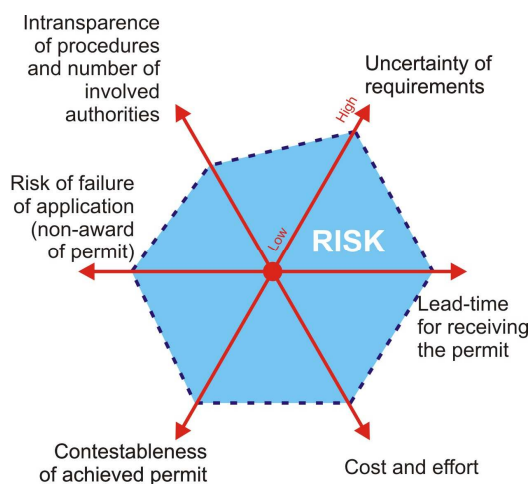


Figure 2: High project development risk (Initial situation - schematic)

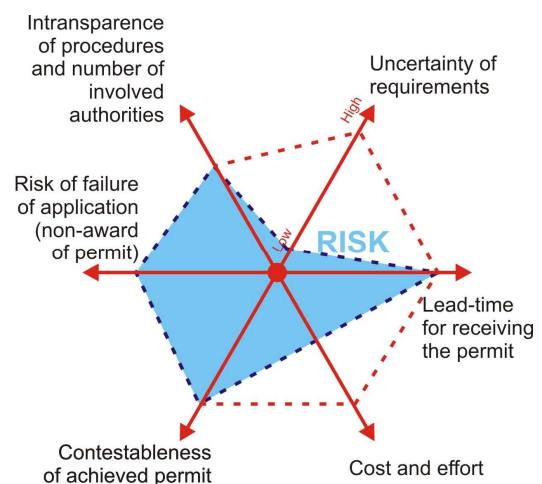


Figure 3: Carification of requirements and cost cutting (first optimisation step - schematic)

Further improvement of the administrative procedure, e.g. by means of reducing the number of involved authorities, the lead time for receiving the permit and the risk of non-award of permit would result in a further substantial reduction of project risks at this stage of project development (Figure 4).

A final optimisation step could relate to the quality and reliability of administrative decision making which would lead to a reduction of the contestableness of the achieved permit (Figure 5).

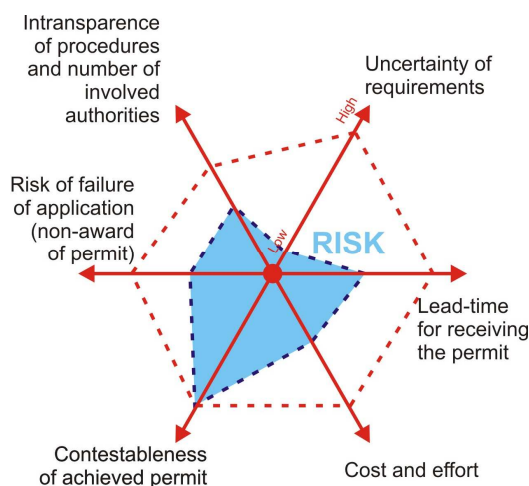


Figure 4: Improved administrative procedures and reduced lead-time for receiving the permit (Third optimisation step – schematic)

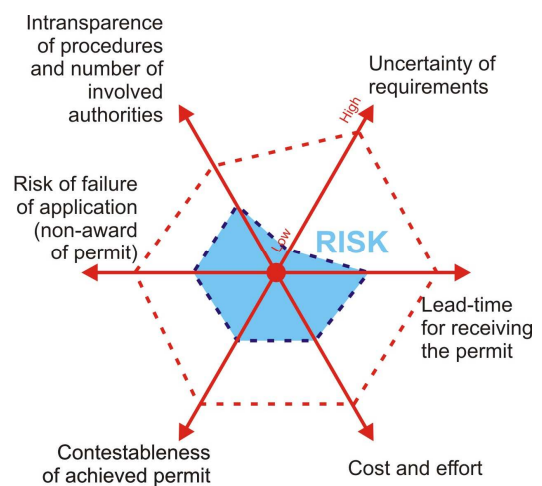


Figure 5: Reduced contestableness of permits (Final optimisation step - schematic)

The result of an optimization of administrative procedures such as illustrated in the above presented 4 optimization steps is a substantial reduction of project development risks. This attracts additional project developers and improves the perspectives for the development of new RES-E and RES-H projects.

On this basis, the optimization of administrative procedures is aiming at the following targets:

- Shorten the lead-time for reducing the permit.
- Reduce the cost and effort of procedures.
- Eliminate any uncertainty of formal requirements.
- Improve the transparency of procedures.
- Minimise the risk of failure (non-award of permit).
- Avoid the contestation of permits.

3.2 Action fields for improvement

The Working Group, based upon the results of WP3 identified 9 major action fields for the improvement of administrative procedures related to RES-E and RES-H, as illustrated in Figure 6. The involved authorities and the applicant share the responsibility for the implementation for measures in these action fields.

