



**INTELLIGENT  
ENERGY  
EUROPE**  
FOR A SUSTAINABLE FUTURE



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# CALL FOR PROPOSALS 2012



**Call identifier:  
CIP-IEE-2012**

**CLOSING DATES:**

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

Except for the BUILD UP Skills Initiative which has different deadlines

**Electronic submission only.**

**For further information:**

**[http://ec.europa.eu/energy/intelligent/index\\_en.htm](http://ec.europa.eu/energy/intelligent/index_en.htm)**

# CALL FOR PROPOSALS 2012 FOR ACTIONS UNDER THE PROGRAMME “INTELLIGENT ENERGY – EUROPE”

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## TABLE OF CONTENTS

<b>1.</b>	<b>THE INTELLIGENT ENERGY – EUROPE PROGRAMME</b>	<b>3</b>
<b>2.</b>	<b>BUDGET, FUNDING RATES AND ELIGIBILITY OF COSTS</b>	<b>4</b>
<b>3.</b>	<b>ELIGIBILITY CRITERIA</b>	<b>5</b>
3.1.	Which organisations and countries are eligible?	5
3.2.	How many applicants are required?	5
3.3.	Specific provisions for Build Up Skills and MLEI - Project Development Assistance	6
3.4.	Themes and funding priorities	7
3.5.	Submission	7
3.6.	Grounds for exclusion	7
3.7.	Administrative and financial penalties	8
<b>4.</b>	<b>SELECTION CRITERIA</b>	<b>9</b>
4.1.	Financial capacity of applicants	9
4.2.	Technical capacity of applicants	9
<b>5.</b>	<b>AWARD CRITERIA</b>	<b>9</b>
<b>6.</b>	<b>GENERAL CONDITIONS FOR AWARDED GRANTS</b>	<b>12</b>
<b>7.</b>	<b>SUBMISSION OF APPLICATIONS</b>	<b>12</b>
<b>8.</b>	<b>ADDITIONAL INFORMATION</b>	<b>13</b>
<b>9.</b>	<b>INDICATIVE TIMETABLE</b>	<b>13</b>
<b>10.</b>	<b>PRIORITIES AND TYPES OF ACTION FOR 2012</b>	<b>14</b>
10.1	SAVE: Energy efficiency (indicative budget: EUR 15 million)	14
10.1.1	SAVE — Industrial excellence in energy	14
10.1.2	SAVE – Consumer behaviour	15
10.1.3	SAVE – Energy services	16
10.2	ALTENER: New and renewable energy resources (indicative budget: EUR 11.5 million)	17
10.2.1	ALTENER — Electricity from renewable energy sources (RES-e)	18
10.2.2	ALTENER — Bioenergy	20
10.3	STEER: Energy in transport (indicative budget: EUR 12.5 million)	21
10.3.1	STEER — Energy-efficient transport	22
10.3.2	STEER — Clean and energy-efficient vehicles	23
10.4	Integrated Initiatives (indicative budget: EUR 27 million)	23
10.4.1	Energy-efficient Public Spending Initiative	24
10.4.2	Local Energy Leadership	24
10.4.3	Mobilising Local Energy Investments	25
10.4.4	Energy efficiency and renewable energy in buildings	27
10.4.5	Build Up Skills, the Sustainable Building Workforce Initiative - Training and Qualification in the field of energy efficiency and renewable energy	28

## 1. THE INTELLIGENT ENERGY – EUROPE PROGRAMME

The objective of the Intelligent Energy - Europe II Programme (“IEE II”) is to contribute to secure, sustainable and competitively priced energy for Europe, by providing for action<sup>1</sup>:

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

The Programme in particular contributes to the EU Energy 2020 Strategy<sup>2</sup>, and facilitates the implementation of the Energy Efficiency Plan 2011<sup>3</sup> and of the Directive on the promotion of the use of energy from renewable sources<sup>4</sup>.

Intelligent Energy – Europe builds on the experience gained from its predecessor, the first Intelligent Energy - Europe (2003-2006) Programme<sup>5</sup>. This Programme has become the main EU instrument to tackle non-technological barriers to the spread of efficient use of energy and greater use of new and renewable energy sources. From 2007, Intelligent Energy – Europe has been included in the overall Competitiveness and Innovation Framework Programme (CIP)<sup>6</sup>.

The Programme is managed by the Executive Agency for Competitiveness and Innovation under powers delegated by the European Commission.

In operational terms the Intelligent Energy - Europe Programme aims to<sup>7</sup>:

- a) provide the elements necessary for the improvement of sustainability, the development of the potential of cities and regions, as well as for the preparation of the legislative measures needed to attain the related strategic objectives; develop the means and instruments to follow up, monitor and evaluate the impact of the measures adopted by the EU and its Member States in the fields addressed by the Programme;
- b) boost investment across Member States in new and best performing technologies in the fields of energy efficiency, renewable energy sources and energy diversification, including in transport, by bridging the gap between the successful demonstration of innovative technologies and their effective, broad market uptake in order to attain leverage of public and private sector investment, promote key strategic technologies, bring down costs, increase market experience and contribute to reducing the financial risks and other perceived risks and barriers that hinder this type of investment;
- c) remove the non-technological barriers to efficient and intelligent patterns of energy production and consumption by promoting institutional capacity building at, inter alia, local and regional level, by raising awareness, notably through the educational system, by encouraging exchanges of experience and know-how among the main players concerned, business and citizens in general and by stimulating the spread of best practices and best available technologies, notably by means of their promotion at EU level.

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<sup>1</sup> Decision No 1639/2006/EC of the European Parliament and of the Council of 24 October 2006 establishing a Competitiveness and Innovation Framework Programme (2007 to 2013), OJ L 310/15, 9.11.2006, Article 37.

<sup>2</sup> "Energy 2020 - A strategy for competitive, sustainable and secure energy". COM(2010) 639 final

<sup>3</sup> COM(2011) 109 Final

<sup>4</sup> Directive 2009/28/EC of the European Parliament and of the Council of 23 April 2009 on the promotion of the use of energy from renewable sources and amending and subsequently repealing Directives 2001/77/EC and 2003/30/EC.

<sup>5</sup> Decision 1230/2003/EC of the European Parliament and of the Council of 26.06.2003

<sup>6</sup> Articles 37 to 45 of Decision No 1639/2006/EC of the European Parliament and of the Council of 24.10.2006 establishing a Competitiveness and Innovation Framework Programme (2007 to 2013).

<sup>7</sup> Articles 38 of Decision No 1639/2006/EC of the European Parliament and of the Council of 24.10.2006 establishing a Competitiveness and Innovation Framework Programme (2007 to 2013).

Intelligent Energy - Europe covers action in the following fields:

**Energy efficiency and rational use of energy resources (SAVE)**, including:

- improving energy efficiency and the rational use of energy, in particular in the building and industry sectors;
- supporting the preparation and application of legislative measures.

**New and renewable energy resources (ALTENER)**, including:

- promoting new and renewable energy sources for centralised and decentralised production of electricity, heat and cooling, and thus supporting the diversification of energy sources;
- integrating new and renewable energy sources into the local environment and the energy systems;
- supporting the preparation and application of legislative measures.

**Energy in transport (STEER)** to promote energy efficiency and the use of new and renewable energies sources in transport, including

- supporting initiatives relating to all energy aspects of transport and the diversification of fuels;
- promoting renewable fuels and energy efficiency in transport;
- supporting the preparation and application of legislative measures.

**Integrated initiatives** combining several of the above specific fields or relating to certain EU priorities. They may include actions integrating energy efficiency and renewable energy sources in several sectors of the economy and/or combining various instruments, tools and actors within the same action or project.

Actions supported in the framework of the IEE II programme have a significant impact at European level, a high profile and the broadest possible relevance to European citizens and policies. In this context, preference is given to proposals of outstanding quality that present cost-effective arrangements and a significant dimension.

The above fields, objectives, and instruments are valid for the whole Programme duration, i.e. from 2007 to 2013. However each annual work programme sets a number of more specific, action-related objectives. Those relative to the call for proposals 2012 have been set in the annual work programme 2012, adopted by the European Commission on 20 December 2011<sup>8</sup>. They are summarised hereafter.

It is expected that this call for proposals will result in about **60 projects** being supported.

**For the priorities and types of action for this Call 2012, see chapter 10.**

## 2. BUDGET, FUNDING RATES AND ELIGIBILITY OF COSTS

The indicative total amount available for this call is about **EUR 67 million**. The European Commission, through the Executive Agency for Competitiveness and Innovation (EACI), plans to grant funds which are complementary to contributions made by the beneficiary, the national, regional or local authorities and/or other bodies. The sources of co-funding must be transparent and stated in such a way that they are clearly identifiable and accountable.

Accordingly, the amount granted will be **up to 75% of the total eligible costs** (except for the projects funded under the *Build Up Skills Initiative*)

The EU contribution to reimburse eligible costs must not give rise to a profit. Contributions in kind are not eligible costs. One action may give rise to the award of only one grant from the EU budget to any one beneficiary. Action which receives financial support for the same purpose from other EU financial instruments will not receive funding from the IEE II Programme.

<sup>8</sup> C(2011)9451

Eligible costs can be incurred only after signature of the grant agreement by all the parties, save in exceptional cases, and under no circumstances before submission of the application for a grant.

