

**PROCEDURAL ACT
OF THE ENERGY COMMUNITY SECRETARIAT**

2018/01/ECS-EnC: On the adoption of the Financial Handbook on the Management of the EU4Energy EU-funded Project

The Energy Community Secretariat,

Implementing the *Procedures for the Establishment and Implementation of Budget, Auditing and Inspection of the Energy Community* as amended by the Ministerial Council on 23 September 2014 and particular Article 37 thereof,

Having regard to the Grant Contact (ENI/2016/364-837) "EU4ENERGY Component 3 – Legislative and Regulatory Environmental and Key Energy Infrastructure / Energy Communication Action" ("project") signed on 26 June 2016 and amended on 28 July 2017,

Having regard to the Operating and Reporting Procedure Guide ("the Guide") applicable in the first reporting period (Y1) of the Project,

Taking into account experience gained with the implementation of the EU funded project in the first year of project implementation,

ADOPTS THE FOLLOWING PROCEDURAL ACT:

Article 1

The Director of the Energy Community Secretariat adopts the Financial Handbook on the management of the EU4ENERGY EU funded project.

Article 2

This Procedural Act enters into force on the day of its adoption.

For the Energy Community

A handwritten signature in blue ink, appearing to read "Janez Kopac".

Janez Kopac
Director

Done in Vienna on 31 January 2018



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***Financial Handbook
on the Management of the
EU4Energy
EU-funded Project***

Applicable as of 1 May 2017



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1. INTRODUCTION

1.1. Purpose of the Handbook

The present Financial Handbook (“Handbook”) applies to the **EU4Energy Governance Project** (“grant”, “grant agreement”) awarded to the Energy Community (“the organisation”; “EnCS”) in June 2016. The document is intended to serve as an aid to all the EnCS staff who is involved in the management of the EU4Energy Governance Project. Its principal aims are to:

- provide guidance on how to handle the financial side of the project in such a way that financial reporting can be drawn up;
- promote the sound financial management of the project and ensure that the best results/products are delivered at reasonable cost.

The provisions of this Financial Handbook are applicable since May 2017 until the end of the Project that is June 2020. They are subject to changes and adjustments, following experience gained throughout the project implementation.

IMPORTANT!

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Version History:

Version:	1
Date:	30 January 2018

1.2. Applicable Documents

This document should be read in conjunction with the related grant agreements and any supporting documents and guidance notes and tools, including in particular:

- The EU4ENERGY, Component 3 (Grant Contract ENI/2016/364-837¹) (incl. Annexes) concluded between the Energy Community represented by the Energy Community Secretariat (“EnCS”) and Energy Charter Conference, represented by the Energy Charter Secretariat (“ECS”), and the European Union, represented by the European Commission, dated 24 June 2016,
- The Agreement signed between the EnCS and ECS, dated 12 September 2016,
- Addendum No 1 to Grant Contract no ENI/2016/364-837, dated 28 July 2017.

¹ Initial Contract No ENI/2015/364-837 was corrected to No ENI/2016/364-837



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2. FINANCIAL RULES

The following financial rules must be read together with the related grant agreement.

2.1. General Provisions on Eligibility of Costs

The general context, nature and amount of expenditure will be considered when assessing eligibility.

To be considered as eligible costs of the project, costs must satisfy the following general criteria, in line with Article 14 of the General Conditions applicable to European Union financed grant contracts for external actions (Annex II to the Grant Contract):

- they must be connected with the project (e.g. relevant to the project and/or be directly connected with the execution of the project);
- they must be foreseen in the estimate overall budget of the project;
- they must be reasonable and justified and they must accord with the principles of sound financial management, in particular in terms of value for money and cost- effectiveness;
- they must be generated during the contractual lifetime of the project;
- they must be actually incurred by the EnCS and be recorded in its accounts in accordance with the applicable accounting principles²;
- they must be identifiable, verifiable and be recorded in the accounting records of the EnCS. The costs should be determined according to the applicable accounting standards³ and the usual cost accounting practices of the EnCS.

EnCS's accounting system permits direct reconciliation of the costs and revenue declared in respect of the project, with the corresponding accounting supporting documents. For scales of unit costs this implies that the actual "number of units" must be recorded in appropriate documents (e.g. salary slips, timesheets (as applicable) etc.).

Where applicable accounting rules do not require an invoice, there shall be an accounting document of equivalent value. This means any document produced in order to prove that the accounting entry is accurate and complies with the applicable accounting rules.