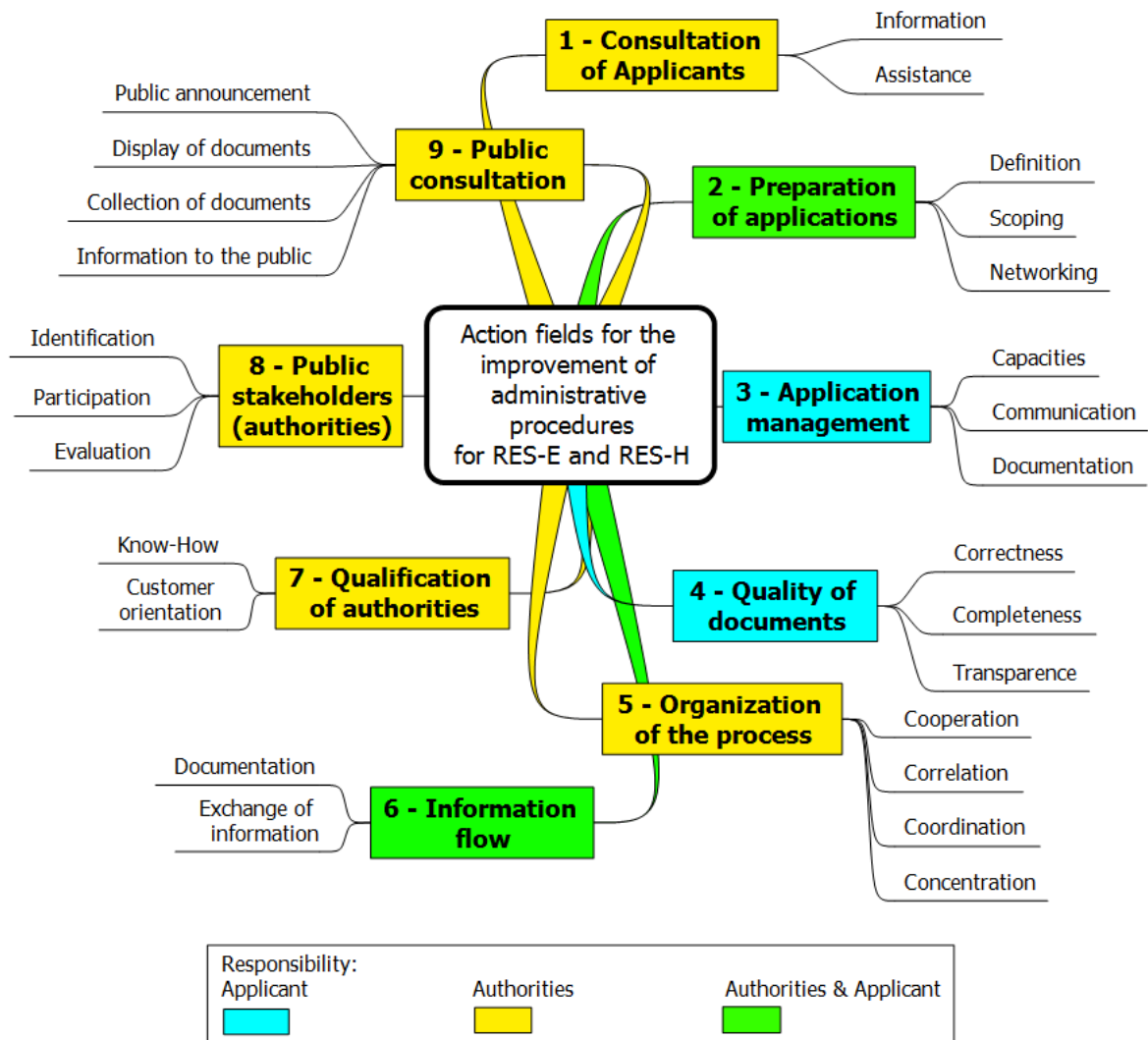


Figure 6:

Action fields of the improvement of administrative procedures for RES-E and RES-H

For each of these 9 action fields, the Working Group identified the key activities which have to be performed in order to contribute to an efficient implementation of relevant procedures.

3.3 Proposed checklist

With a clear view to the identified optimization targets (chapter 3.1) and the identified action fields (chapter 3.2), the Working Group developed a lean procedure for the review of administrative procedures related to RES-E and RES-H projects on the basis of a checklist for administrative procedures.

- 1st Step: Identification and determination of the procedure under review
- 2nd Step: Selection of relevant Action fields
- 3rd Step: Analysis of key activities
- 4th Step: Definition of objectives
- 5th Step: Analysis of the performed activities and documentation of observations
- 6th Step: Compilation of conclusions & recommendations

The Working Group proposes to implement these steps on the basis of a concise checklist as proposed in the following table. The list of action fields and activities included in this checklist is taken from Figure 6.

Table 1: Structure of the proposed checklist for administrative procedures

Criteria					
Action field	Responsibility	Activity	• Objectives	Observations	Conclusions &/ recommendations
(1) Consultation of applicants	Authorities	Information	•		
		Assistance	•		
(2) Preparation of applications	Authorities & Applicant	Definition	•		
		Scoping	•		
		Networking	•		
(3) Application Management	Applicant	Capacities	•		
		Communication	•		
		Documentation	•		
(4) Quality of documents	Applicant	Correctness	•		
		Completeness	•		
		Transparency	•		
(5) Organisation of the process	Authorities	Cooperation	•		
		Correlation	•		
		Coordination	•		
		Concentration	•		
(6) Information flow	Authorities	Documentation	•		
		Exchange of information	•		
(7) Qualification of authorities	Authorities	Know How	•		
		Customer orientation	•		
(8) Stakeholder consultation	Authorities	Identification	•		
		Participation	•		
		Evaluation	•		
(9) Public consultation	Authorities & Applicant	Public announcement	•		
		Display of documents	•		
		Collection of comments	•		
		Information to the public	•		

The checklist should be accompanied by a brief description of the process and a presentation of the key contacts.

Examples for the definition of objectives per activity have been developed by the Working Group during its meeting on 9th June in Bucharest on the basis of proposals which the participants of the Working Group had developed in advance. These exemplary proposals for the definition of objectives are included in the following sample checklist.

Table 2: Proposed checklist for administrative procedures including proposals for the definition of objectives per activity (example – permitting process)

<Name of the procedure under review>					
Source of Information:					
Legal basis:					
Short description:					
Contact:					
Criteria				Observations	Conclusions & recommendations
Action field	Responsibility	Activity	Objectives, for example:		
(1) Consultation of applicants	Authorities	Information	<ul style="list-style-type: none"> Support the applicant by means of an efficient information management. Access to information material (brochures etc.) - preferably in electronic format. Provision / adaptation of information as required for the specific permitting procedure for use by the applicant. Limited risk of planning failures, unnecessary losses of time and money and unrealistic expectations regarding timelines of the permitting procedure. 		
		Assistance	<ul style="list-style-type: none"> Qualified advice to the applicants with regard to the planning and performance of the application procedure. Early Problem solving. Fast and efficient implementation of the permitting procedure. Limitation of the risk of delays and failures. 		
(2) Preparation of applications	Authorities & Applicant	Definition	<ul style="list-style-type: none"> Pre-application talks and meetings, including e.g. on-site inspections, project documentation as far as already available, discussion of potential problems. Identification of critical issues. 		
		Scoping	<ul style="list-style-type: none"> Project-specific identification of required type and extent of application documents. Checklist of required input to the permitting process. Identification of the key person(s) within the involved authority(ies). 		
		Networking	<ul style="list-style-type: none"> Encourage applicants to contact relevant authorities as early as possible for initial contacts and preparatory discussions. Support communication between applicants and other authorities. Identify and avoid potential conflicts and contradictions at an early stage of the planning process. 		