**The maximum duration of a project is 36 months.**

### 3. ELIGIBILITY CRITERIA

**The eligibility criteria will be checked by the EACI on receipt of the proposals. Failure to comply with these criteria will result in the proposal not being evaluated further.**

#### 3.1. Which organisations and countries are eligible?

All applicants must be legal entities, whether public or private, established in the territory of the EU Member States, Norway, Iceland, Liechtenstein, Croatia, or the Former Yugoslav Republic of Macedonia.

A grant agreement with legal entities established in other countries will only be signed under the condition that the country has undertaken the necessary steps to join the IEE II programme. Up-to-date information on which countries are part of the programme is available on the programme website (see chapter 8).

The IEE II programme is also open to the Joint Research Centre of the European Commission (JRC). It is also open to international organisations – subject to the conditions set out above. They may, if necessary, receive funding. If one of the participants is the JRC or an international organisation, it is deemed to be established in a Member State or associated country other than any Member State or associated country in which another participant in the same action is established.

Local and regional energy agencies which were established with and are still beneficiaries of EU contributions from the IEE II Programme are eligible to participate in IEE II projects (a) if they provide evidence that their resources are sufficient to cover the additional activities and that those additional activities do not overlap with the work programme of their existing IEE II grant agreement or (b) if the submission deadline for the call for proposals lies at least 24 months after the starting date of their activities, as specified in the relevant grant agreement.

Applicants that do not have legal personality may apply for grants provided that the representatives of these applicants prove that they have the capacity to undertake legal obligations on behalf of the applicant and provided that they offer financial guarantees equivalent to those provided by legal entities.

“Legal entity” means any entity created under the national law of its place of establishment, EU law or international law, which has legal personality and which, acting under its own name, may exercise rights and be subject to obligations.

"International organisations" means legal entities arising from an association of States, other than the EU, established on the basis of a treaty or similar act, having common institutions and an international legal personality distinct from that of its Member States.

**Natural persons are not eligible.**

#### 3.2. How many applicants are required?

For the main call, applications must be submitted by a **team of at least three independent<sup>9</sup> legal entities, each established in a different eligible country** (see section 3.1).

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<sup>9</sup> Definition of independent: In case of two undertakings A and B; A may control not more than 50% of B, and vice versa; A and B may be controlled not more than 50% by a third undertaking C.

### 3.3. Specific provisions for Build Up Skills and MLEI - Project Development Assistance

#### a) Build Up Skills (see section 10.4.5)

- **How many applicants are required?:**

- *Pillar I actions:* applications must be submitted by a team of independent legal entities, established in the same eligible country.
- *Pillar II actions:* applications can be submitted either by a team of independent legal entities established in the same eligible country or by a team of independent legal entities from different eligible countries.

- **Funding rates:**

- *Pillar I actions:* EU funding can be up to 90% of the total eligible costs.
- *Pillar II action:* EU funding can be up to 75% of the total eligible costs.

#### b) Mobilising Local Energy Investments - Project Development Assistance (PDA), see section 10.4.3)

- **Specific eligibility criteria:**

1. How many applicants are required?: Proposals must be submitted by one or more legal entities, each established in an eligible country.
2. Proposals must be coordinated by a local or regional public authority (municipality, city, province, region), **or** by another public body<sup>10</sup>.
3. Grants for project development assistance within this priority must lead to investments with a minimum leverage factor of 15 (each Euro of project development assistance costs must lead to investments in renewable energy sources and/or energy efficiency measures of at least EUR 15).
4. Proposals must involve minimum project development assistance costs of EUR 400 000, leading to a minimum investment of EUR 6 000 000 in renewable energy sources and/or energy efficiency measures or in justified cases EUR 200 000, leading to a minimum investment of EUR 3 000 000.

- **Other specific provisions:**

1. IEE II grants for project development assistance will only be paid in full if planned investments are launched or relevant investment contracts are signed before the end of the project period, up to 36 months from the signature of the contract. In the event of failure to deliver the planned investments, the EU contribution will have to be reimbursed by the beneficiary, although some costs may be eligible for support if adequately justified.
2. Performance indicators must include measurable results in terms of energy saved (toe/year), RES supply increased (toe/year), greenhouse gas emissions reduced (tCO<sub>2</sub>e/year), investments mobilised (EUR), and if possible local jobs created.

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<sup>10</sup>‘Public body’ means a body created by a public authority or a legal entity governed by private law with a public service mission, financed totally or to a large extent (i.e. more than 50%) by public sources, whose internal procedures and accounts are subject to control by a public authority and for whose liabilities a public authority will accept responsibility in the event that the public body ceases its activities

### 3.4. Themes and funding priorities

All priorities mentioned in **chapter 10** are open for submission of proposals.

Exceptionally, and if properly justified, proposals that meet the eligibility and selection criteria but do not directly respond to the priorities defined in the Call may also be considered.

### 3.5. Submission

Proposals must be submitted by the closing date and time (see chapter 7), using the online application system and the templates provided therein and must be complete.

### 3.6. Grounds for exclusion

Applications will not be considered for a grant if the applicants are in any of the following situations:

- a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) they have been convicted of an offence concerning professional conduct by a judgment which has the force of res judicata;
- c) they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- d) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
- e) they have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the European Union's financial interests;
- f) they are currently subject to an administrative penalty referred to in Article 96(1) of the Financial Regulation applicable to the general budget of the European Union<sup>11</sup>;
- g) they are faced with a conflict of interest;
- h) they are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the procedure or fail to supply this information.

The cases referred to in point 3.6 (e) cover:

- cases of fraud as referred to in Article 1 of the Convention on the protection of the European Union's financial interests, drawn up by the Council Act of 26 July 1995<sup>12</sup>;
- cases of corruption as referred to in Article 3 of the Convention on the fight against corruption involving officials of the European Union or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997<sup>13</sup>;

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<sup>11</sup> Council Regulation (EC, EURATOM) No1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L 248, 16.9.2002, p.1 ) as amended by Council Regulation (EC, EURATOM) No 1995/2006 of 13 December 2006 (OJ L 390, 30.12.2006, p.1).

<sup>12</sup> OJ C 316, 27.11.1995, p. 48.

<sup>13</sup> OJ C 195, 25.6.1997, p. 1.

- cases of involvement in a criminal organisation, as defined in Article 2(1) of Joint Action 98/733/JHA of the Council<sup>14</sup>;
- cases of money laundering as defined in Article 1 of Council Directive 91/308/EEC<sup>15</sup>.

**Applicants shall supply evidence that they exist as legal entities and that they are not in one of the above-listed situations. For that purpose, applicants shall submit a declaration on their honour as part of the application forms.**

### **3.7. Administrative and financial penalties**

Candidates who have made false declarations, have submitted substantial errors, irregularities or fraud, may be subject to financial penalties representing 2% to 10% of the total estimated value of the contract being awarded. Contractors who have been found in serious breach of their contractual obligations may be subject to financial penalties representing 2% to 10% of the total value of the contract in question. The rate may be increased to 4% to 20% in the event of a repeat infringement within five years of the date on which the infringement is established as confirmed following an adversarial procedure with the contractor.

Without prejudice to the application of penalties laid down in the contract, candidates and contractors who have made false declarations, have made substantial errors or committed irregularities or fraud, or have been found in serious breach of their contractual obligations may also be excluded from all contracts and grants financed by the EU budget for a maximum of five years from the date on which the infringement is established as confirmed following and adversarial procedure with the contractor. That period may be extended to ten years in the event of a repeated offence within five years of the date referred to in the first subparagraph.

The Commission uses an internal information tool (Early Warning System, EWS) to flag identified risks related to beneficiaries of centrally managed contracts and grants with a view to protecting the EU's financial interests.

Furthermore, the Commission manages a Central Exclusion Database (CED) which registers all the entities that may be excluded from participation to any grant or procurement procedure allocating EU Funds, in accordance with the Financial Regulation applicable to the General Budget of the European Union. This Central Exclusion Database is accessible by all authorities entitled to allocate EU Funds.

Grant applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p. 125), or
- the Commission Regulation of 17.12.2008 on the Central Exclusion Database – CED (OJ L 344, 20.12.2008, p. 12),

their personal details (name, given name if natural person, address, legal form, registration number and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the EWS only or both in the EWS and CED by the Accounting Officer of the Commission, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a procurement contract or a grant agreement or decision.

EWS and the CED are managed by the Accounting Officer of the Commission to whom legal entities may exercise their rights as laid down in the Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L8,

<sup>14</sup> OJ C 351, 29.12.1998, p.1. Joint action of 21 December 1998 on making it a criminal offence to participate in a criminal organisation in the Member States of the European Union.

<sup>15</sup> OJ L 166, 28.6.1991, p. 77. Directive of 10 June 1991, as amended by Directive 2001/97/EC of the European Parliament and of the Council of 4 December 2001 (OJ L 344, 28.12.2001, p. 76).



12.1.2001).

## 4. SELECTION CRITERIA

The applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the action is being carried out and to participate in its funding. The applicants must have the professional skills and qualifications required to complete the proposed action.

**The selection criteria will be assessed as a first step by the evaluation committee. Failure to comply with these criteria will result in the proposal not being evaluated further. Applicants may be asked to provide additional proof or to clarify the supporting documents related to the selection criteria within a specific time limit.**

### 4.1. Financial capacity of applicants

Applicants must show that they have the financial capacity and operational capability to complete the action to be supported. Unless they are a public body or an international organisation, they must complete a ‘Simplified Financial Statement’ Form and provide their annual financial statements comprised of the balance sheet, the profit and loss statement and any annexes to those for the last financial year for which the accounts have been closed (details available with the Guide for Proposers and Application Forms).

