

Green Industry Innovation Programme Poland

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 function 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 Call for Project Proposals, Rules and Procedures, in the electronic Application Form ("About Section" and "Field Help"), in the Application Form Guideline, and all mandatory attachments are attached to the application.	Full e-Application Form and mandatory attachments	Yes/No
2. The application and mandatory attachments are presented in English (or in Polish if acceptable – please see Call text, item 13.)	Full e-Application Form and mandatory attachments	Yes/No
3. The appropriate 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 Poland (according to Call for Project Proposals).	Application Form: "Contact", "Applicant", "Ownership" and "Attachments" Relevant Registration Certificate(s): - For Polish 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. In the case of a partnership project, a draft partnership agreement defining the partner's different roles and responsibilities has been signed by all partners and attached to the application.	Application Form: "Partnership" and Attachments: "Signed Partnership Agreement"	Yes/No
3. The applicant (and any partner(s)) has been in operation for at least one fiscal year and their main activities are	Application Form: "Description of the Applicant" and "Description of Partner (if	Yes/No

<p>closely related to the activities for which the application is made.</p>	<p>relevant) including main NACE code for Applicant and Partner(s). and "Attachments" - "Relevant registration certificates": - For Polish 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).</p>	
<p>4. The applicant (and the 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 Call for Project Proposals.</p>	<p>Application Form: "Project Information", "Outcome" and "Attachments": "Project Implementation Plan" and "Project Document/Business Plan".</p>	<p>Yes/No</p>
<p>2. Grant maximum and minimum amounts and co-financing rates are complied with and the project implementation period 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>

3. No overlapping/double funding arises from the applications for a similar project from EU/EEA/International Financial Institution/bilateral or other sources.	Application Form: "Legal issues"	Yes/No	
4. The project is in compliance with both EU and national legislation in Poland (in particular public procurement, state aid and environment requirements).	Application Form: "Legal issues"	Yes/No	
III. TECHNICAL AND FINANCIAL		Scoring	Importance (weighting)
1. The extent to which the project meets the Programme specific expected outcome and the eligible activities set out in the 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": "Project Document/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", "Project Document/Business Plan".	1-6 points	
3. The extent to which the grant awarded has a releasing effect on the project (see Call for Project Proposals for definition).	Application Form: "Project Information".	1-6 points	
4. The extent to which the entity/entities have the necessary human resources and technical capacity to	Application Form: "Applicant" (Activity of the Applicant), "Partners" (activity of	1-6 points	25%

<p>implement the project.</p>	<p>partner, Contribution from Partners), "Internal Factors" and "Attachments": "CV's for project management team" and "Letter of Commitment" (from Applicant and each Partner).</p>		
<p>5. The extent to which the entity/entities 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": Certified annual accounts/financial statements, profit and loss budget for 2011 and 2012 "Detailed Activity Based Budget", "Disbursement Plan" "Letter of commitment" (from Applicant and each Partner).</p> <p>Certified accounts for 2013, profit and loss budget will be requested only to short-listed applicants, during pre-contracting phase.</p>	<p>1-6 points</p>	
<p>Additional assessment criteria for private enterprises</p>			

6. Project profitability (implication of project costs)	Application Form: "Financial Statement", "Internal Factors", "External Factors" and Attachments: The operating budget for the next 3 years.	1-6 points	
7. Financial report assessment, Operating risk rating A-C, Credit score rating	Attachments: "Certified annual accounts/financial statements (profit and loss, balance sheet) for the last 2 years in operation 2011 and 2012. 2013 will be requested only for shortlisted projects. Innovation Norway will purchase Credit Reports for shortlisted projects in pre-contracting phase.	1-6 points	
8. Project Document/Business Plan quality (clear, logic, analytic, solutions, feasible)	Attachments: "Project Document/Business plan".	1-6 points	
9. Innovation level	Application form: "Project information" And Attachments: "Project Document/Business Plan".	1-6 points	

10. Intellectual Property Rights status	Application form: "Internal Factors", "Legal issues" and Attachments: "Partnership Agreement" or other relevant documentation attached by the applicant, if relevant for the project.	1-6 points	
11. Market potential and competitiveness	Application form: "Internal factors", "External factors" and Attachments: "Project Document/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 Polish-Polish partnership and max. 6 points for a Polish-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	1-6 points (Max 3 points for the first objective and	

	Implementation Plan".	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 is in compliance with the Polish national, regional and local plans or strategies.	Application form: "Project Information"	1-6 points	
16. 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"	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 project promoter/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" (Corporate Social Responsibility), Attachments: "Project Document/Business Plan", "Project Implementation 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		
<p>Proven availability of the required co-financing/financial capacity to implement the project.</p>	<p>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..</p>	