EnCS ensures to keep all supporting documents (copies or originals) related to the project no matter which partner⁴ incurred the costs⁵. Unjustified costs will not be considered as eligible neither by the Commission (EC) nor by the auditors.

The single currency of the Grant Contract is EUR. All financial reports should be drawn up in EUR. Rules for currency conversion in Article 15.9 of General Conditions (Annex II to the Grant Contract) shall apply. Further internal guideline of EnCS on the Foreign Currency transactions applies⁶

² Costs incurred should be paid before the submission of the final reports. They may be paid afterwards, provided they are listed in the final report together with the estimated date of payment. An exception is made for costs related to final reports, including expenditure verification, audit and final evaluation of the Action, which may be incurred after the implementation period of the Action.

³ In line with the Procedural Act of the Energy Community Secretariat dated 16 January 2008, the Energy Community adopted the International Public Sector Accounting Standards (IPSAS)

⁴ In the first year of the project, ECS

⁵ In case documents are missing, an explanation note shall be provided.

⁶ See Note on ACCOUNTING POLICY ON THE EFFECTS OF CHANGES IN FOREIGN EXCHANGE RATES AT THE ENERGY COMMUNITY SECRETARIAT from 02.01.2017, updated 31.01.2018



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according to which a foreign currency transaction should be recorded on the initial recognition in functional currency, by applying to the foreign currency amount, the exchange rate between the functional currency and the foreign currency at the date of transaction⁷. In line with the Energy Community's internal practice on the application of exchange rates, a rate that approximates the actual rate at the date of transaction is an average rate for a month (InforEuro Rate) as published under:

http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm

2.2. Non-eligible Costs

Under no circumstances following types of costs can be considered as eligible⁸:

- debt and debt service charges (interest);
- provisions for losses or potential future liabilities (i.e.: provisions for contractual and moral obligations, fines, financial penalties and legal costs);
- purchases of land or buildings, except where necessary for the direct implementation of the Action and according to the conditions specified in the Special Conditions;
- currency exchange losses;
- costs declared by ECS and covered by another project or work programme receiving a European Union grant;
- credits to third parties, unless otherwise specified in the Special Conditions to the Grant Contract;
- in-kind contributions;
- salary costs of the personnel of national administrations⁹.

Costs which could be considered as eligible according to the criteria detailed under section 2.1 become non-eligible if they are not supported by adequate documents (*please see point 2.3 for further information*)

▪ 2.2.1 EU logo and communication

The EC reserves the right to reject costs relating to documents and materials which do not state the EU logo and funding disclaimer as defined in the Grant Agreement and in line with the agreed Communication and Visibility Guidelines.

▪ 2.2.2 Timely recording of costs

Expenses must be recorded in the accounting system on the basis of adequate supporting documents at the time the costs were incurred.

2.3. Categories of Eligible Costs and necessary supporting documents

The eligible direct costs for the project are those costs which, with due regard for the conditions of eligibility set out above, are identifiable as specific costs directly linked to performance of the project and which can therefore be booked to it directly.

⁷ Functional currency is the currency of the primary economic environment in which the entity operates

⁸ In line with art 14.9 of Annex II - General Conditions applicable to European Union-financed grant contracts for external actions to the Grant Contract

⁹In line with Art 19.9. Annex II of the Grant Contract



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▪ 2.3.1 Staff

Costs relating to the following categories of staff are considered:

- statutory staff, having either an employment agreement until the end of the project (i.e. June 2020) or a temporary employment contract;
- other types of employment contracts concluded in line with the Energy Community Recruitment Rules, Staff Regulations and other applicable rules.

List of supporting documents that must be prepared and supplied when requested:

- Staff payroll records, and salary statements;
- HR budget of the project;
- Timesheets¹⁰ (where applicable) signed by both the staff member and the project manager/director, mentioning name, function and tasks fulfilled, reference to the work programme's activities, number of hours per day/per month allocated to the project. *Timesheets are applicable only for those employees that are not involved exclusively in the project – please refer to **Annex I** for further information;*
- Employment contracts with an indication of the type of contract, the start date (and end date if applicable), signed both by the employer and the employee can serve as justifying documents;
- Supporting documents to employment contracts, like application, CVs, other supporting documents for qualifications;
- Proof of payment of the salaries.

*Please note that these documents should be kept for a period of **5 years after the final payment is made**, in line with art 16.7 of Annex II.*

▪ 2.3.2 Travel costs and per diems

Travel costs for staff taking part in the project are considered eligible, provided that they are in line with the Energy Community Travel Rules¹¹. Costs may be claimed only for travels directly connected to specific and clearly identifiable project-related activities. Travel costs are applicable to staff members involved in the project.