On the basis of these documents the EACI performs a financial viability check, upon which the EACI might ask for a financial guarantee in line with Article 118 of the Financial Regulation and Article 182(1) of the rules implementing the Financial Regulation.

In accordance with Article 114 of the Financial Regulation and Article 173(4) of the rules implementing the Financial Regulation, if the application concerns grants for action which exceed EUR 500 000, an audit report produced by an approved external auditor must be submitted. That report must certify the accounts for the last financial year available. In the case of agreements with a number of beneficiaries this threshold will apply to each individual beneficiary.

### 4.2. Technical capacity of applicants

Applicants must have the technical capacity and operational capability to complete the action to be supported and should provide supporting documents. Guidance on the supporting documents required (e.g. CVs of those responsible for carrying out the action, description of projects and activities undertaken in the last three years, etc.) can be found in the Guide for Proposers.

## 5. AWARD CRITERIA

The Executive Agency for Competitiveness and Innovation will base its selection of actions and the rate of EU co-financing on the written presentation. The actions will be evaluated against each award criterion which will carry equal weighting within the overall assessment. Within the general conclusions, the evaluation will provide a qualitative judgment on the overall value for money, comparing the outcomes based on the award criteria with the costs and efforts involved.

If a proposal is to be classified as worth funding, the grand total of the marks for all the award criteria should be at least 70% of the maximum total score. In addition, a mark of over 50% will be required for each criterion. Proposals that pass these thresholds will be considered for funding. A ranking will be established by the Evaluation Committee and approved by the authorising officer.

Funding decisions will be made on the basis of this ranking and within the limits of the available budget. Proposals with an identical score next to the cut-off limit of the available budget will be sub-ranked, taking into account the indicative distribution of the 2012 budget by field, as indicated in the Work Programme 2012. A limited number of proposals may be placed on a reserve list, following the sub-ranking.

The following five criteria apply to project proposals

- 1. Relevance of the proposed action (score 0-10), including:**
  - a extent to which the proposed action is consistent with the IEE II Call priorities;
  - b extent to which the proposed action responds to important user needs and market barriers;
  - c extent to which the proposed action complements other related activities.
- 2. Quality of implementation methodology (score 0-10), including:**
  - a suitability of the proposed approach and extent to which the proposed action engages the target groups and stakeholders;
  - b clarity of the work packages, project planning and suitability of performance monitoring;
  - c quality of communication plan for the uptake of solution(s).
- 3. Ambition and credibility of the impacts of the proposed action (score 0-10), including:**
  - a services / outcomes produced by the action (deliverables, hours of training, etc.);
  - b impact within and beyond the project lifetime assessed with specific, measurable, accepted, realistic and time-dependent (SMART) indicators;
  - c sustainability of the solutions offered by the proposed action beyond the project lifetime.
- 4. EU added value (score 0-10), including:**
  - a evidence that collaboration / team working across national borders will lead to greater benefits than separate actions at national / local level in the same countries
  - b appropriate geographical focus of the proposed action including learning and exchanges among stakeholders;
  - c transferability of the solutions offered by the proposed action.
- 5. Resources allocated to the proposed action (score 0-10), including:**
  - a management and composition of the team, balance of skills, experience, and responsibilities;
  - b appropriate levels of hours per partner and per work package;
  - c justification of costs (sub-contracts, travel costs, and other specific costs) and co-financing.

#### Specific provision for the Build Up Skills - Pillar I and II:

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

- 1. Relevance of the proposed action (score 0-10), including:**

Pillar I		Pillar II	
1.a	Extent to which the proposed action is consistent with the objectives of the Build Up Skills Initiative		
1.b	Extent to which the proposed action builds on existing national training frameworks and initiatives and takes into account existing policy initiatives in the energy and building fields	1.b	Extent to which the proposed action builds on existing national training frameworks and initiatives and on national roadmaps

**2. Capability of the proposed action to mobilise the relevant market actors (score 0-10), including:**

Pillar I	Pillar II
2.a Extent to which the proposed action effectively engages the relevant market actors (e.g. industries, public authorities, chambers of commerce, trade associations) in the Member State, as regards drawing up the roadmap and setting up the platform	2.a Extent to which the proposed action effectively engages the relevant market actors in the elaboration, implementation and promotion of an effective qualification scheme
2.b Extent to which the proposed action ensures that the national roadmap is endorsed by the relevant actors (e.g. national or regional authorities) at the end of the process	2.b Ambition and credibility of the impacts of the proposed action

**3. Quality of implementation methodology (score 0-10), including:**

Pillar I	Pillar II
3.a Suitability of the proposed approach to drawing up the roadmap and its associated implementation plan	3.a Suitability of the proposed approach to successfully establish a lasting qualification scheme
3.b Clarity of the work plan (description of work packages and tasks, allocation of responsibilities, time schedules).	

**4. Consortium composition and resources allocated to the proposed action (score 0-10), including:**

Pillar I	Pillar II
4.a Extent to which the consortium includes essential skills, such as moderating and communicating, life-long learning and energy expertise;	4.a Extent to which the consortium includes essential skills, such as life-long learning, technical as well as communicating expertise;
4.b Appropriate levels of hours per partner and per work package; justification of costs, and transparency of co-financing.	

**Specific provisions for the Integrated Initiative: Mobilising Local Energy Investments - Project Development Assistance**

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

**1. Relevance and EU added value of the proposed action (score 0-10), including:**

- (a) Extent to which the proposed action is consistent with the call priorities
- (b) Extent to which the requested funding would complement other related funding sources for project development assistance and would accelerate the investment process

**2. Quality of implementation methodology (score 0-10), including:**

- (a) Appropriate level of maturity of the starting point of the proposed action from technical and financial perspectives
- (b) Suitability of the proposed approach to deliver the investment within the project lifetime, clarity of workpackages, project planning and performance monitoring
- (c) Capability of the proposed action to mobilise the relevant local actors and foster local capacity building

**3. Credibility and impact of the proposed action (score 0-10), including:**

- (a) Ambition of the project in terms of investment in renewables and energy efficiency compared with other energy investment programmes carried out by the proposers in the past three years
- (b) Impacts within and beyond the project lifetime assessed with specific, measurable, accepted, realistic and time-dependent (SMART) indicators
- (c) Replication potential of the solutions (concept) offered at local, national and European level

**4. Resources allocated to the proposed action (score 0-10), including:**

- (a) Share of responsibilities between partners and subcontractors, composition of the team and subcontracting, balance of skills, experience
- (b) Appropriate levels of hours per partner and per work package, justification of share of subcontracting for the project development assistance in view of the planned investments, justification of costs and transparency of co-financing.

**6. GENERAL CONDITIONS FOR AWARDED GRANTS**

The general conditions for awarding grants, particularly the definition of the eligible costs and the methods of payment, are set out in the draft grant agreement, available on the website of the IEE II programme (see chapter 8). The budget for the action attached to the application must have revenue and expenditure in balance and show clearly the costs which are eligible for financing from the EU budget.

Depending on the size and other risk factors of the action, the Executive Agency for Competitiveness and Innovation might request a financial guarantee of the beneficiary for pre-financing.

**7. SUBMISSION OF APPLICATIONS**

Applications must be submitted using the **on-line submission system** and **application forms** indicated on the IEE II programme website (see chapter 8).

Applications which fail to comply with this formal requirement will not be evaluated further. In particular, proposals arriving at the EACI by any other means will be regarded as "not submitted" and will not be evaluated.

**The closing date for submission to the main IEE Call is Tuesday 8 May 2012, 17:00 (Brussels local time).**

**Exception: closing dates for submission to the Build Up Skills Initiative are:**

- **Pillar I: 9 February 2012, 17:00 (Brussels local time).**
- **Pillar II: 30 April 2013, 17:00 (Brussels local time).**

**Applications submitted after the closing date and time will NOT be taken into consideration.**

Applicants are strongly advised to start their submission process well in time and not to leave it to the last hour in order to avoid the risk of a failed submission.

Should changes occur regarding formal requirements for submission of applications, they will be highlighted on the website of the programme. Applicants are therefore advised to check this website prior to submitting their application.

## 8. ADDITIONAL INFORMATION

Applicants should consult the website of the programme at: <http://ec.europa.eu/intelligentenergy>.

The IEE II website contains all information and forms in relation to this call for proposals, such as the IEE II annual work programme 2012, guides for applicants, application forms, and information about projects supported by the programme. Furthermore the website informs about information days which will be held during the duration of the call for proposals.

Any questions regarding this call for proposals should be sent to the Executive Agency for Competitiveness and Innovation (stating, if applicable, the technical field, as indicated in chapter 10) using the online enquiry form available on

[http://ec.europa.eu/energy/intelligent/contact/questions/index\\_en.htm](http://ec.europa.eu/energy/intelligent/contact/questions/index_en.htm)

## 9. INDICATIVE TIMETABLE

<b>Closing date for submission of Main IEE Call applications:</b>	<b>8 May 2012, 17:00 Brussels local time</b>
Estimated date of completion of the evaluation:	Early November 2012
Estimated date for the notification of applicants:	from mid November 2012
Estimated date for signature of contracts	from February 2013 onwards
<b>Closing date for submission of applications to the <i>Build Up Skills Initiative</i> – Pillar I:</b>	<b>9 February 2012, 17:00 Brussels local time</b>
Estimated date of completion of the evaluation:	Mid-March 2012
Estimated date for the notification of applicants:	from end of March 2012
Estimated date for signature of contracts	from May 2012 onwards
<b>Closing date for submission of applications to the <i>Build Up Skills Initiative</i> – Pillar II:</b>	<b>30 April 2013, 17:00 Brussels local time</b>
Estimated date of completion of the evaluation:	Early June 2013
Estimated date for the notification of applicants:	from mid-June 2013
Estimated date for signature of contracts	from September 2013 onwards

## 10. PRIORITIES AND TYPES OF ACTION FOR 2012

The 2012 priorities are summarised below.