<Name of the procedure under review>					
Source of Information:					
Legal basis:					
Short description:					
Contact:					
Criteria				Observations	Conclusions &/ recommendations
Action field	Responsibility	Activity	Objectives, for example:		
(3) Application Management	Applicant	Capacities	<ul style="list-style-type: none"> The applicant company announces an application manager who has at least: <ul style="list-style-type: none"> - technical know how. - legal and procedural know-how. - communication skills. - realistic understanding of his needs of further support. 		
		Communication	<ul style="list-style-type: none"> Fast and efficient communication with all involved public stakeholders (authorities). Acceleration of the procedure. 		
		Documentation	<ul style="list-style-type: none"> Check against the documentation needs defined during the scoping phase. 		
(4) Quality of documents	Applicant	Correctness	<ul style="list-style-type: none"> Delivered documents are elaborated on the basis of approved methods and state-of-the-art technology and know-how. 		
		Completeness	<ul style="list-style-type: none"> All documents are completed as required according to the checklist which was defined during the scoping phase. 		
		Transparency	<ul style="list-style-type: none"> Clear structure (content list and references). 		
(5) Organisation of the process	Authorities	Cooperation	<ul style="list-style-type: none"> Reliable framework conditions. Clear interfaces. Administrative and technical staff must cooperate in a spirit of mutual confidence and appreciation. 		
		Correlation	<ul style="list-style-type: none"> Clear allocation of competences and responsibilities. Provide the applicant with the appropriate and competent counterparts within administration. 		
		Coordination	<ul style="list-style-type: none"> A key person (responsible manager of the permitting procedure) within administration should perform as the main contact for the applicant and help to coordinate the contacts with other involved authorities. 		
		Concentration	<ul style="list-style-type: none"> Customer-friendly concentration of all competences in one spot (one-stop-shop) as far as possible and reasonable. 		
(6) Information flow	Authorities	Documentation	<ul style="list-style-type: none"> Systematic storage and provision of all documents and all correspondence related to the permitting procedure. 		
		Exchange of information	<ul style="list-style-type: none"> Fast and efficient sharing of information with all involved authorities (preferably in electronic formats). Fast response on relevant requests for information and consultation. 		

<Name of the procedure under review>					
Source of Information:					
Legal basis:					
Short description:					
Contact:					
Criteria				Observations	Conclusions &/ recommendations
Action field	Responsibility	Activity	Objectives, for example:		
(7) Qualification of authorities	Authorities	Know How	<ul style="list-style-type: none"> • Technical understanding. • Legal know how. • Procedural security and reliability. 		
		Customer orientation	<ul style="list-style-type: none"> • Service-mindedness. • Accessibility. • Availability. • Reliability. • Efficiency.. 		
(8) Stakeholder consultation	Authorities	Identification	<ul style="list-style-type: none"> • Transparent and reliable list of involved public stakeholders (authorities). 		
		Participation	<ul style="list-style-type: none"> • Efficient dissemination of documents and delivery of comments in time. 		
		Evaluation	<ul style="list-style-type: none"> • Clear criteria for the evaluation and prioritisation of received comments and objections. 		
(9) Public consultation	Authorities & Applicant	Public announcement:	<ul style="list-style-type: none"> • Clear announcement procedure. • Comprehensive announcement information. • Used communication channels and applied media. • Public awareness of and public interest in the announcement. 		
		Display of documents:	<ul style="list-style-type: none"> • Easy access to displayed documents during normal working hours and in some evenings. • Clarity and comprehensiveness of displayed documents. • Understandable wording. • Illustrative charts and informative tables. • Concise summaries. 		
		Collection of comments:	<ul style="list-style-type: none"> • Low-threshold procedure of commenting. • Clear address for the delivery of comments. • Non-discriminating format of commenting. 		
		Information to the public:	<ul style="list-style-type: none"> • Public hearings. • Notification of the applicant of the comments, as far as it is concerned. • Publication of consultation results respectively of the award of permit. 		

3.4 Conclusions and recommendations

Based upon the results of SUPPORT_ERS, the Working Group comes to the conclusion that an optimization of relevant administrative procedures, in particular of those procedures which are related to required permits, will in most cases help to promote RES-E and RES-H more successfully in the new EU Member States.

Major optimization targets should be:

- Shorten the lead-time for reducing the permit.
- Reduce the cost and effort of procedures.
- Eliminate any uncertainty of formal requirements.
- Improve the transparency of procedures.
- Minimise the risk of failure (non-award of permit).
- Avoid the contestation of permits.

It is recommended to develop optimization schemes on the basis of a methodology which makes the results comparable to best practice examples from other regions or from other countries.

The proposed checklist method and format are presenting an efficient methodology and an appropriate structure for the performance and documentation of a sound analysis of relevant administrative procedures as well as for the drawing of conclusions and the completion of recommendations for optimization measures.

It is recommended to apply this instrument for the documentation of best practice examples as well for the analysis of administrative procedures which are to be improved on the basis of experience from comparable activities in other regions or in other countries.

Consequently, the format of the checklist is also used as a for the documentation of best practice examples in D12 (see chapter 4).