Payment shall be based on actual costs, regardless the means of travel chosen (rail, bus, taxi, plane, rent-a-car, etc.). Staff is required to use the cheapest mean of travel (e.g. use Apex¹² tickets for air travel and take advantage of reduced fares, where this is not the case then a full explanation should be provided).

The travel cost for a travel should include all costs and all means for travel from the point of origin to the point of destination¹³ (and vice versa) and may include visa fees, travel insurance and cancellation costs, when justified.

¹⁰ Please refer to Annex I for further information on timesheets

¹¹ As annexed to the Energy Community Staff Regulations

¹² Advance Purchase Excursion fares

¹³ City, where the event/mission takes place.



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In line with the Energy Community Travel Rules, exceptionally, the use of a private car may be authorized. Reimbursement shall be based on the costs of public transportation. Parking of the private car at the airport will be reimbursed at the most economical tariff in relation to the parking time¹⁴. Terminal expenses are reimbursed upon presentation of related bills. No terminal expenses shall be paid if such transportation was provided at no cost to the traveller⁷.

Travel expenses paid comprise the following:

- Cost of transportation, including transportation within the domicile country, to/from the airport or other point of arrival or departure of the domicile country (terminal expenses)
- Daily subsistence allowance (DSA)¹⁵
- Official communication costs (eg. Internet costs in the hotel, used for working purposes)
- Other costs in direct relation with the travel and authorized with the request for travel (e.g. excess baggage, visa costs)

List of supporting documents that must be prepared and supplied when requested:

- Copy of Ticket (plane, train, bus, etc.) invoices (travel agency etc.);
- Copy of boarding passes;
- For car journeys: declaration stating the city of departure and arrival, the calculation method with unit rate and justified number of units (e.g. GOOGLEMAPS etc.), dates;
- Mission Report (see Annex IV for a template) with clear identification of the activity/purpose of the trip, dates, main activities if there are no minutes, etc;
- Meeting Agenda or invitation to a meeting (see Annex IV for a template – if organised by the EU4Energy Governance Project);
- Signed Attendance List (see Annex IV for a template – if organised by the EU4Energy Governance Project), if available;
- Print out of the travel claim;
- Copies of invoices/receipts for transportation, like transportation within the domicile country, to/from the airport or other point of arrival or departure of the domicile country (terminal expenses), official communication costs and all other costs in direct relation with the travel and authorized with the request for travel (e.g. excess baggage, visa);
- Comparable offers for flight options, in cases where a staff member requires a booking in different timing that the one justified by the agenda of the meeting;
- Proof of payment¹⁶.

▪ **2.3.3 Equipment costs**

Purchase, rent or lease of equipment (new or second-hand), including the installation, maintenance and insurance costs, are considered eligible costs:

- only when specific and necessary for achieving the project's objectives. Proposed equipment purchase must always be duly justified. Procurement procedure as defined in **Annex II** shall apply;
- provided that it is written off in accordance with IPSAS17, the accounting standards applicable to the EnCS and generally accepted for items of the same kind. Only the portion

¹⁴ In the domicile country only

¹⁵ The Energy Community DSA rates at their most recent scale shall apply from:
https://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm

¹⁶ In case of lost ticket, an explanation shall be provided by the traveller



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of the equipment's depreciation corresponding to the duration of the project and the rate of actual use for the purposes of the project may be taken into account.

List of necessary supporting documents

- copies of purchase contracts and (copy of) invoices;
- comparable offers as required by the applicable procurement law;
- delivery notes;
- proof of payments.

▪ 2.3.4 Office Costs

2.3.4.1 Office Rent

Rental costs of premises necessary to carry out the project will have to be supported by a rental contracts concluded or equivalent documentation. In case the office is not an exclusive project office, an appropriate apportionment method to outline the allocation of costs shall be applied¹⁷.

2.3.4.2 Consumables/ Office supplies

The costs of consumables and supplies are eligible, provided that they are identifiable and exclusively used for the purpose of the project. They must be identifiable as such in the project accounts. When purchasing them, the organisation must comply with the procurement rules, outlined in **Annex II**.

2.3.4.3 Other services (maintenance, telephone services, electricity/heating)

All the costs need to include supporting documents and be specifically linked to the implementation of the project.