In order to assess the impact of each project, the following main indicators will be used:

- Investments made by European stakeholders in sustainable energy triggered by the project (measurement unit: EUR).
- Cumulative renewable energy production triggered by the project (measurement unit: toe/year).
- Cumulative energy savings triggered by the project (measurement unit: toe/year).
- Cumulative reductions of greenhouse gas emissions triggered by the project (measurement unit: tCO<sub>2</sub>e/year).

### 10.1 SAVE: Energy efficiency (indicative budget: EUR 15 million)

Energy efficiency is a cornerstone of European energy policy. It is by far the most effective way to improve the security of energy supply, to reduce carbon emissions and to foster competitiveness.

Activities funded under SAVE aim to tap the large potential for energy savings by improving energy efficiency and the rational use of energy resources, in particular in buildings, products and industry. Activities to promote energy efficiency in transport are covered separately under STEER.

Activities under SAVE may facilitate implementation of the EU legislation relating to energy efficiency, support preparation of new legislative measures and influence energy behaviour, so that society uses less energy while enjoying the same or an even better quality of life.

Latest policy developments such as the Energy Efficiency Plan 2011<sup>16</sup> and the proposal for a Directive on Energy Efficiency<sup>17</sup> formed the basis for the proposed priorities.

In 2012 SAVE will cover the three following Key Actions:

- **Industrial excellence in energy:** for actions to increase the competitiveness of European small and medium size enterprises (SME's) by empowering them to save energy.
- **Consumer behaviour:** for actions to help transform the market towards more energy-efficient products and systems, and change the behaviour of consumers.
- **Energy Services:** for actions to increase market transparency and confidence for all market actors, to develop the energy services market for small consumers and to empower households to ensure the effectiveness of smart meters.

*Note: Energy efficiency in buildings is also addressed under the integrated initiatives (see Sections 10.4.4 and 10.4.5).*

#### 10.1.1 SAVE — Industrial excellence in energy

##### *Explanatory Note*

*Industry accounts for approximately 20% of the EU primary energy consumption (excl. energy industry). Over the last twenty years, energy efficiency in industry increased more than in any other sector, but potential for significant energy savings still exists. In an age of high and volatile energy costs, realising the full energy savings potential is an effective way to increase the competitiveness of European companies.*

<sup>16</sup> COM(2011)109 final

<sup>17</sup> COM(2011)370

*Realising the potential for energy saving in industry depends on many factors including: access to information and competences; a favourable regulatory framework and the availability of adequate funding sources. The obstacles to investment in energy efficiency measures are most acute for SMEs (see recent Eurochambres' survey<sup>18</sup>) and - in its new Energy Efficiency Plan - the European Commission renewed its commitment to cooperate with member states to overcome these barriers.*

*The Commission announced in particular that it would encourage Member States to provide SME's with information (for example about legislative requirements, criteria for subsidies to upgrade machinery, availability of training on energy management and of energy experts) and develop appropriate incentives (such as tax rebates, financing for energy efficiency investments, or funding for energy audits). The Commission also stated that, in association with the relevant industry associations, it would support the exchange of best practices in energy efficiency and projects aimed at building capacity on energy management in micro and small companies; and furthermore that it would support the development of tools that SMEs can use to benchmark their energy use against comparable companies. More recently, in its proposal for a Directive on energy efficiency, the Commission proposed that programmes be developed to encourage SMEs to undergo energy audits and that their attention be drawn on concrete examples of how energy management systems can help their business.*

*The IEE II priority focuses on these aspects.*

#### **Industrial excellence in energy — Proposed Priority 2012:**

**Sector-specific actions targeted to industry small and medium-size enterprises (SME's)**, providing them with tailored information/training (e.g. benchmarking tools) and/or developing appropriate incentives (such as tax rebates, financing for energy efficiency investments, or funding for energy audits).

Projects should involve industry associations and ensure a strong commitment from business leaders. They should use existing tools and resources and achieve a 'critical mass' or multiplier effect at industry level.

They should convincingly demonstrate improved value for money and the energy saving achieved should be quantified and significant. Every Euro of EU spending is expected to lead to energy savings of several hundred kWh per year.

While the focus of the actions should be on energy efficiency and energy savings, they may at the same time promote the use of combined heat and power (CHP), alternative fuels and renewable energy sources in industry.

### **10.1.2 SAVE – Consumer behaviour**

#### *Explanatory note*

*Nearly all Europeans think that protecting the environment is important<sup>19</sup> but less than half of them know how much electricity they consume<sup>20</sup> or trust producers' claims about the environmental performance of their own products<sup>21</sup>. Although general awareness has improved considerably in the last years, there is still a long way to go to change investment and habitual energy behaviour of citizens. This is confirmed by the recent evaluation of the IEE II programme<sup>22</sup> which concluded that barriers have on the whole shifted from a lack of awareness of solutions to a lack of understanding of how to implement such solutions in*

<sup>18</sup> <http://www.eurochambres.eu/change>

<sup>19</sup> 95% according to Eurobarometer of April-May 2011 ([http://ec.europa.eu/public\\_opinion/archives/ebs/ebs\\_365\\_fact\\_eu27\\_en.pdf](http://ec.europa.eu/public_opinion/archives/ebs/ebs_365_fact_eu27_en.pdf)).

<sup>20</sup> SEC (2010) 1409 final

<sup>21</sup> Europeans' attitudes towards the issue of sustainable consumption and production. Flash Eurobarometer 2009. [http://ec.europa.eu/public\\_opinion/flash/fl\\_256\\_sum\\_en.pdf](http://ec.europa.eu/public_opinion/flash/fl_256_sum_en.pdf)

<sup>22</sup> [http://ec.europa.eu/cip/files/docs/2011\\_iee2\\_programme\\_en.pdf](http://ec.europa.eu/cip/files/docs/2011_iee2_programme_en.pdf)

*practice. The same study interviewed various stakeholders who generally reported that more focus should be put on actions targeting consumers.*

*In line with the above findings, this key action aims to raise the confidence of consumers in EU energy labels and ecodesign requirements, and to empower them to act in their own interests when purchasing and operating energy-related products. All goods that have a significant impact on energy consumption during use may be addressed under this priority (to the exception of means of transport; the latter being addressed under STEER and the integrated initiative on Energy-Efficient Public Spending)*

*While it is clear that behaviour change programmes are best developed at local, regional or national level, and not at the EU-level, this Key Action has a role to play to increase the effectiveness of programmes and to stimulate the adaptation and replication of successful schemes across Europe. In this respect, proper market segmentation is deemed essential to allow for the tailoring of activities to specific segments of a target group<sup>23</sup> (e.g. young generation, vulnerable consumers or public sector employees). This Key Action also calls for innovative and 'out-of-the-box' approaches which could be implemented for the first time as a pilot, e.g. using social innovations or new information technologies.*

#### **Consumer behaviour - Proposed priorities 2012:**

##### **Market surveillance for energy-related products**

Actions addressing market surveillance and networking among competent authorities and testing laboratories in charge of verifying compliance of products with the applicable Ecodesign, Labelling (including tyre labelling) or Energy Star legal requirements and of implementing product verification methods.

##### **Effective energy behaviour change programmes**

Solutions stimulating behavioural change amongst specific consumer groups (e.g. young generation, vulnerable consumers or public sector employees), with a call for innovative solutions.

### **10.1.3 SAVE – Energy services**

*Explanatory note:*

*In the Commission's Energy Efficiency Plan 2011, energy performance contracting<sup>24</sup> is described as an important tool in the refurbishment of buildings and in the energy efficiency upgrading of public infrastructures. However the market for energy services<sup>25</sup> in Europe is not considered developed to its full potential as a certain number of barriers are hindering its development. The barriers are mainly of a non-technological nature such as the lack of systematic information on available Energy Services Company (ESCO) services, the lack of trust towards the supply side, the lack of model documents and procurement procedures, the lack of market and project facilitators, the difficulty to access financing or the inadequacy of some legal provisions and administrative practices in the public sector. If energy services are to be used for reaching the EU 20% energy efficiency objective, a major development of the supply and demand side must occur during the next few years. Actions launched in 2012 should therefore support and facilitate this transition by making the market more transparent and trustworthy for all market actors.*

<sup>23</sup> See also additional recommendations from the BEHAVE project 'Evaluation of Energy Behavioural Change Programmes'. [www.energy-behave.net](http://www.energy-behave.net)

<sup>24</sup> 'Energy performance contracting' means a contractual arrangement between the beneficiary and the provider of an energy efficiency improvement measure, according to which the payment for the investment made by the provider is in relation to a contractually agreed level of energy efficiency improvement or other agreed energy performance criterion, such as financial savings.