4 Good practices for strengthening administrative structures (D12)

4.1 Introduction

In the following chapter the Working Group is presenting 8 examples for good practices for strengthening of administrative structures and procedures. These examples are taken from the following countries:



Austria Environmental Support Scheme for Austrian Enterprises



Bulgaria New aspects of energy policy in Bulgaria - Incentive mechanisms for production of electricity, heating and cooling energy from RE



Croatia Renewable Energy Advisory Facility (REAF) at the Ministry of Economy, Labour and Entrepreneurship - support to the project developers in administrative procedures



Estonia Web-based application of Guarantee of Origin



Germany
(2) Licensing procedure with EIA in Brandenburg
Energy Supply Breuberg Rai-Breitenbach with Renewable Energies



Romania
(2) Licensing procedure and authorizations set up in electricity field
Intermediate Body for Energy (IBE) - RES projects promotion in Sectoral Operational Programme Competitiveness, Priority axis 4


Examples are covering all levels of administration: National (6), Regional (1), and Local (1)


The distribution of the best practice examples to the various levels of administration is, on the one hand, corresponding to the situation that in many countries, particularly in the new EU Member States, it is still the national level of administration which is playing a major role for the development of RES-E or RES-H markets.


On the other hand, experience from EU15 Member States shows that the implementation of projects promoting RES-E or RES-H is most probably depending on administrative procedures at the local or regional level. Therefore, the strengthening of local and regional level of administration will gain increasing importance in the near term in all countries represented in SUPPORT_ERS. An idea on how to develop administrative structures and procedures for RES-E and RES-H at the local and regional levels is given by the examples from Germany.


4.2 Presentation of good practice examples


In the following tables, the structure of the proposed checklist (see chapter 3) is used for the presentation of best practice examples.


4.2.1 Environmental Support Scheme for Austrian Enterprises 	
Source of Information:	www.public-consulting.at
Legal basis	Environmental Support Act
Short description	<p>In the frame of the Environmental Support Act the Environmental Support Scheme for Austrian Enterprises offers subsidies to companies. Companies can obtain subsidies for the use of renewable energies (precondition: standards of heating and cooling equipment have to be met), for the enhancement of energy efficiency and for other climate related measures.</p> <p>In the field of renewable energies the fund supports:</p> <ul style="list-style-type: none"> • biomass (individual plants, local heat, CHP) • heat distribution • geothermal installations • energy recovery from organic waste • solar thermal systems • electricity producing plants <p>The fund is managed by Kommunalkredit Public Consulting GmbH (KPC) on behalf of the Federal Ministry of Agriculture and Forestry, Environment and Water Management.</p> <p>In 2006 2,333 projects with a total investment volume of € 437.6 million and a total funding of € 75.7 million were supported.</p>
Action fields:	Activities / Description
(1) Consultation of Applicants	<p>Information / Assistance: Besides folders and brochures being printed, information on the Environmental Subsidy Scheme for Austrian Enterprises is mainly provided online. Furthermore, staff of the Kommunalkredit Public Consulting GmbH also inform potential beneficiaries via phone and they organise workshops and seminars.</p>
(2) Preparation of applications	<p>Definition: Detailed information on the necessary application documents is available on the website from which the relevant documents can be downloaded. Specific information on the eligibility criteria is also available online. Personal guidance on how to fill the application documents is also provided when necessary.</p> <p>Screening & Scoping: When applying for a subsidy in the framework of the Environmental Subsidy Scheme for Austrian enterprises, technical and economic criteria have to be met. The criteria are laid down in a handbook and in specific information sheets. When applying for funding, the following indicators have to be filled in the application form:</p> <p><u>Core indicators:</u></p> <ul style="list-style-type: none"> ▪ Size of the company (SME, big enterprise) and type of company ▪ Dimension of environmental impact regarding pollution (in accordance with statutory requirements/positive impacts/very positive impacts) ▪ Dimension of environmental impact regarding consumption of resources (in accordance with statutory requirements/positive impacts/very positive impacts) ▪ Dimension of environmental impact regarding biodiversity (in accordance with statutory requirements/positive impacts/very positive impacts) ▪ Dimension of environmental impact regarding waste (in accordance with statutory requirements/positive impacts/very positive impacts) ▪ Project location (urban/rural) ▪ Project impact regarding equal opportunities <p><u>Environmental indicators:</u> Reduction of: Dust, SO₂, NO_x, Volatile hydrocarbon, Sewage water, BOD₅, COD, Waste, Coal, Oil, Gas, Electricity Production of: Biomass, Biogas, Solar energy</p>


4.2.1 Environmental Support Scheme for Austrian Enterprises 	
	<p>In addition to specifying the core and environmental indicators, technical data has to be supplied in order to assess the project's environmental impact. For each project type, a technical data sheet was elaborated and can be downloaded from the website of the KPC. Examples of such technical data sheet will be enclosed in the appendix. Depending on the type of project, it is required to fill in data on the expected reduction of emissions, waste and noise, the type of energy source used before and after implementation of the project, the expected energy savings and the efficiency of the technology.</p>
<p>(3) Application management (4) Quality of documents (5) Organisation of the permitting procedure (6) Information flow</p>	<p>The most important steps when submitting a project in the framework of the Environmental Subsidy Scheme for Austrian Enterprises are:</p> <ol style="list-style-type: none"> 1. Application The applicant has to submit his request for funding before the project is actually implemented. As soon as the request for funding is submitted, the applicant can start with the implementation of the project. However, he/she has to bear in mind that his/her request for funding can be rejected. 2. Processing Experts check whether the project is technically and economically eligible for funding. In case any documents are missing, the application has to hand in the missing documents. It usually takes between three to six months to process a request for funding (depending on the quality and complexity of the proposal). 3. Recommendation of funding The experts inform the applicant about the amount of funding he/she might receive. The applicant is entitled to comment on the recommendation of funding. 4. Final check by the Commission, approval by the Minister of Environmental Affairs The Commission has to approve the proposal before the Minister of Environmental Affairs grants funding for the proposed action. 5. Contract issuance and contract acceptance The funding authority sends the contract to the applicant who has to sign the contract and return it to the funding authority. 6. Project finalisation No longer than 12 months after completion of the project, the applicant has to issue a final settlement (including invoices, receipts of payments, etc.) and present it to the funding authority. 7. Final settlement The funding authority checks the final settlement. In case any documents are missing, the application has to hand in the missing documents. 8. Payment The funding authority informs the applicant about the results of the final settlement and authorises the payment of the subsidy to the applicant. 9. Monitoring In order to make sure that the project has a positive environmental effect, it is subject to random inspections. <i>It has to be noted that the implementation of the project should take no longer than two years (exceptions possible).</i>
<p>(7) Qualification of authorities; Monitoring & Evaluation</p>	<p>Monitoring: In the framework of the Environmental Subsidy Scheme for Austrian Enterprises, evaluators are chosen according to their experience and specific know-how in evaluating a project. In general, every project is evaluated by two evaluators. Investors are aware that they will be monitored throughout the project and have to accept technical visits as well as to supply information and data when being asked to. The monitoring procedure is also specified in the support contract. Information supplied for monitoring must include cost sheets as well as technical information on the project. Each project is monitored according to the current stage of realization</p>


