

Green Industry Innovation Programme Bulgaria

Annex 1 - to the Rules and Procedures for the implementation of the programme

Project assessment criteria and methodology

General note on the assessment methodology:

Project applications will be assessed by Innovation Norway, which as the Programme Operator bears the full responsibility for the handling of the applications and the project selection. The assessment will be based on a combination of yes/no and scored criteria as detailed below.

If any shortcomings are found related to the criteria in section I – Formal/administrative criteria, Innovation Norway will revert to the applicant to verify if there are any misunderstandings in the provided information. The applicant will be given 5 working days from Innovation Norway's notification to re-submit missing information/complete documentation. Communication between Innovation Norway and the applicant will be held via e-mail, using e-mail address written by the applicant in the electronic application form – section Contact person. Therefore, we strongly recommend you to periodically check the respective e-mail address. Information sent as a reply to our request for clarifications will be taken into consideration only if it's submitted within 5 working days from our notification.

All applications meeting the formal/administrative criteria and the eligibility criteria for a) Applicant/Partner and b) Project will be subject to full assessment organised by Innovation Norway. A "no" assessment corresponding to any of the criteria in sections I and II will disqualify the project application from further assessment and will lead to the rejection of the application. A letter to the applicant will indicate the main reason for rejection.

The assessment criteria below will be scored in a rating from one to six points (1 lowest, 6 highest). The scoring will constitute a basis for an assessment profile. Each of the assessment criteria may be a critical success factor, a factor that can jeopardize the whole project. The scoring profile will be the basis for the prioritizing for the project proposals. The main principle will be that those project applications with the highest scoring, as a result of the assessment process, will have the highest probability to be awarded a grant.

During the assessment process, Innovation Norway reserves the right to request clarifications and further documentary proof as may be necessary functioning of the complexity and specificity of the project being assessed.

A Project Contract will be sent to the applicant in case the application is successful. Specific issues may be subject to further formalisation in the Special Conditions in the Project Contract. Proof of availability of necessary co-financing will be requested during pre-contracting phase.

Criterion	Documentary evidence	Appraisal method
I. FORMAL/ADMINISTRATIVE		
1. The application has been filled in according to the instructions given in the Third Call for Project Proposals, latest version of Rules and Procedures, in the electronic Application Form ("About Section" and "Field Help") and all mandatory documents are attached to the application.	Full e-Application Form and mandatory attachments.	Yes/No
2. The application and mandatory attachments are presented in English (unless otherwise stated in item 13 in the Third Call for Project Proposals).	Full e-Application Form and mandatory attachments.	Yes/No
3. The appropriate electronic Application Form has been used.	Full e-Application Form.	Yes/No
II. ELIGIBILITY		
II. a) APPLICANT		
1. The Applicant is constituted as a legal entity in Bulgaria (according to Third Call for Project Proposals, item 3).	Application Form: "Contact", "Applicant", "Ownership" and "Attachments" Relevant Registration Certificate(s): -For Bulgarian Companies: Good standing certificate issued by Trade Registry, valid at the date the application form is submitted. -For Norwegian partners: Information available from public sources (The "Brønnøysund" Register).	Yes/No
2. The applicant has a positive working capital and a positive equity.	"Attachments": Latest available balance sheet and profit & loss statement as per 31 December 2014.	Yes/No
3. The Applicant is not an undertaking in difficulty according to state aid definition (EU) No. 651/2014.	"Attachments": Self-declaration	Yes/No
4. In the case of a partnership project, a draft Partnership	Application Form: "Partnership"	Yes/No

<p>Agreement defining the partner's different roles and responsibilities has been signed by all partners and attached to the application.</p>	<p>and Attachments: "Signed (Draft) Partnership Agreement"</p>	
<p>5. The Applicant (and any partner(s)) has been in operation for at least one full fiscal year and their main activities are closely related to the activities for which the application is made.</p>	<p>Application Form: "Description of the Applicant" and "Description of Partner, including main NACE code for Applicant and Partner(s). and "Attachments" - "Relevant registration certificates" (same as in item 1).</p>	<p>Yes/No</p>
<p>6. The Applicant (and any partner(s)) and the legal representative signing the application have clean criminal and tax records.</p>	<p>"Attachments" - self-declarations regarding clean tax and criminal record of the applicant, applicant's legal representative signing the application and partner(s) ("Proof of clean criminal and tax records" issued by relevant national authorities will be requested only to short-listed applicants, during pre-contracting phase.)</p>	<p>Yes/No</p>
II. b) PROJECT		
<p>1. The proposed project is relevant for the Programme specific outcome and within the eligible activities defined in the Third Call for Project Proposals.</p>	<p>Application Form: "Project Information", "Outcome" and "Attachments": "Project Implementation Plan" and "Business Plan".</p>	<p>Yes/No</p>
<p>2. Grant maximum and minimum amounts, and co-financing requirements, are complied with and the project implementation period (max. 10 months) is no longer than the deadline for cost eligibility.</p>	<p>Application Form: "Activities", "Project Funding Plan/Finance Plan", and "Attachments": "Detailed Activity Based Budget", "Project Implementation Plan", "Disbursement Plan".</p>	<p>Yes/No</p>
<p>3. No overlapping/double funding arises from the</p>	<p>Application Form: "Legal issues"</p>	<p>Yes/No</p>