<sup>25</sup> 'Energy service' means the physical benefit, utility or good derived from a combination of energy with energy efficient technology or with action, which may include the operations, maintenance and control necessary to deliver the service, which is delivered on the basis of a contract and in normal circumstances has proven to result in verifiable and measurable or estimable energy efficiency improvement or primary energy savings.



*In addition, it is proposed to support the development of an energy services market for small end-consumers as the savings potential is high in this sector and the market is still under-developed.*

*Finally, smart meters and associated services should be used in a way to help consumers manage and save energy. Consumers should be empowered and consideration should be given to their needs, expectations and acceptance as these are prerequisites to guarantee a successful take up of this new technology.*

*Access to financing for ESCOs is also an important barrier in many MS, which, however, is addressed as part of the ELENA financing facilities and the priority on Mobilising Local Energy Investments (MLEI).*

### **Energy Services - Proposed priorities 2012:**

#### **Boosting the energy services market by increasing its transparency**

Actions increasing transparency and trust in the energy services market e.g. making publicly available, checking and regularly updating a list of available energy service providers and the energy services they offer; providing information on contracts for energy performance contracting; encouraging the coherent development of voluntary quality labels and certification backed by independent organisations; promoting harmonised energy performance contracting concepts and procurement procedures through public knowledge centres; facilitating the interaction between potential customers and potential suppliers; disseminating information on financial instruments, incentives, grants and loans to support energy service projects.

#### **Making energy services accessible to small end-consumers**

Actions providing access to energy services for small end-consumers (e.g. households, small and medium-sized enterprises) e.g. linking energy services to properties rather than households (Pay As You Save model<sup>26</sup>), demonstration and dissemination of new business models customised for these specific market segments and where the level of energy efficiency improvement is guaranteed.

#### **Empowering households to ensure the success of smart meters and informative billing**

Actions enabling tenants and building owners to fully benefit from the roll out of smart meters and from informative billing<sup>27</sup> e.g. empowering consumers by involving and informing them, making sure that end-users understand the ongoing changes and feel part of the development; facilitating the transition towards innovative smart metering services that can help households reduce their energy consumption; helping consumers take energy efficiency measures on the basis of the information they read on their meters or on their bills.

## **10.2 ALTENER: New and renewable energy resources (indicative budget: EUR 11.5 million)**

Renewable energy sources (RES) can provide a wide range of sustainable energy services. Renewable energy can be produced locally within the EU, delivering secure supplies of electricity, heating and cooling and energy for transport without additional greenhouse gas emissions or negative effects on climate change. RES are becoming more competitive. Policies supporting use of RES are making manufacture and supply of RE technologies and production of bioenergy sources (solid, gaseous and liquid) more attractive as business opportunities. Action supported under ALTENER should build on existing EU policies and legislation and help to increase use of RES in the EU.

The RES Directive (2009) sets an overall binding target of a 20% share of renewable energy sources in energy consumption by 2020 with binding national targets in line with the overall EU target of 20% and a 10% binding minimum target for renewable fuels in transport to be achieved by each Member State.

<sup>26</sup> <http://www.energysavingtrust.org.uk/Home-improvements-and-products/Pay-As-You-Save-Pilots>

<sup>27</sup> Containing the minimum information specified in the proposal for an Energy Efficiency Directive COM(2011)370

Details of how these targets will be achieved in each Member State are given in National Renewable Energy Action Plans (NREAPs).

The RES Directive makes recommendations for specific action to be taken by the public and private sectors across the EU and puts in place a number of legal obligations, which require the Member States to implement policies and support measures aiming to increase use of renewable energy sources at national, regional and local levels.

Grid infrastructure development will be a key factor for further deployment of renewable energy plants in Europe, both small and large-scale, onshore and offshore. Apart from a strong increase in small decentralised production, large-scale projects making massive use of renewable resources — wind energy in the northern seas, solar in the south, hydro in the centre and the north — will be needed.

ALTENER focuses on non-technological actions contributing to the implementation of the RES Directive and on accelerating the growth of renewable energy markets to meet the EU 2020 target.

ALTENER projects may include one or more of the following Key Actions:

- **Electricity from renewable energy sources (RES-e):** for actions to increase the share of renewable electricity in Europe's final energy consumption.
- **Bioenergy:** for actions promoting increased production and use of biomass, bio-liquids and biogas in energy markets.

*Note: Renewable energy in buildings is also addressed under two integrated initiatives (see Sections 10.4.4 and 10.4.5).*

### **10.2.1 ALTENER — Electricity from renewable energy sources (RES-e)**

#### *Explanatory Note*

*The Energy 2020 Strategy highlighted how the rise of electricity produced from renewable sources has implications for the electricity market as a whole. Grid development is therefore a key factor for any further deployment of renewable energy production, both large and small scale. One of the greatest challenges regarding the grid infrastructure is to connect the offshore potentials, mainly wind, foreseen in the Northern Seas of Europe, developing the electricity network both off- and onshore. Multiple, flexible, smaller scale distributed forms of electricity generation need different grid and market design rules. Electricity systems have to become more interconnected and flexible, and new infrastructure development and reinforcement will be necessary, including the deployment of smart grid technologies.*

*Approval and licensing procedures often lead to long delays before access is given to the grid. Procedures must more efficiently meet the requirements of both the RES Directive and of environmental legislation. Further action is needed to streamline complex authorisation and planning procedures and to remove non-cost barriers to the growth of renewable energy, and to make planning regimes more transparent and faster while respecting existing environmental legislation.*

*Experience shows that acceptance by the local communities, in particular through an early involvement of the stakeholders in the decision process, plays a crucial role in the feasibility of a RES-E project. Barriers still remain in the form of a lack of or partial knowledge of RES-E plants; lack of involvement or under-estimation of the opinion of the local community; lack of transparency in the decision process; etc.*

*Further strategic actions are envisaged in support of the European electricity market, where over a third of the power is expected to come from renewable energy. For example, in offshore wind development, an integrated strategy engaging the relevant Member States and the Commission could build on the Memorandum of Understanding of the North Seas Countries Offshore Grid Initiative.*

*Similarly, strategic initiatives which address the next generation of support schemes and cooperation mechanisms could explore and identify best practices, and show how to avoid undue market distortions and excessive costs.*

*In 2012 priority will be given to supporting the integration of the renewables into the electricity grids and issues on increasing the social acceptance of new grid developments and of new RES generators. Action*

*aiming to simplify construction and licensing procedures for new grid developments and for new RES-e generators and to remove other market barriers will also be supported.*

### **Electricity from renewable energy sources (RES-e) — Proposed Priorities 2012:**

#### **1. Grid issues:**

- Actions and initiatives aiming to accelerate the implementation of policies, regulations and incentive schemes which will lead to the grid integration of much larger volumes of electricity produced from renewable sources, and facilitate grid balancing, flexibility and storage. *Non-technological* assessment and monitoring of intelligent grid developments and schemes, which aim to optimise the input from onshore and offshore RES generators; information on environmental and other impacts of RES generators and grids should be taken into account. *Consortia should include and/or actively involve utilities and grid management organisations which are committed to adopting/implementing the results of the work. Owners/operators/developers of grid networks should be engaged in the work.*
- Actions addressing *non-technological* barriers and best practices linked to the use of small scale distributed forms of renewable electricity generation (including initiatives to promote the use of storage systems) and achieving the most economic and environmental solutions. Where appropriate, the above actions should take into account the impact of electric vehicles on the electricity grids. Actions addressing the barriers and improving the regulatory, legal, and economic framework for micro generation and the impact on consumers and their behaviour as well as on the grid. *Collaboration between the different market participants is envisaged as a key success factor for the implementation of these smart grid concepts. Owners/operators/developers of grid networks should be engaged in the work; manufacturers and consumers associations may be also consulted*

#### **2. Speed up and streamline permitting procedures and enhancement of public acceptance - both for grids and RES generators**

- Actions aiming to facilitate local acceptance (public support and engagement) of new construction/extension of large scale RES-E plants through cooperative investment schemes, benefit sharing mechanisms, local contracting and employment, social benefit, and co-ownership. Transfer of knowledge and best practices related to these issues. *Owners/operators/developers of grid networks should be engaged in the work.*
- Actions aiming to support the implementation of streamlined procedures which will accelerate market growth by speeding up the delivery of authorisations, both for large renewable electricity generators and for small generators such as PV systems on buildings. Projects promoting the transfer of know-how and best practices on benefit sharing mechanisms or on more democratic / transparent decision processes, in particular through the early involvement of stakeholders. *Consortia should include project developers working with public authorities, which are committed to adopting/implementing the results of the work.*

#### **3. Strategic initiatives** aiming to support the implementation of policy initiatives and legislation by analysing, monitoring, planning and streamlining market and regulatory frameworks. These may include:

- Assessing the effectiveness of support schemes and cooperation mechanisms and facilitating a dialogue among the relevant stakeholders to apply best practice so as to avoid undue market distortions and excessive costs. *Projects must ensure active participation and engagement by relevant market actors and authorities.*

- Actions aiming to further develop and implement integrated strategies for offshore wind development. Consortia should include the responsible national and regional authorities, grid operators, and project developers involved in offshore grid activities and initiatives (such as North Seas Countries Offshore Grid Initiative).

Note: Strategic initiatives which address RES electricity in combination with other renewable energy sources and uses, such as heating and cooling, and cross sector aspects may also be submitted under this Key Action.