4.2.2 New aspects of energy policy in Bulgaria - Incentive mechanisms for production of electricity, heating and cooling energy from RE 	
Source of Information:	Ministry of economy, energy and transport State Commission for Energy and Water Regulation Energy Efficiency Agency
Legal basis	<ul style="list-style-type: none"> • Law on the Renewable and Alternative Sources of Energy and the Biofuels • Law on Energy Efficiency • Decision on the State Commission for Energy and Water Regulation
Short description	<p>The Bulgarian energy policy is dynamically updated in harmony to the latest European energy policy, based on climate changes, depletion of energy resources and increased energy consumption of the society. As part on the EU Bulgaria has to fulfil the requirements on the package "Energy and Climate" the so called "triple 20-20-20" targets of the EU, which must be reached by the year 2020. The national indicative target of Bulgaria, considering the national potential and specific conditions will be 16% RES energy in the final energy consumption by 2020. In the year 2008 it was 8%, by 2009 it was 9,4%.</p> <p>RES share in the Bulgarian energy mix: The consumption of biomass was increased 3.3 times in the period 1997-2006 and the share of biomass in the RES mix in 2006 was 67 %. 80-85 % of the biomass is firewood used for heating. The share of hydroelectricity in the RES mix in 2006 is 30 %. The electricity produced from hydro energy is with high energy value for final consumers compared to biomass. The hydroelectricity is also the cheapest electricity produced from RES. The share of other RES (geothermal, solar and wind) is only 3 % in the RES mix and the price of the energy produced is relatively high.</p> <p>The new law on the use of RES, AES and biofuels opens the land for new investments in this area by offering a couple of incentives:</p> <ul style="list-style-type: none"> • Priority connection of the RES/AER electricity producer to the grid • Preferential prices • 25 years – electricity from geothermal and solar RES • 15 years – electricity from HPP less 10 MW and other RES • Origin certificates not only for electricity but also for heating energy from RES, • Every year by 31 March the State Commission for Energy and Water Regulation determines the preferential prices for selling electric energy, generated from renewable or alternative energy sources, except for the energy, produced by hydroelectric power plants with installed capacity over 10 MW. <p>Preferential prices for electricity from RES after 01.04.2010:</p> <ul style="list-style-type: none"> • Hydropower plants (to 10 MW) – 56.65 Euro/MWh. • Solar PV plants (to 5 kWp) – 405.4 Euro/MWh. • Solar PV plants (above 5 kWp) –372.88 Euro/MWh. • Biomass and waste for producing electricity - between 61.02 and 131.22 Euro/ MWh., depending on the art of used biomass and waste. • For wind installations wit capacity < 800 KW (all are old) – 76,08 Euro/MWh. • For wind installations with capacity ≥ 800 kW and effective working hours less than 2250 h.- 97,48 Euro/MWh. • For wind installations with capacity ≥ 800 kW and effective working hours more than 2 250 h – 81,19 Euro/MWh. <p>All prices are given excluding VAT.</p> <p>The State Commission for Energy and Water Regulation has set the feed-in tariffs also for small hydro power plants with installed capacity up to 5MW new price as following:</p> <ul style="list-style-type: none"> • For low pressure axes hydro power plants – 78,02 Euro/MWh, excluding VAT. • For low pressure apron hydro power plants – 102,3 Euro/ MWh, excluding VAT. <p>As result from this policy at the moment RES projects with capacity around 12 000 MW are waiting for approval from the Ministry of economy, energy and tourisms.</p>

4.2.3 Renewable Energy Advisory Facility (REAF) at the Ministry of Economy, Labour and Entrepreneurship - support to the project developers in administrative procedures 	
Source of Information:	Domagoj Validžić, Head of Renewable Energy Division, Ministry of Economy, Labour and Entrepreneurship (MoELE)
Legal basis	The Energy Act (OG 68/01, 177/04, 76/07 and 152/08) and The Electricity Market Act (OG 177/04, 76/07 and 152/08); Regulation on Acquiring the Status of Eligible Electricity Producer (OG 67/07); Regulation on Renewable Energy Sources and Cogeneration Utilisation (OG 67/07); Tariff System for Production of Electricity Production from Renewable Energy Sources and Cogeneration (OG 33/07); Regulation on Compensation for Renewable Energy Sources and Cogeneration Electricity Incentives (OG 33/07) and Regulation on the Minimum Share of Renewable Energy Sources and Cogeneration in Electricity Supply (OG 33/07)
Short description	<p>Renewable Energy Advisory Facility was established in September 2008 in the framework of the Renewable Energy Resources Project (GEF/IBRD Grant - TF054973, Project No. P071464).</p> <p>The objective of the REAF is to provide technical assistance necessary for successful activity in project preparation support, especially in support to project developers in administrative procedure issues related to prior and final authorization of the renewable energy sources (RES) projects, as well as other administrative steps that RES projects have to undertake. The technical assistance will increase the capacity of MoELE to provide such support, even after this technical assistance ends (31 March 2010). On the basis of the aforementioned, the main tasks of the REAF are:</p> <ul style="list-style-type: none"> - to provide project preparation support and know-how to project developers, - to provide support in handling the Registry of Renewable Energy Resource and Cogeneration Projects and Privileged Producers, - capacity building of MoELE in project preparation support.
Action fields:	Description
(1) Consultation of Applicants	<p>Information / Assistance:</p> <p>REAF provides support to the applicant by giving advices and know-how on financing, permitting, feasibility studies, contracting, technical issues and other development activities.</p>
(2) Preparation of applications	<p>Definition:</p> <p>REAF provides pre-application talks and meetings, including brief review of project documentation as far as it is already available, discussion of potential problems, identification of critical issues etc.</p> <p>Screening & Scoping:</p> <p>REAF gives information on required documents and procedures for every specific project, support in identification of the key persons within the involved authorities, and prepares support letter. In the support letter, REAF stresses importance of the project in order to support communication between applicants and authorities.</p>
(3) Application management (4) Quality of documents	<p>Capacities / Communication / Documentation:</p> <p>Correctness / Completeness / Transparency:</p> <p>REAF checks the applicant documentation required for Preliminary Energy Approval and Energy Approval, i.e. approvals which are in the scope of responsibility of the Ministry of Economy, Labour and Entrepreneurship. For other steps of the procedure for acquiring eligible producer status, REAF also gives advices and above mentioned support.</p>
(5) Organisation of the permitting procedure	<p>Cooperation / Correlation / Coordination / Concentration:</p> <p>REAF is responsible for communication with applicants and for clarification of administrative procedures. REAF provides all necessary information to the applicant. However, the applicant has to contact directly all involved institutions in administrative procedures.</p>