List of supporting documents that must be prepared and supplied when requested

- copy(ies) of contract(s) for office rent;
- additional supporting documents/methods necessary for the calculation of rental expenses, eg. apportionment method etc.
- copies of invoices, clearly indicating the period when the services/goods were purchased;
- proof of payment.

▪ 2.3.5 Other costs

Costs arising directly:

- from requirements imposed by the grant agreement (e.g. dissemination of information, specific evaluation of the project, audits, translations, website, etc.) and
- from the realisation of specific actions or of products/results of the project (e.g. the organisation of seminars by the project team itself - where the seminar is foreseen as a product/result and where task-related costs are easily identifiable, the production of a video, the purchase of product-related consumables - paper for printing of publications, etc.)

¹⁷ Which is the case in Vienna office of Energy Community Secretariat that offers office space for the personnel employed under the project



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are eligible.

Only activities which are specific and necessary for achieving the goals of the project are considered. When travel and/or subsistence costs are reimbursed to third parties (experts, speakers, volunteers, etc.), the rules applicable to travelling and reimbursement of delegates/speakers (Energy Community Reimbursement Rules) will be applied.

Costs which are not covered by the other categories are also considered as Other costs. Some examples are: one-off costs for press releases and publicity, etc.

2.3.5.1 Publications

In order to be eligible for the EU funding, publications must be produced specifically for the project and comply with the Programme's Visibility Strategy and the Communication and Visibility Manual for the European Union External Actions laid down and published by the European Commission¹⁸. Costs related to editing, graphic design, printing and dissemination of reports, guidelines, manuals and case studies etc. can be processed under this category.

List of supporting documents that must be prepared and supplied when requested:

- editing: the invoice must specify the type/name of the publication and the number of pages/words,
- translations: the invoice must specify the name of the publication/document,
- printing: the invoice must specify the type/name of the publication, the number of pages and the number of copies; invoice shall be accompanied by delivery note of the printed publications,
- final documents delivered, eg. translations, publications etc.
- proof of payment.

2.3.5.2 Studies, research, consulting

General provisions

Where the implementation of the project envisages procurement of services, the organisation shall comply with the procurement law, as outlined in **Annex II**.

Studies, research, consulting are subcontracted and should be in line with activities as foreseen in the country specific and regional work programmes. Costs are based on a verifiable estimate or, if the subcontractor is identified, on the basis of an offer. The estimate/offer will cover all costs (e.g. staff costs plus travel/allowance costs, etc.).

The beneficiary shall award the contract to the tender offering best value for money, i.e., to the tender offering the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests.

A contract with the selected service provider must at least indicate:

- the reference to the tender and offer;

¹⁸ See Article 6 of the Annex II, see:

http://ec.europa.eu/europeaid/sites/devco/files/communication_and_visibility_manual_en_0.pdf



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- the reference to the EU4Energy Governance Project;
- the start/end date;
- the tasks to be implemented within a certain time schedule;
- the value of the contract;
- the payment modalities (amount or percentage and deliverables to be achieved; law applicable in case of contestation, etc.)
- date of signature of the agreement.

For the purpose of the EU4Energy Project, *inter alia*, the Energy Community Secretariat established a Roster of Experts to facilitate the identification and mobilization of suitable expertise in a timely manner. Both EnCS and ECS shall have access to the Roster. If particular expertise is required for the project and not yet available in the Roster, the ECS shall inform EnCS.

The EnCS must be able to prove that it has requested offers from the minimum number of contractors, as per procurement rules outlined in Annex II. Requests sent by email, fax or post may constitute these proofs.

One procedure can include several lots but it is not acceptable to launch separate procedures in order to remain under specific procurement thresholds (artificial split of contracts).

List of supporting documents that must be prepared and supplied when requested

- terms of reference/specifications of the tendering;
- request for quotation with reference to the project, activity and deadline for answering;
- quotations received dated and signed;
- evaluation committee's report;
- award decision;
- contracts and invoices (copies);
- proof of deliverables and payments;

NB: When the commitments taken by the EnCS oblige the Project to work with a unique supplier for an assignment with the aim of obtaining the fairest economic conditions, this situation can be accepted provided that it can be proved that a procurement procedure was launched in order to choose this sub-contractor "*in tempore non suspecto*" (i.e. existing framework contract).

2.3.5.3 Expenditure verification/Audit

Costs related to annual external audit/expenditure verification are eligible under this category.

List of supporting documents that must be prepared and supplied when requested

- copy of a contract,
- copy of audit reports,
- copy of invoice,
- proof of payment.