### 10.2.2 ALTENER — Bioenergy

#### *Explanatory Note*

*The Bioenergy Key Action provides a coherent framework for proposals addressing this prominent and complex sector and addresses sustainable bioenergy only.*

*This year, there is a focus on strategic initiatives which will help inform the debate on the development of this sector up to 2020 and beyond. Taking into consideration the on-going evolutions of the different transport fuels sectors and the ongoing debates on availability of sustainable bio-resources, initiatives should provide insights into the future developments of the bioenergy production and use sectors, in relation to both the 2020 targets and future scenarios. The interactions between the different supply chains for liquid, solid and gaseous markets should be addressed by these initiatives. Another important possible focus of the strategic initiatives is the assessment and promotion of the most efficient use of the available bio-energy resources and of the most efficient conversion technologies.*

*It is also important to further expand supplies and to trigger increases in demand for solid biomass (for heating and CHP), and biogas/biomethane (for CHP, transport and grid injection). These actions should focus on one type of bioenergy only (solid or gas, depending on the proposed activity) and not only on promoting demand.*

*For this year, actions promoting local supplies of liquid biofuels are not a priority. Instead, the focus in relation to liquid biofuels this year is on the strategic initiatives, which are outlined above, addressing liquid biofuels used in different sectors of transport together with the other bioenergy sectors.*

*Directive 2009/28/EC highlights the importance of bioenergy produced from waste, residues, non-food cellulosic material and ligno-cellulosic material. Consequently, priority will be given to actions addressing these feedstocks, promoting the most sustainable bioenergy production pathways and mobilising resources which minimise competition with other markets for bio-resources (e.g. food, paper, construction, furniture, cosmetics, etc.).*

#### **Bioenergy — Proposed Priorities 2012:**

- **Strategic initiatives** aiming to monitor and / or contribute to the achievement of the bioenergy sector towards the 2020 objectives (energy and transport targets, sustainability, land use change) and to inform the debate on strategies for the bioenergy field up to 2020 and beyond, exploring in particular the interactions between the different supply chains for liquid, solid and gaseous biomass in different markets; actions aiming to assess and promote the most efficient use of available bioenergy resources and the most efficient conversion technologies.
- **Solid biomass:** increase the local supply of biomass from sustainably managed forests, from agricultural residues or from recovered waste and materials and promote its most efficient use in heating and CHP installations. Logistical issues should be taken into account. Consortia should include multiplier organisations, such as associations of farmers, forest-owners and potential providers and users of solid biomass<sup>28</sup>.

<sup>28</sup> 'Recovered waste and materials' include waste of biological origin from construction and demolition and from discarded equipment and components (such as discarded treated wood), in line with Commission Decision

- **Biogas:** promotion of biogas and biomethane production from waste (in particular from the food and beverage industry, wastewater and municipal waste) and of their use for CHP, grid injection and/or as transport fuel. Consortia should include waste management companies and/or multiplier organisations, such as food and beverage industry associations and other potential providers of biomass residues along with final users of biogas.

### 10.3 STEER: Energy in transport (indicative budget: EUR 12.5 million)

Transport is the fastest growing sector in terms of energy use. It is therefore essential to tap the potential for energy-efficiency gains in this sector. Transport plays a central role in the European economy and accounts for almost 20% of total gross energy consumption in Europe. 98% of the energy consumed in this sector is fossil fuel. Investments in the economically recovering new Member States in particular offer significant opportunities to promote a shift towards low-carbon transport and a new, more sustainable mobility culture.

STEER supports projects which promote, build on and/or implement the existing EU policy and legislative frameworks for energy efficiency and renewable or alternative fuels in transport. The European Commission's recent White Paper 'Roadmap to a Single European Transport Area – Towards a competitive and resource efficient transport system'<sup>29</sup> sets out its vision of a future transport system, which reaches the 60% GHG emission reduction target and facilitates clean urban transport and commuting.

STEER takes into account the recommendations made in the EU Energy Efficiency Plan, in the Green Paper 'Towards a new culture for urban mobility', in the Action Plan on Urban Mobility<sup>30</sup>, in the Freight Transport Logistics Action Plan<sup>31</sup>, and in the Strategy on Clean and Energy-Efficient Vehicles<sup>32</sup>.

In addition, STEER considers relevant legislation such as the Directive on the promotion of clean and energy-efficient road transport vehicles and the regulatory framework setting emission performance standards for new passenger cars<sup>33</sup> and new light commercial vehicles<sup>34</sup>. Projects should build on tried-and-tested strategies and technologies and aim to achieve energy savings by removing the non-technological market barriers to wider application thereof.

Priority will be given to projects which go beyond raising the awareness of individual citizens, householders and decision-makers and actually achieve measurable changes in behaviour. Projects should deliver and apply existing knowledge in a convincing and motivating way to the relevant target groups. They must contribute to wider dissemination and use of proven, transferable strategies and technologies.

Transport of goods and people are both addressed. However, action aiming specifically to shift freight from road to short-sea shipping, rail and inland waterways, which can be supported by the Marco Polo II Programme<sup>35</sup>, will not be funded.

In 2012 STEER will cover the two following Key Actions:

- **Energy-efficient transport:** for actions to reduce the demand for travel by car and transport by road freight, and to shift travel and transport to more efficient transport modes.

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2000/532/EC of 3 May 2000 establishing a list of hazardous waste, plus non-hazardous discarded untreated wood and furniture.

<sup>29</sup> COM(2011) 144.

<sup>30</sup> COM(2009)490

<sup>31</sup> COM(2007) 607.

<sup>32</sup> COM(2010) 186.

<sup>33</sup> Regulation (EC) 443/2009

<sup>34</sup> COM (2009) 593

<sup>35</sup> <http://ec.europa.eu/transport/marcopolo/>

- **Clean and energy-efficient vehicles:** for actions to help transform the market towards more energy-efficient vehicles, supporting and complementing the recent legislation in this area.

The Key Action on Capacity-building and learning on energy aspects of transport is closed.

### 10.3.1 STEER — Energy-efficient transport

#### *Explanatory Note*

*Integrated solutions are needed to curb current trends in the transport sector. In line with the Transport White Paper and the first priority of the Action Plan on Urban Mobility, this Key Action will support local authorities in developing Sustainable Urban Mobility Plans covering freight and passenger transport in urban and peri-urban areas, and giving particular emphasis to the reduction of transport energy use.*

*Approaches to changing the behaviour of different actors have successfully been applied in transport. They can help to increase demand for new transport services and to make better use of existing services. This priority would seek to apply such successful approaches to changing the behaviour of specific target groups to help achieve the Commission's long term goals set out in the Transport White Paper. This action would seek result oriented projects that build on evidence on the level of behaviour change to be expected.*

*Consolidating large numbers of passenger and large volumes of freight for transport over longer distances using buses, coaches, rail and multimodal solutions offers significant potential to reduce energy use and related emissions. Easy access to major transport interchanges and freight terminals is crucial in order to achieve higher levels of consolidation. Access can be improved, for example, through better physical access as well as better information and routing, parking management, the integration of services, closer co-operation between stakeholders, etc.*

*Note: Actions related to energy-efficient tyres are included in the "Consumer behaviour" Key Actions under SAVE.*

#### **Energy-efficient transport — Proposed Priorities 2012:**

##### **Take-up of Sustainable Urban Mobility Plans**

Actions reducing transport energy use by supporting the take-up of Sustainable Urban Mobility Plans, building on the guidance and materials developed by the European Commission's ELTIS platform<sup>36</sup>. Projects should assist cities and regions with developing Urban Mobility Plans by facilitating networking, mutual learning and sharing of experience and best practice across countries. *[Note: No EU funding will be available to implement these plans.]*

##### **Replication of proven approaches towards significant energy-efficient modal shift**

Actions that apply proven behaviour change approaches to change the travel behaviour of the public with respect to one of the following:

- Shifting journeys undertaken by car to travel by public transport.
- Increasing the use of car share offerings (focus on new users).
- Increasing the use of shared bike offerings (focus on new users).
- Shifting journeys undertaken by car and public transport to cycling.

A significant mode shift is expected and the applicants should include in their proposal evidence of the effectiveness of their chosen approach, with quantification of the expected impact.

##### **Major transport interchanges and urban freight terminals**

Actions that support the mutual learning and the development and implementation of strategies that

improve access to and the attractiveness of major transport interchanges and urban freight terminals in order to shift journeys from private car to alternative modes of transport and to limit individual freight deliveries.

### 10.3.2 STEER — Clean and energy-efficient vehicles

#### Explanatory Note

*The Transport White Paper seeks to significantly reduce transport CO<sub>2</sub> emissions with the long term objective of halving the use of conventionally fuelled<sup>37</sup> vehicles in urban transport by 2030 and phasing them out in cities by 2050, and of achieving essentially CO<sub>2</sub> free city logistics in major urban centres by 2030. The White Paper also announces a sustainable alternative fuels strategy with the objective to substitute oil as energy source for transport in the long term. To achieve these goals, strategies and actions that facilitate this transition will need to be developed and implemented.*

*Note: Actions related to the procurement of clean and energy efficient vehicles by public procurers are included in the "Energy-efficient Public Spending Initiative" IEE II funding area (Integrated Initiatives).*

#### Clean and energy-efficient vehicles - Proposed priorities 2012:

##### Non-conventionally fuelled vehicles

Actions to promote policies and projects fostering the take up of non-conventionally fuelled vehicles with low GHG emissions in urban areas (passengers and goods).