4.2.3 Renewable Energy Advisory Facility (REAF) at the Ministry of Economy, Labour and Entrepreneurship - support to the project developers in administrative procedures 	
(6) Information flow	Exchange of information: REAF gives fast response on relevant requests for information and consultation in the scope of its responsibilities. Within the framework of its role, REAF is an information point, where project developers are able to obtain useful information for the preparation and development of the projects.
(7) Qualification of authorities	Know How: REAF has technical know how and procedural security and reliability, but not legal know how. For legal know how, external help is engaged. Customer-orientation: REAF's support is focused on assisting the applicants with regard to clarification of procedures (permitting, financing), as well as technical and management advising in order to avoid failures and save unnecessary cost.
(8) Public stakeholders (other authorities) consultation	Identification / Information / Participation: REAF gives list of authorities which are involved in the administrative procedures, on request. But, REAF is not responsible for efficient dissemination of documents neither for clear criteria for the evaluation and prioritisation of received comments and objections.
(9) Public consultation	Public announcement / Display of or access to documents / Collection of comments / Information to the public: Each RES project, after receiving Preliminary Energy Approval or Energy Approval (for RES projects with installed capacity less than 30 kW Preliminary Energy Approval is not needed), has to be announced on MOELE web page (http://www.mingo.hr/ , click RES & COGEN Projects Registry).


4.2.4 Web-based application of Guarantee of Origin 	
Source of Information:	Web page of National Grid Company (English version available http://www.elering.ee/index.php?id=229%2520%2520%2527&L=1)
Legal basis	Electricity Market Act
Short description	<p>Based upon the Electricity Market Act at the request of a producer, a transmission network operator has to issue to the producer a guarantee of origin certifying that the producer generated electricity from renewable energy sources or in efficient cogeneration regime.</p> <p>A transmission network operator has to create a database for the administration of guarantees of origin and has to publish information regarding the issued guarantees of origin on its webpage.</p>
Action fields:	Description
(1) Consultation of Applicants	Information / Assistance: Besides reminders for monthly responsibilities for the market participants (incl. RES-related) the web-page also contains list of different on-line application forms and guidelines for filling in the application forms.
(2) Applying the Guarantee of origin of electricity generated from renewable energy sources (§58)	Definition: Guarantees of origin of electricity generated from renewable energy sources are issued monthly and shall set out: 1)the name, address of the seat and details of the producer; 2)the name of the energy source used for the generation of electricity and the place of generation; 3)the amount of electricity generated in megawatt-hours, the period of generation, the time for generation in hours and the date of issue of the guarantee of origin; 4)the amount of electricity in megawatt-hours, which is sold during the period (specified in clause 3 of this subsection by using the support or the purchase obligation specified in § 59 of this Act); 5)the capacity of generating installations if electricity is generated in a hydroelectric station; 6)other information established by the distribution network operator.
(3) Application management	Capacities / Communication / Documentation: Correctness / Completeness / Transparence: Transmission network operator has resolved obligation to issue the certificates by web-based solution where the application is filled by the applicant in the on-line environment. As a result the work load of the transmission operator has decreased and it is easier to publish the data on the web-page. For applicants the service is quicker and for the issuer the work load has decreased.
(4) Quality of documents	Transmission network operator checks the provided data and issues certificate if the data presented turns out to be correct.


4.2.5 Licensing procedure with EIA in Brandenburg 	
Source of Information:	Mr. Sebastian Dorn, Head of Permitting Procedure Unit State Agency of the Environment Brandenburg, Potsdam <i>Landesumweltamt Brandenburg (LUA)</i>
Legal basis	Brandenburg Law on the Environmental Impact Assessment <i>Brandenburgisches Gesetz über die Umweltverträglichkeitsprüfung (UVPG)</i>
Short description	Based upon the UVPG, which is inspired by a high level of political responsibility for the environment, the LUA established an efficient <u>one-shop-stop</u> solution for the handling of licensing procedures with EIA in the State of Brandenburg. This procedure is aiming, among other things, on: <ul style="list-style-type: none"> - effective protection of the environment - efficient administration of licensing procedures - appropriate involvement of other authorities - fair public participation. The LUA is dedicated to finalise the decision making process from the delivery of application documents up to the issuing of the licensing documents within a maximum of 6 months .
Action fields:	Description
(1) Consultation of Applicants	Information / Assistance: LUA as the technical authority seconded to the Ministry of Environmental affairs is in the position to provide all required information to the applicant, a major part of it via the internet, and to provide substantial advice regarding the the planning, preparation and presentation of required studies and documents, if requested.
(2) Preparation of applications (§§ 3, 5, Annex 1 and Annex 2 UVPG)	Definition: LUA is giving the applicant a clear advice whether the project is subject to an EIA or not, based upon the criteria as stipulated in the UVPG. This advice is normally given within a few days following the announcement of the project to the LUA Screening & Scoping: This is a major step of the procedure for an EIA. Each individual project is screened with regard to its potential environmental impact. On the basis of the screening, The applicant is given a clear and reliable list of criteria which are to be studied and of documents which are to be delivered for the purpose of the specific project (scoping).
(3) Application management (4) Quality of documents	Capacities / Communication / Documentation: Correctness / Completeness / Transparency: Based upon the scoping of the procedure, it is the applicants own responsibility to compile the necessary documentation, be it by means of his own staff or by means of external experts. LUA is prepared to support the applicant and his consulting engineers by means of technical and legal advice, if requested.
(5) Organisation of the permitting procedure	Cooperation / Correlation / Coordination: The LUA is the applicant's only direct contact throughout the official licensing procedure. All other authorities are involved by LUA directly. Contacts of the applicant to other authorities may be helpful in order to accelerate the process, but they are not mandatory. Concentration: LUA is serving the applicants as a one-stop-shop for the whole licensing procedure.
(6) Information flow	Exchange of information: All participating authorities are sent the full set of documentation which was delivered by the applicant to LUA.