2.3.5.4 Translation and interpretation for events

Specific costs relating to translation and interpretation for the implementation of country specific and regional work programmes and events organised, as part of the activities under the project, may be



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included under this heading. The selection of providers shall comply with the procurement rules, as outlined in Annex II.

List of supporting documents that must be prepared and supplied when requested:

- contract /letter/email of engagement;
- proofs of comparable offers, in line with procurement rules outlined in Annex II;
- invoices - shall indicate the name of the publication/document;
- proof of payment.

2.3.5.5 Financial Services (bank costs etc.)

Expenditure related to costs of banking associated with the project as required for international bank transactions and maintenance of the bank account, are eligible under this category.

List of supporting documents that must be prepared and supplied when requested:

- bank statements, showing the costs of transactions etc.
- payment slips showing the charged amount of bank fee.

2.3.5.6 Costs of conferences and seminars

Specific costs relating to conferences and seminars organised as part of the project activities shall be included under this heading. These include costs for meeting facilities and services, external speakers and travel costs of delegates from the beneficiary countries and speakers. The selection of providers for conference related support shall comply with the procurement rules, as outlined in Annex II.

List of supporting documents that must be prepared and supplied when requested:

- for official meetings and conferences: budget estimate of the overall costs together with the supporting documents (e.g. the supporting document for conference room rental should indicate the number of participants and number of days/hours of the stay; supporting documents for interpretation services should be detailed and indicate the cost per interpreter per day/per hour, if relevant);
- attendance list signed by the participants, if applicable (see Annex IV for a template);
- copies of Travel Reimbursement Request forms, if applicable (see Annex IV for a template);
- copies of Advanced Payment of Travel Expenditures forms, if applicable (see Annex IV for a template)
- copies of supporting documents as evidence of the costs incurred, namely filled in reimbursement templates/advance payment templates, flight, railway, public transport tickets, hotel invoices, boarding passes etc;
- proof of payment;

2.3.5.7 Visibility actions

All the visibility actions shall comply with the Programme's Visibility Strategy and the Communication and Visibility Manual for the European Union External Actions laid down and published by the



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European Commission¹⁹. Elements included under this heading might include costs related to Press releases, Press conferences, Press visits, Leaflets, brochures and newsletters, Web sites, Display panels, Commemorative plaques, Banners, Vehicles, promotional materials and equipment, Photographs, Audiovisual productions as relevant for project related Public events and visits, Information campaigns etc. The selection of providers shall comply with the procurement rules, as outlined in Annex II

List of supporting documents that must be prepared and supplied when requested:

- duly signed contracts (copies)
- comparable offers, in line with the procurement procedures outlined in Annex II
- invoices (copies)
- delivery notes
- proof of payment.

¹⁹ See Article 6 of the Annex II, see:

http://ec.europa.eu/europeaid/sites/devco/files/communication_and_visibility_manual_en_0.pdf



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Annex I – Timesheets

Timesheets are used to track employee's work and monitor how much time he/she spent for particular activity in the Project. This information is subsequently aggregated on the basis of the actual level of HR expenditures, and actual unit values and used to calculate real project costs and resources usage

Timesheets must be filled in by those employees of the Energy Community Secretariat who contribute to the implementation of the EU4Energy Governance Project on an *ad-hoc* basis. Timesheets also need to be filled in by individuals involved under the Project's Human Resources budget heading but whose contracts do not envisage full time employment. Specifically, the timesheets are to be prepared by:

- 1) Director of the Energy Community under budget heading *1.0.1 Director EnCS Vienna*
- 2) EnCS Heads of Unit and
- 3) Experts under budget heading *1.0.3 Component Related Inputs from various EnCS HoUs and Experts in Vienna.*
- 4) Other EnCS employees whose contribution falls under budget heading *1.0.5 Component Related Inputs from IT and Admin Unit in Vienna*

As a general rule, timesheets shall be approved by the Deputy Head of the Eastern Partnership Assistance Unit. In the absence of the Deputy Head of Unit, timesheets should be signed by the EnCS Director. In order to comply with the principle of the segregation of duties, the timesheets produced by the Director of the EnCS shall be approved by the Deputy Head of the Eastern Partnership Assistance Unit.

The days declared by the above-mentioned personnel will help the EnCS justify the 5% of the total budget that corresponds to organisation's own contribution to the Project.