## 10.4 Integrated Initiatives (indicative budget: EUR 27 million)

Action combining several of the specific fields (SAVE, ALTENER and STEER) or relating to certain EU priorities may include:

- (a) integrating energy efficiency and renewable energy sources in several sectors of the economy;
- (b) combining various instruments, tools and actors within the same action or project.

For the work programme 2012 the following five integrated initiatives are proposed:

1. **Energy-efficient public spending initiative:** new initiative, responding to the emphasis set by the Energy Efficiency Plan on the spending of public bodies (integrated initiative relevant to both SAVE and STEER)
2. **Local energy leadership:** targeted capacity building of multipliers in relation to sustainable energy action plans, continuation from previous years (SAVE, ALTENER, STEER)
3. **Mobilising local energy investment:** technical assistance for public bodies to prepare bankable sustainable energy projects (SAVE, ALTENER, STEER)
4. **Energy efficiency and renewable energy in buildings:** energy performance certificates, nearly-zero energy renovations and compliances are the keywords of this year's priorities (SAVE and ALTENER).
5. **Build Up Skills:** last opportunity for setting up national qualification platforms and roadmaps (Pillar I) and first opportunities to submit proposals for concrete qualification schemes (Pillar II).

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<sup>37</sup> The term 'conventionally fuelled' refers to vehicles using non-hybrid, internal combustion engines (ICE).

### 10.4.1 Energy-efficient Public Spending Initiative

#### Explanatory note

Public authorities in Europe have a purchasing power equivalent to about 17% of the EU's gross domestic product. By using their market leverage to opt for less energy intensive and more environmentally friendly goods and services, they can make an important contribution to sustainable consumption and production in Europe. The Commission's work on public spending for a better environment has supported this by developing Green Public Procurement (GPP) criteria for 18 different product/service groups. In addition, the Energy Star Regulation requires Member states' governmental authorities to use energy efficiency criteria when purchasing office equipment and the recast Energy Performance of Buildings Directive (EPBD Recast - 2010/31/EU) gives a leading role to the public sector. In the field of transport, a number of recent initiatives at European level such as the Directive on the promotion of clean and energy-efficient road transport vehicles (Directive 2009/33/EC) are also enhancing the procurement of clean vehicles in the public sector. Finally, the Commission proposes in its latest Energy Efficiency Plan to systematically apply high energy efficiency standards when public authorities purchase goods, services and works. On the other hand, previous GPP related studies and IEE II projects have shown that most public procurers often don't know how and where to buy these products or whether it is legal or not. This lack of awareness, knowledge and guidance is particularly severe in the new Member States<sup>38</sup>. Actions launched in 2012 should therefore respond to this high demand for training in order to pave the way to the future systematic application of more stringent energy efficient criteria for public spending. In the field of transport, actions should also support authorities to review and adapt their procurement policies for vehicles in line with the changing market conditions, in order to increase the market share of the most energy-efficient vehicles.

#### Energy-efficient Public Spending Initiative - Proposed priorities 2012:

##### Public procurers

Actions providing support and capacity building to help public procurers at national and local level apply green public procurement (GPP) criteria for the purchase of energy-related products. Such actions should involve authorities responsible for GPP (e.g. national procurement agencies, central purchasing organisations, ministries) and should develop high-leverage schemes (e.g. training for trainers, helpdesks, example of national contracts) resulting in the training and concrete support of public procurers, and ultimately in large energy savings which must be quantified.

As regards clean vehicles this could be actions to assist public procurers with the implementation of the Clean Vehicle Directive<sup>39</sup>, for example, by facilitating networking, joint procurement, mutual learning and sharing of experience and best practice. Where applicable, actions should make use of the European Commission's Clean Vehicle Portal<sup>40</sup>.

### 10.4.2 Local Energy Leadership

#### Explanatory note

In 2008 the European Commission set up the Covenant of Mayor's initiative which provides an important platform to stimulate and support those local and regional authorities committed to the European energy and climate policy targets. In addition, some Member States have dedicated networks of local government officers (e.g. energy officers, town planners) at national and/or regional level that address sustainable energy planning. Recently the new Energy Efficiency Plan of the Commission also emphasises the

<sup>38</sup> Source: DG MARKT

<sup>39</sup> Directive 2009/33/EC

<sup>40</sup> [www.cleanvehicle.eu](http://www.cleanvehicle.eu)



*exemplary role public authorities at local and regional level have in helping with the transition towards a low carbon Europe.*

*The political commitment and formulation of a concerted Sustainable Energy Action Plan is the essential kick-start for taking ownership of a smarter energy future and open investment into a better local/regional energy management of buildings, infrastructure, transport, energy supply and demand thereby ensuring the practical implementation of relevant EU legislation. Forward-looking planning can significantly accelerate the deployment of local energy efficiency and renewable energy solutions. This Key Action is therefore supporting actions that foster these initial planning activities.*

*Furthermore, to accelerate the effective delivery of the overarching EU energy and climate policy targets a close collaboration between regional and/or national authorities and their municipalities is needed for a complementary and systematic approach towards low carbon regions. This Key Action supports this multi-level governance approach with a structured, concerted process for identifying a common vision and an implementation plan which possibly also takes into account activities from Sustainable Energy Action Plans developed by municipalities in the region.*

*Complementary to the above, this key action also supports the competence building on sustainable energy aspects for important market actors.*

### **Local Energy Leadership - Proposed Priorities 2012:**

#### **Good practice models for multi-level governance**

Actions should foster effective and concerted collaboration between public authorities on the local and regional and/or national level (depending on a Member States administrative structure). The good practice models should have a high potential for transferability across Member States.

Proposals must demonstrate structures and processes for effective working together of public authorities at local and regional level whilst also ensuring the involvement and commitment of other relevant stakeholders. In addition to models of working structures, actions should result in coherent and co-ordinated sustainable energy planning at regional level building upon local sustainable energy action plans (SEAP). On the regional level the sustainable energy plans should be combined with a sound financing strategy. On the local level the action could possibly result in a limited number of corresponding local SEAP's. Both, regional strategies and local SEAP's, must have measurable indicators and political approval by all actors.

#### **Capacity building for national and/or regional town planning associations**

Actions fostering exchange of experiences and competence building amongst national/regional town planning associations with the aim to demonstrate the integration of sustainable energy aspects into spatial planning strategies at local and regional level. The actions should foster the energy related competence of town planners working within public authorities and lead to good practice examples of integrated spatial planning strategies for low carbon towns and regions.

### **10.4.3 Mobilising Local Energy Investments**

#### *Explanatory Note*

*This key action was first opened in the call 2011. It is targeted to support action by committed local and regional authorities aiming to mobilise investment in sustainable energy projects and comprises two priorities: project development assistance (specific eligibility and award criteria, and other specific provisions for applicants apply); and replication of successful innovative financing solutions (standard IEE II eligibility and award criteria apply).*

*Many EU cities and regions have started to prepare or are initiating concrete energy efficiency and renewable energy proposals to tackle energy and climate change challenges. However, the feedback received from many IEE II projects in the field of developing Sustainable Energy Action Plans stresses that their implementation is proving difficult particularly for medium to small cities/towns which often*

*lack the technical capacity to convert their plans into bankable projects. MLEI is designed to help public authorities to solve such problems by offering project development assistance for the implementation of investment programmes and projects.*

*MLEI is intended to help small and medium-sized local and regional authorities or their groupings to develop projects or packages of sustainable energy projects which are of relevance for the local/regional territorial development and considered to be of 'bankable' scale by financing institutions and/or suitable for grant funding by EU financing schemes such as the cohesion or structural funds. In practice, MLEI will fund activities necessary to prepare, and mobilise finance for public investment programmes, such as feasibility studies, financial engineering, business plans, preparation for tendering procedures - in short, action necessary to make sustainable energy projects for cities and regions ready for funding.*

*Actions that are covered by the project development assistance are: refurbishment of buildings (new buildings are not included); renewable energy sources in buildings (PV, solar heating/cooling, bio-heating/cooling, geothermal heating/cooling, and heat pumps); district heating/cooling; energy efficient street-lighting; and clean urban transport.*

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

*In view of accelerating and increasing the investment opportunities for public authorities, this key action will also address actions to replicate innovative financing solutions which have been used successfully by public authorities for bankable sustainable energy projects across the EU.*

*This Key Action complements the other financing instruments established under the Work Programme 2012 such as the ELENA Facilities which are subject of a separate calls.*

#### **Mobilising Local Energy Investments (MLEI)- Proposed Priorities 2012:**

- **MLEI - Project development assistance (PDA)** to individual public authorities (municipalities, cities, provinces, regions) or groups of public authorities that are located next to each other in a clearly defined single geographical area, e.g. conurbations, cities grouped under the umbrella of a province or region or any other public body to work together with financial advisers and/or fund managers and/or ESCOs to prepare, mobilise financing for and launch investments in sustainable energy projects within their geographical area. Proposals must:

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

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

*Note: Specific eligibility, award criteria and other specific provisions apply for this priority (see 3.3.b).*

- **MLEI - Replication across the EU of successful innovative financing solutions** for sustainable energy projects which have been implemented by leading public authorities. Actions are expected to catalyse and accelerate the uptake of innovative financing solutions by public authorities. Proposed actions should document and transfer innovative financing processes and methods used by leading public

authorities to other EU public authorities together with the necessary practical support materials in the appropriate languages. Actions should lead to measurable replication and uptake by other public authorities.