4.2.5 Licensing procedure with EIA in Brandenburg 	
(7) Qualification of authorities	<p>Know How: LUA as the technical authority seconded to the Ministry of Environmental affairs has all the required technical and legal expertise in-house.</p> <p>Customer-orientation: High priority is put on assisting the applicants with regard to:</p> <ul style="list-style-type: none"> - avoiding failures, - saving unnecessary cost, - minimising delays.
(8) Public stakeholders (other authorities) consultation (§7 UVPG)	<p>Identification: Clear list of authorities which have to participate.</p> <p>Information: Participating authorities will be sent the full documentation related tot he application.</p> <p>Participation: Participating authorities have to give their comments within a defined period of time. No response means "no objections".</p>
(9) Public consultation (§9 UVPG)	<p>Public announcement: Each project which is subject to an EIA has to be announced to the public in the official media.</p> <p>Display of / access to documents: All documents submitted by the applicant are on display for a sufficient period of time upon public announcement.</p> <p>Collection of comments: Everybody is invited to notify the LUA of his or her specific comments or objections regarding the project.</p> <p>Information to the public: The public is informed about the decisions. The pursuit of claims in the subsequent approval procedure is not affected...</p>

4.2.6 Energy Supply Breuberg Rai-Breitenbach with Renewable Energies	
Source of Information:	Mr. Stapp, project initiator and municipal administrator Rai-Breitenbach Homepage http://www.bioenergiesdorf-odenwald.de/deutsch/wissenstransfer/realisierung/
Short description	In the German Municipality of Breuberg Rai-Breitenbach an out-of-date heating system operated with heating oil was to be replaced by a combined biomass heat and power station. About 900 inhabitants and two schools with about 1200 pupils were to be supplied with 100% renewable energy from a combined biomass heat and power station plus photovoltaic. Timeframe: January 2005: First contact to a municipality which had implemented a corresponding system successfully. August 2008: Start of local heat supply for 150 households and two schools with combined biomass heat and power station plus photovoltaic Authorities involved in the permitting procedure: district office, regional council The project's fast realization was facilitated through: the applicant's highly proactive commitment; authorities which conducted the permitting procedure adequately, not hindering it; excellent consultation through the association of co-operatives, banks (particularly KfW, offering support to encourage sustainable improvement in economic, social, ecological living and business conditions), and the district building authority; the applicant's project design (1. early and binding commitment of interested parties: at an early stage in the project inhabitants/schools were requested to join and pay a first interest for the newly founded association; 2. the restricted size of the project creates a strong inducement to participate: the heat and power station is designed for a restricted number of users and interested parties need to sign fast in order to be able to participate)
Action fields:	Description
(1) Consultation of Applicants	Information/Assistance: The applicant collects information on his own initiative, supported by external consultation (association of co-operatives, banks/KfW, district building authority)
(2) Preparation of applications	Definition/Scoping: The application's definition and scoping is realized through the applicant's initiative in cooperation with: municipalities which have realized similar projects successfully; authorities, e.g. environmental ministry, building authority; experts for the formation of a cooperative; investors (KfW); interested inhabitants and schools (as future members of the cooperative and customers of heat and power). Networking: The networking with relevant authorities and stakeholders in general is based on the applicant's initiative.
(3) Application management (4) Quality of documents	Capacities / Communication / Documentation: The applicant is backed by the cooperative's management. In charge of the permitting procedure's accomplishment are two members. Furthermore the cooperative installs workgroups to take over tasks. Correctness / Completeness / Transparency: Documents for the permitting procedure are based on the information gathered for the procedure, advice from model municipalities which have passed similar procedures successfully, and advice from experts (association of cooperatives, bank, authorities) and therefore support an efficient permitting procedure.
(5) Organisation of the permitting procedure	Cooperation: Cooperation with authorities in charge of the permitting procedure proves to be positive, not complicating the procedure's success. Correlation / Coordination / Concentration: Several authorities with contact persons of their own are involved in the procedure. There is no concentration on one key person or a one-stop-shop.
(6) Information flow	Exchange of information: The sharing of information is efficient, not obstructing the procedure.

4.2.6 Energy Supply Breuberg Rai-Breitenbach with Renewable Energies 	
(7) Qualification of authorities	<p>Know How: Authorities involved in the procedure prove to be competent. Additionally the applicant largely relies on external information (e.g. ministry of the environment, association of cooperatives, KfW).</p> <p>Customer-orientation: Authorities are available for the applicant and support the procedure.</p>
(8) Public stakeholders (other authorities) consultation	<p>Identification: The applicant obtains a list of involved stakeholders.</p> <p>Participation / Evaluation: Authorities support the timely permitting procedure through their adequate handling of documents and comments.</p>
(9) Public consultation	<p>Public announcement / Display of / access to documents / Collection of comments/Information to the public: The applicant cares for information and integration of the public: information about model projects; "energy Sundays" for the acquisition of possible customers for heat and power as well as for the cooperative constitution's preparation; information tour to model project.</p>