applications for a similar project from EU/EEA/International Financial Institution/bilateral or other sources.			
4. The project is in compliance with both EU and national legislation in Bulgaria (in particular public procurement, state aid and environment requirements).	Application Form: "Legal issues"	Yes/No	
III. TECHNICAL AND FINANCIAL ASSESSMENT		Scoring	Importance (weighting)
1. The extent to which the project meets the Programme specific expected outcome and the eligible activities set out in the Third Call for Project Proposals and can achieve a high degree of improvement of the environmental performance of enterprises and/or environmental impact during project implementation/upon project completion.	Application Form: "Project Information" "Outcomes", "Outputs". "Activities and Schedule", and "Attachments": "Business Plan".	1-6 points	30 %
2. The extent to which the project is mature, i.e. technically viable and feasible in terms of time schedule, budget and value for money.	Application Form: "Project Information", "Legal issues", "Risk" and "Attachments": "Detailed Activity Based Budget", "Project Implementation Plan", "Procurement Plan", "Business Plan".	1-6 points	
3. The extent to which the grant awarded has an incentive effect on the project in a state aid context (see definition in Third Call for Project Proposal).	Application Form: "Project Information" And "Attachments": "Business Plan – NPV and IRR".	1-6 points	

<p>4. The extent to which Applicant has the necessary human resources and the technical/technological capacity to implement the project.</p>	<p>Application Form: "Applicant" (Activity of the Applicant), "Partners" (activity of Partners, Contribution from Partners), "Internal Factors", and "Attachments": "CV's for project management team" and "Letter of Commitment" (from Applicant and each Partner).</p>	<p>1-6 points</p>	<p>25%</p>
<p>5. The extent to which the Applicant (and eventual partners) have the necessary co-financing and financial capacity to implement the project.</p>	<p>Application Form: "Project Funding Plan/Finance Plan", "Financial Statements", "Internal Factors", "Partners contribution" And "Attachments": "Letter of commitment" (from Applicant and each Partner).</p>	<p>1-6 points</p>	
<p>6. Assessment of Applicants financial situation, including financial report assessment, operating risk rating A-C and credit check.</p>	<p>"Attachments": Certified annual accounts/financial statements, profit and loss statement for 2012 and 2013, and preliminary accounts as per 31 December 2014, "Detailed Activity Based Budget", "Disbursement Plan", Innovation Norway will purchase Credit Reports for shortlisted projects in the pre-contracting phase.</p>	<p>1-6 points</p>	
<p>7. Project profitability (implication of project costs).</p>	<p>Application Form: "Comments on Budget", and "Attachments": "Business Plan" (Cost-benefit-analyses/cash-flow projections for the next 5 years.)</p>	<p>1-6 points</p>	

8. "Business Plan" quality (clear, logic, analytic – project impact on the current business).	Attachments: "Business Plan".	1-6 points	
9. Innovation level (ref. definition in Third Call for Project Proposals).	Application Form: "Project information" and Attachments: "Business Plan".	1-6 points	
10. Market potential for the products/services resulting from the project.	Application Form: "External factors" and Attachments: "Business Plan" - Preferably supported by adequate market research/justification.	1-6 points	
11. Competitiveness (Applicant's position in the market).	Application Form: "External factors" and Attachments: "Business Plan" Preferably supported by adequate market research document. If the products are new in the market a market research is mandatory.	1-6 points	
12. Partnership quality, i.e. the partners are independent entities, the division of tasks and responsibilities among partners is established and described and each partner has a significant contribution to the project activities.	Application Form: "Partnership" and "Attachments": "Partnership Agreement", "Detailed Activity Based Budget" and "Project Implementation Plan".	1-6 points (0 points without partner, max 3 points for a Bulgarian-Bulgarian partnership and max. 6 points for a Bulgarian-Norwegian partnership.)	20%

13. The extent to which the project contributes to the overall objectives of Norway Grants 2009-2014 (reduction of economic and social disparities in the EEA Area and to strengthen the bilateral relations between Norway and the beneficiary state).	Application Form: "Project Information", "Bilateral Relations", "Partnership" and "Attachments": "Partnership Agreement", "Project Implementation Plan".	1-6 points (Max 3 points for the first objective and up to 6 points if both objectives are fulfilled.)	
14. The extent to which the project is adequately supported by a risk mitigation plan.	Application form: "Outcome" (Risk and mitigation plans).	1-6 points	15%
15. The extent to which the project incorporates clear sustainability measures, i.e. the durability of the project after the implementation deadline.	Application Form: "Project information" And "Attachments": "Business Plan – Sustainability".	1-6 points	
16. The extent to which the project is in compliance with the Bulgarian national, regional and local plans or strategies.	Application form: "Project Information".	1-6 points	
17. The quality of the planned arrangements to publicise the project and disseminate the results and impact (publicity plan). (See Publicity Guidelines on Programme web-site).	"Attachments" – "Publicity Plan"	1-6 points	10%
18. The extent to which the Applicant and the partners adhere to Corporate Social Responsibility (CSR). Initiatives already taken/implemented by the entities and/or new initiatives that will be implemented during the project implementing period to establish an active CSR approach. (To be assessed on company/ Applicant level).	Application form: "Applicant" and "Internal Factors (Corporate Social Responsibility)" and "Attachments": "Project Implementation Plan", "Business Plan".	1-6 points	
19. The extent to which the project are in compliance with relevant cross-cutting issues in the Application Form (to be assessed at project level).	Application Form: "Cross-cutting issues".	1-6 points	

20. The extent to which the project has added value, i.e. the socio-economic profitability.	Application Form: "Project Information", "Outcome".	1-6 points	
IV. OTHER ELEMENTS IN THE PRIORITIZING OF PROJECTS			
Proven availability of the required co-financing/financial capacity to implement the project.	Relevant only for short-listed projects: During pre-contracting phase, Innovation Norway will request updated Commitment letter from Applicant and eventual Partners, bank statements and/or Bank letter confirming that a bank loan has been obtained.		