Timesheets are to be filled in English, **individually** and on **regular basis** (upon completion of tasks under the EU4Energy Governance Project) to reflect the actual contribution to the project and to avoid possible inconsistencies in between the recorded time vs sick leave vs public holiday etc. The experts are responsible to fill in the timesheets and describe the tasks performed for the project in detail. The details provided need to allow for an easy reconciliation with Project's main activities.

The pre-defined templates for timesheets are provided by the EPAU and made available to all the experts in the beginning of each month. Reconciliation of recorded efforts takes place in the end of each month, based on the received data. Time sheets are reviewed on regular (monthly) basis by the Financial Officer of the EU4Energy project.

The summary of the EnCS's own contribution to the project is provided in each interim financial report, submitted to the EC, under budget heading *1.0 Component management and supervision by EnCS.*

The templates for each project month are accessible [here](#).



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Annex II - Procedures for awarding of contracts and procurement limits

Procurement activities at the Energy Community are taking place in accordance with the relevant provisions of the Austrian Federal Public Procurement Law (Bundesvergabegesetz 2006, Federal Law Gazette I No. 17/2006) in its most recent version.

The following amount limits for the selection of tendering procedure (goods and services contracts) shall be observed:

	Estimated value of a contract	Type of procedure
	Service or supplies	Minimum procedure applicable
1	≤ EUR 500	<i>payment may be made against invoice</i>
2	≤ EUR 20,000	Negotiated procedure with consultation of at least two offers (service providers)
3	≤ EUR 60,000	Negotiated procedure with consultation of at least three offers
4	< EUR 100,000	Negotiated procedure with consultation of at least five offers
5	< EUR 100,000	Restricted procedure without prior notice publication of a contract notice in the Official Journal Negotiated procedure without prior notice
6	< EUR 144,000 ²⁰	Direct Award with prior notice
7	< EUR 221,000 ²¹	Open procedure with prior notice Restricted procedure with prior notice Negotiated procedure with prior notice
8	≥ EUR 221,000	Open procedure (EU wide notice) Restricted procedure with EU wide notice

Additionally, the procurement activities undertaken by the Energy Community Secretariat and for the purposes of the implementation of the EU4Energy Governance Project have to respect the provisions of Annex IV to the Grant Contract “*Procurement by grant Beneficiaries in the context of European Union external actions*” to the grant contract.

Under the Direct Award procurement procedure, the entities invited to the tenders are selected from the Energy Community Roster of Experts. The list of entities to be invited to individual tenders are compiled by Energy Community Experts/EPAU Experts, drafting the Terms of Reference for procured projects, and communicated to EPAU in writing. The invited service providers should submit their offers electronically to the EPAU. Upon receipt of offers, the EPAU carries out an internal evaluation of received offers, based on the pre-defined criteria, and informs the successful and unsuccessful bidders about the results of the tender.

Under the procurement procedure for Direct Award, the EnCS Director may decide to award the tender to one specific service provider, without the necessity to consult multiple offers, provided that the chosen service provider is uniquely positioned to execute the requested services^{22 23}. In this

²⁰ New threshold applicable from 1/1/2018, as per BGBl II Nr. 411/2017

²¹ Idem

²² The Service Provider should be registered on the Roster of Experts and meet the nationality and origin rule, as per Annex IV to the Grant Contract

²³ According to para 41 of BVerG



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case a justification note is required to be attached to the supporting documents outlining the reasons for such a decision.



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Annex III – Reimbursement Rules for delegates and external speakers/participants²⁴

Participation at the meetings organized for the purposes of implementation of the project shall be subject to refunding under the budget of the EU4Energy Governance Project. Only officially nominated delegates from the six defined Eastern Partnership countries (Georgia, Moldova, Ukraine, Armenia, Azerbaijan, Belarus; “EaP countries”) shall be eligible for refunding. Reimbursement of speakers/consultants shall be prior approved by the EnCS Director.

The refunding shall be considered eligible, if the following principles have been met:

- delegate/speaker has been officially invited for the participation at the meeting,
- participants officially nominated by the state institutions from the EaP countries shall be eligible for reimbursement of costs. Representatives from industry and private organizations will be not reimbursed,
- the reimbursement shall cover the minimum necessary period of stay for the relevant event,
- the financial support comprise the costs of transportation and costs of accommodation, as necessary for the purposes of the meeting in question. No per diems are paid.
- For all events where participation is eligible for reimbursement, the cost of travel to be reimbursed per meeting and per eligible participant from any EaP country may not exceed EUR 800 (“reimbursement ceiling”, “ceiling”). The EnCS Director may approve - on case by case basis - any expenses higher than the established ceiling, subject to budget availability.