*Note: Proposals submitted under this priority will be subject to the standard IEE II eligibility and award criteria.*

#### **10.4.4 Energy efficiency and renewable energy in buildings**

##### *Explanatory note*

*Europe has adopted an ambitious vision for the energy performance of its buildings. By the end of 2020 (by the end of 2018 for public buildings) all new buildings shall be nearly "zero-energy buildings"<sup>41</sup>, with intermediate targets set by Member States by 2015. Member States shall draw up national action plans for increasing the number of "nearly zero-energy buildings", including policies and measures to stimulate the refurbishment of the existing building stock into "nearly zero-energy buildings". In addition, by 2015 all new buildings and buildings undergoing major renovation must have minimum levels of energy from renewable energy sources. A major transformation must occur in the building sector during the next few years, in which the role of the public sector is reinforced by even earlier deadlines. Actions launched in the period 2012–2013 should support and facilitate this transition.*

*The Energy Efficiency Plan 2011 focuses on instruments to trigger the renovation process in public and private buildings and to improve the energy performance of the components and appliances used in them. It promotes the exemplary role of the public sector, proposing to accelerate the refurbishment rate of public buildings through a binding target<sup>42</sup>. Actions should support the acceleration of major renovations.*

*With energy performance certification of buildings now being a reality in all EU Member States, it is feasible to capture the market not covered by major renovation. Step-wise renovation via uptake of the recommendations (including energy efficiency and renewable energies) indicated in the building's energy performance certificate can reap major benefits. To this end, in the first stages of widespread implementation it is important to support the establishment of the certificate as a reliable market driver for renovation.*

*Regulation without enforcement leads to a lack of compliance. Poor quality workmanship and insufficient compliance checks in the building sector undermine efforts to save energy saving and use renewable energies. Also, without knowledge of the levels of compliance it is difficult to determine the actual impact of current policies and regulations. Actions are needed to support compliance and for determining the impact of the existing regulations.*

*This approach supports the establishment of energy performance certification in the real estate market, linking it to quality of construction, whilst supporting the public sector which is called upon to act as a front runner.*

*A further essential requirement is to qualify the building workforce. For craftsmen and other on-site workers, this is addressed by a dedicated integrated initiative: BUILD UP Skills.*

#### **Energy efficiency and renewable energy in buildings - Proposed priorities 2012:**

##### **Energy Performance Certification as a driver for step-by-step renovation: capturing the market.**

Actions bringing about increased uptake of the recommendations for energy efficiency and renewable energies of energy performance certificates. The actions should result in increased demand on the market for step-by-step renovation. This could include actions related to financing, resolving the owner/tenant

<sup>41</sup> EPBD recast 2010/31/EU

<sup>42</sup> Following the adoption of the Energy Efficiency Plan 2011, the Commission proposed that as from 1 January 2014, 3% of the total floor area owned by public bodies is renovated each year to meet at least the minimum energy performance requirements set by the Member State concerned in application of Article 4 of Directive 2010/31/EU.

dilemma, engaging consumers in relation to the significance of the recommendations made on buildings certification issued in line with the EPBD; bringing the industry together to develop one-stop shop solutions, etc.

#### **Nearly Zero-Energy Buildings: transforming the existing building stock**

Actions resulting in accelerated rates of refurbishment of existing buildings into Nearly Zero-Energy Buildings. This could include actions assisting the public sector on going beyond the proposed 3% renovation target, supporting the private sector, bringing together industry elements to provide packaged solutions, promoting frontrunners, etc.

#### **Building as designed: quality and compliance in construction**

Actions resulting in improved quality in construction and compliance to building codes in support of Article 10 of the recast EPBD (Directive 2010/31/EU) and Article 13(4) of the RES Directive (Directive 2009/28/EC). This could include market observatories, quality seals, etc, resulting in increased consumer confidence and demand for high quality construction in new buildings and renovations. In addition, establishment of robust benchmarks and knowledge of the actual performance of early renovations and installations will be a pre-requisite.

### ***10.4.5 Build Up Skills, the Sustainable Building Workforce Initiative - Training and Qualification in the field of energy efficiency and renewable energy***

#### *Explanatory Note*

*The large contribution expected from the building sector to the 2020 objectives is a major challenge to the construction sector and to industry as a whole, which needs to be ready to deliver renovations offering a high energy performance as well as new (nearly zero-energy) buildings. This calls for a major effort to increase the number of qualified workers on the market along with measures that facilitate decision-making for building-owners. The substantial need for training and certification is also acknowledged by the RES Directive<sup>43</sup>, Article 14(3) which places an obligation on the Member States to make provision for training and certification of installers.*

*With Build Up Skills, IEE II aims to unite forces to increase the number of qualified workers in the building workforce in Europe. Build Up Skills will contribute to the objectives of the two flagship initiatives of the Commission's 'Europe 2020' strategy<sup>44</sup> — 'Resource-efficient Europe' and 'An Agenda for new skills and jobs' as well as the Energy Efficiency Plan<sup>45</sup>. It will also enhance interactions with the existing structures and funding instruments like the European Social Fund and the Lifelong Learning Programme.*

#### *Scope and timeframe of the Initiative*

*The Initiative focuses on continuing the education and training of craftsmen and other on-site workers in the field of energy efficiency and renewable energy in buildings after initial education and training or after they have entered working life, including qualification of the unemployed workforce.*

<sup>43</sup> Directive 2009/28/EC of the European Parliament and of the Council of 23 April 2009 on the promotion of the use of energy from renewable sources and amending and subsequently repealing Directives 2001/77/EC and 2003/30/EC.

<sup>44</sup> COM(2010) 2020 of 3.3.2010: 'Europe 2020 — A strategy for smart, sustainable and inclusive growth', Communication from the Commission.

<sup>45</sup> COM(2011) 0109 of 8.3.2011 "Energy Efficiency Plan 2011", Communication from the Commission

*The Initiative has two main pillars:*

- I. National qualification platforms and roadmaps to 2020: The first pillar — ‘National qualification platforms and roadmaps to 2020’ — aims to trigger processes to gather all relevant stakeholders in a country and should result in a strategy and roadmap, e.g. on quantified needs, measures, priorities, accreditation, etc. One action per country is expected (exceptions possible), lasting for a maximum duration of 18 months.*
- II. Qualification and training schemes: The second pillar — ‘Qualification schemes’ —invites proposals for introducing new or upgrading existing qualification schemes. These should be based on an established roadmap to 2020.*

*It is complemented by targeted Europe-wide support activities.*

The Initiative is carried out under the 2011-2013 IEE II Work Programmes. Following the first phase of the initiative in 2011, which has supported the elaboration of national roadmaps for 2020 in 21 European countries (Pillar I), IEE II opens now also support to the implementation of national roadmap's recommendations by providing support to the setting-up/upgrading of large-scale qualification and training schemes for the targeted building professionals (craftsmen and other on-site workers, Pillar II).

### **Building Workforce Training and Qualification — Proposed Priorities 2012:**

#### **Qualification and training schemes (Pillar II)**

Proposals must demonstrate priority according to the national roadmap developed under Pillar I or equivalent. Priority is given to supporting activities to newly establish or upgrade large-scale qualification and training schemes based on the roadmap recommendations. Actions could include the development of new and/or upgrading of training courses (including development of materials, training of the trainers), coordination activities for the set-up/upgrading and operation of large-scale training schemes (including establishing voluntary agreements, accreditation and certification mechanisms, financing arrangements) as well as promotional/communication activities.

Proposed schemes must

- be in line with the European Qualifications Framework<sup>46</sup> (EQF) and national qualification framework and be based on learning outcomes,
- address the financing of the trainings as well as other kind of incentives to be installed as well as the sustainability of the schemes,
- include the monitoring and evaluation of the first running of the scheme.

Schemes which are mandatory under the EPBD/RES Directive or specific national legislation will not be eligible for financial support. Support could, however, be provided for promotional activities related to mandatory schemes. Costs related to the implementation of training courses per se will not be eligible for funding under this initiative.

#### **National qualification platforms and roadmaps to 2020 (Pillar I)**

Only open for countries where no project was selected under the Call 2011 (i.e. CZ, FR, FL, GR, HR, IS, LU, LT, MK, MT, SK).

Activities developing a national roadmap to embed the training on intelligent energy solutions for buildings in the mainstream curricula and practice of building professionals targeted by the initiative

<sup>46</sup> [http://ec.europa.eu/education/lifelong-learning-policy/doc44\\_en.htm](http://ec.europa.eu/education/lifelong-learning-policy/doc44_en.htm)

(craftsmen and other on-site workers). Based on a complete analysis of the national situation, the roadmap should take into account the expected contribution of the building sector to the national 2020 targets and the requirements for ‘nearly zero-energy buildings’. It should focus primarily on training the existing workforce as craftsmen (continuing education) but could also address initial education and could address a selected number of crafts and professions. It should also be designed in a way that will facilitate replication of the schemes and processes to other crafts.

To benefit from the initiative, national platforms need to establish a convincing and inclusive process for consultation of and participation by the relevant recognised stakeholders in both the building and the education/training sectors (representatives of the relevant crafts, industry associations, educational and vocational training institutes and relevant public authorities). As a result, national roadmaps should be endorsed by relevant authorities and stakeholders with a commitment to carry out and implement the proposed strategy.