4.2.7 Licensing procedure and authorizations set up in electricity field 	
Source of Information:	Romanian Energy Regulatory Authority - ANRE
Legal basis	Government Decision no. 540/2004 modified by Government Decision no. 553/2007
Short description	<p>The mentioned Government Decision (GD) establishes the procedure for licensing and authorisation set up within electricity sector including cogeneration. According to its provision, the competent authority gives authorization set up for:</p> <ul style="list-style-type: none"> ○ necessary works for new electricity production unit or cogeneration units implementation, if the capacity of the unit is higher than 1 MW; ○ necessary works for refurbishment of an existing electricity production unit or cogeneration unit having more than 1 MW. <p>There is no need authorization set up for electricity production unit or cogeneration unit having less than 1 MW.</p> <p>The competent authority will emit the decision for getting set up authorization or licences in maximum 60 days from the registration of the complete dossier.</p> <p>In case of electricity production units or cogeneration units using RES and for high efficiency cogeneration, the mentioned period of time it is reduced at 30 days.</p>
Action fields:	Description
(1) Consultation of Applicants	<p>Information/Assistance:</p> <p>Based on this Government Decision, the applicants can reduce the period for obtaining setting up authorization or licences.</p>
(2) Preparation of applications	<p>Definition/Screening & Scoping:</p> <p>ANRE provide information related to completion of the documents attached to the application for obtaining set up authorization or licences.</p>
(3) Application management	<p>Capacities/Communication/Documentation:</p> <p>Correctness/Completeness/Transparency:</p> <p>ANRE checks the correctness of the application and ask for completion.</p>
(4) Quality of documents	<p>The authorization or licences are provided based on complete application after the tax payment.</p>

4.2.8 Intermediate Body for Energy (IBE) - RES projects promotion in Sectoral Operational Programme Competitiveness, Priority axis 4 	
Source of Information:	Intermediary Body for Energy www.http://oie.minind.ro/
Legal basis	<p>Governmental Decision 718/2008: regarding the approval of horizontal state aid scheme for regional sustainable development and emission reduction;</p> <p>GD 750/2008 regarding the approval of regional state aid scheme for recovery of renewable resources energy;</p> <p>GD 497/2004 establishing the institutional framework for coordination, implementation and management of structural instruments;</p> <p>Decision no. 28/2008 regarding the approval of the framework content of technical and economic documents related to public investment, and the structure and methodology for developing the general estimate the investment objectives and interventions work;</p> <p>Decision no. 759/2007 rules on eligibility of expenses incurred in the operations financed by operational programs;</p> <p>GD no.1069/2007 approving Romania's Energy Strategy for 2007-2020;</p> <p>Law no.13/2007 Energy Law;</p> <p>Law no 199/2000 Energy efficiency;</p> <p>Law no 443/2003 the promotion of electricity from renewable energy sources with subsequent additions and amendments;</p> <p>Decision no.1535/2003 approving the Strategy for the use of renewable sources;</p>
Short description	<p>The SOP IEC Managing Authority is responsible for managing and implementing the operational program in accordance with the principle of sound financial management and in particular for:</p> <p>a) ensuring that operations selected for funding in accordance with the criteria applicable to the operational program and that they comply with applicable Community and national rules for the whole of their implementation period;</p> <p>b) verifying that the co-financed products and services are delivered and that the expenditure declared by the beneficiaries for operations has actually been incurred and complies with Community and national rules; verifications on-the-spot of individual operations may be carried out on a sample basis in accordance with the detailed rules of the Commission in accordance with the procedure referred to in Article 103(3);</p> <p>c) ensuring that there is a system for recording and storing in computerized form accounting records for each operation under the operational program and that the data on implementation necessary for financial management, monitoring, verifications, audits and evaluation are collected;</p> <p>d) ensuring that beneficiaries and other bodies involved in the implementation of operations maintain either a separate accounting system or an adequate accounting code for all transactions relating to the operation without prejudice to national accounting rules;</p> <p>e) ensuring that the evaluations of operational programs referred to in Article 48(3) are carried out in accordance with Article 47;</p> <p>f) setting up procedures to ensure that all documents regarding expenditure and audits required to ensure an adequate audit trail are held in accordance with the requirements of Article 90;</p> <p>g) ensuring that the certifying authority receives all necessary information on the procedures and verifications carried out in relation to expenditure for the purpose of certification;</p> <p>h) guiding the work of the monitoring committee and providing it with the documents required to permit the quality of the implementation of the operational program to be monitored in the light of its specific goals;</p> <p>i) drawing up and, after approval by the monitoring committee, submitting to</p>

4.2.8 Intermediate Body for Energy (IBE) - RES projects promotion in Sectoral Operational Programme Competitiveness, Priority axis 4 	
	the Commission the annual and final reports on implementation; j) ensuring compliance with the information and publicity requirements laid down in Article 69; k) providing the Commission with information to allow it to appraise major projects.
Action fields:	Description
(1) Consultation of Applicants	Information / Assistance: IBE provides to applicants guidelines related to how an application has to be prepared in order to obtain non-reimbursable funds for a project implementation in energy field, including RES
(2) Preparation of applications	Definition: IBE organize seminars where are presented the procedures for providing an application for RES project implementation under SOP Competitiveness. Screening & Scoping: IBE announces the projects submission session and provide answers to the questions addressed by the applicants in relation with application preparation. The addressed questions and answers are made public via its webpage.
(3) Application management (4) Quality of documents	Capacities/Communication/Documentation Correctness/Completeness/Transparency The applications provided under a projects session are evaluated by a group of experts according to a set of criteria made public through the specific application guidelines. IBE has a webpage where are published all the relevant information related to the applications sessions, questions from applicants and provided answers, selected applications for financing, allocated budgets, etc. IBE checks the submitted applications and asked for supplementary information if required in order to complete and making clear the project.
(5) Organisation of the permitting procedure	Cooperation/Correlation/Coordination/Concentration: IBE advises the applicants for necessary permits. However the applicant has to contact directly all involved institutions in administrative procedures of the project.
(6) Information flow	Exchange of information: IBE gives answers to the addressed questions and make public via its webpage all the addressed questions and answers.
(7) Qualification of authorities	Know How/Customer-orientation: IBE support is focused on identification of the best projects for providing financing under SOP Competitiveness based on a transparent selection procedure publicly known.
(8) Public stakeholders (other authorities) consultation	Identification/Information/Participation: Each applicants has to know and directly contact the authorities in charge for
(9) Public consultation	Public announcement/Display of documents/Collection of comments/Information to the public: IBE announces through its webpage the opening/closing of projects sessions, the list of financed projects and the stage of implementation for the financed projects