Transport

- As a matter of principle, reimbursement shall only be made for taking the most direct route and the most cost-effective mode of transport.
- Subject to the following specifications, costs of travel by airplane, public transport and car will be reimbursed:
 - for travel by plane, the costs of an economy class return ticket will be reimbursed.
 - for travel by train, the costs of a 2nd class return ticket will be reimbursed.
 - for travel by private car, mileage costs based on the most recent scale under Austrian legislation will be reimbursed. The reimbursement covers all incidentals related to the travel, like costs of petrol, insurance, toll fees, costs of parking, wearing down etc. A co-driver will not be reimbursed.
 - costs for public transportation (bus, train, metro) shall be reimbursed. Taxi costs shall not be reimbursed; whenever public transportation is in place or reasonable. In exceptional cases, when taxi costs are claimed, the traveller shall enclose the invoice together with a note justifying the use of taxi services.

Accommodation

- Accommodation costs for the number of nights required by the meeting in question shall be reimbursed. Overnight stay shall not be considered necessary where travel from or back to the traveller’s home destination on the day of the meeting is reasonable.
- The costs of accommodation shall be reimbursed up to EUR 120 per night. EnCS Director may approve – on case by case basis – higher than the established hotel ceiling of EUR 120, subject to justification received and budget availability. Only costs of accommodation shall be reimbursed. Any other expenditure related to the stay at the hotel will not be reimbursed (internet, costs of phoning, copying, minibar, non-included breakfast, etc.).

²⁴ In line with the Energy Community Reimbursement Rules



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Purchase of tickets

- The participants (delegates/external speakers), are required to purchase their tickets as early as possible so that the most economical fare can be obtained.
- Bookings of the tickets shall be made individually by the traveller to the meeting.

Reimbursement Procedure

EnCS shall comply with the following common rules on the reimbursement of travel costs:

- reimbursement of eligible expenditures is possible only if the claimer meets all the criteria set for the eligibility of reimbursement,
- a claim for reimbursement of travel expenses has to be submitted in electronic format via email or signed original by post not later than 30 calendar days after the date of the meeting in question,
- the claim must be supported by documents as evidence of the costs incurred, namely flight, railway, public transport tickets, boarding pass, hotel invoices etc. There will be no reimbursement of expenditures without invoices provided,
- reimbursements shall be made via bank transfer;
- bank transfers will be made in Euro to the stated bank account, the bank account details given have to contain the following details: name of the beneficiary (account holder), address of the account holder, bank name, bank account number (IBAN), Swift Code (BIC).
- if some of the costs presented in the claim are not incurred in Euro and the application of the exchange rate is necessary, the Inforeuro exchange rate will be applied to convert local currencies to Euro
http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm
- in exceptional cases, please refer to the procedure Exception Rules on advanced payments of travel expenses outlined below

Rules on advanced payments of travel expenses

The EnCS Director may decide based on request submitted to him/her in writing from the invited Beneficiary about the advanced payment of travel related expenditures (incl. accommodation).

- The eligible representative of the Beneficiary has to submit the request for advanced payment in writing to EnCS, at least 21 calendar days before the date of the event. The application has to include the official authorization of the relevant business trip by the responsible authority within the relevant institution.
- Further to the request, and in accordance with the draft agenda for the event, EnCS shall arrange upon own discretion a flight ticket and hotel accommodation to the participant to the event. EnCS will submit to the eligible representative via email booking confirmations for the ticket and accommodation required.
- With the application for the advanced payment of travel expenditures, the participant guarantees that he/she will take part in the meeting in question.
- In case that the eligible representative of the Beneficiary is not in the position to participate to the event - for reasons, which lie not within the responsibility of EnCS - the Beneficiary shall indemnify for the costs undergone in relation to the organization of the trip (e.g. costs of tickets booked incl. cancellation fees etc).
- the traveller shall provide further required documents, like boarding pass for the in advance paid ticket



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Annex IV – Templates

1. Mission Report Template – available [here](#)
2. Meeting Agenda Template – available [here](#)
3. Conference/Event Agenda Template– available [here](#)
4. Attendance List Template– available [here](#)
5. Travel Reimbursement Request Template– available [here](#)
6. Application for Advanced Payment of Travel Expenditures Template– available [here](#)



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Annex V - The EU4Energy Initiative. A practical guide for implementation

Available [here](#)



MISSION REPORT TEMPLATE

Submitted by (full name, title and position, organisation):	
Date of report:	
Mission date (from-until) and location:	
Time of the meeting:	

1. Purpose of the mission

.....
.....

2. Type of a meeting:

- Institutional meetings:
 - Institutions met: _____
 - Conference/Forum/Workshop/Other participation: _____
 - Speaker (if yes: topic of presentation)
 - Participant¹
- Other (EU meetings, donors, business etc.): _____

3. Participants at the meeting²

.....
.....

4. Description of the meeting

- Objective

.....

¹ Includes training at conferences, workshops, courses etc.

² excludes Institutional Meeting and Conferences



.....

- Outline of the discussions³

.....

.....

.....

.....

- Results/Conclusions

.....

.....

5. Follow-ups

- Agreed at the meeting (if any)

.....

.....

- Own proposals (if any)

.....

.....

6. Approval by the Superior/Director⁴

Direct Superior

³ minimum of 1/2 of A4 page; excludes Institutional meetings
⁴ May include comments



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Director

Comments (if any):

.....
.....

7. Attachments

- a. Agenda
- b. Conclusions, Minutes
- c. Documents received and/or submitted
- d. Others



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MISSION/MEETING AGENDA TEMPLATE

Submitted by (full name, title and position, organisation):	
Mission planned dates (from-until) and location:	
Time of the meeting:	

1. Purpose of the mission:

.....
.....

2. Type of a meeting (Institutional meeting, Conference, Workshop, Forum¹ etc.):

.....
.....

3. Planned meetings/ conferences to be attended:

.....
.....

¹ For conferences, workshops, forums etc, please indicate the name of an event and your role: Speaker or participant



EU4Energy Governance: *event title*

Venue:

Date:

DAY 1, date

Presentation title	Hour	Speaker
<u>Opening</u>		
<u>Session 1:</u>		
<u>Session 2:</u>		



DAY 2, 10 November 2017

Session 1:

Session 2:

* The EU4Energy Initiative covers all EU support to improve energy supply, security and connectivity, as well as to promote energy efficiency and the use of renewables in the Eastern Partner countries Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. It does this by financing projects and programmes that help to reform energy markets and to reduce national energy dependence and consumption. Over the longer term, this makes energy supply more reliable, transparent and affordable, thus reducing energy poverty and energy bills for both citizens and the private sector.



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ATTENDANCE LIST

EVENT:

DATE and LOCATION:

Nb	Country	Surname	First name	Institution/Organisation	Position	Signature
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TRAVEL REIMBURSEMENT REQUEST

Please scan and send as PDF document by email to EU4Energy@energy-community.org

1. MEETING DETAILS						
Description of the meeting:					Place:	
Date:	No. of days:					
2. PARTICIPANT						
FAMILY NAME:			FIRST NAME:			
INSTITUTION:			TITLE:			
COUNTRY:						
E-MAIL:			TEL:			
3. BANK DETAILS – please provide full IBAN and SWIFT/BIC code						
NAME AND ADDRESS OF ACCOUNT HOLDER (INSTITUTION): <i>(please indicate the name of owner/beneficiary of the bank account in this field)</i>						
BANK NAME						
Account Number						
SWIFT (BIC) Code						
IBAN						
4. ACCOMODATION						
DATES OF STAY		From:		To:		
Total number of hotel nights (max. rate of 120 €/night) <i>Please attach a copy of the hotel receipt/invoice</i>			Number:		Total (€*):	
5. TRAVEL EXPENSES						
Air plane, train, long distance bus, etc.	From	To	Class	Amount	Currency	In €*
<i>Itinerary</i>						
<i>Continue on separate sheet if required</i>						
<i>Please attach a copy of the available receipts/invoices, including boarding passes for flights/train/bus tickets</i>						
CAR	From:		To:		To (return):	
Proof of distance attached (copy of the route from GoogleMaps or ViaMichelin.com, to be submitted in PDF or JPG format) <input type="checkbox"/>					Km (both ways):	
Mileage (fixed) rate 0,42 € / km					Total (€*):	
LOCAL TRANSPORT (city public transport tickets, local shuttle trains etc) – receipts required						
TAXI (if local public transport was not available) - Receipts required; additional justification necessary				Amount	Currency	€*

When submitting the reimbursement form, please attach copies of all the required supporting documents

*Conversion from the local currency to EUR, should be done in line with the Inforeuro exchange rate

http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm, in the month that transaction took place



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TOTAL AMOUNT CLAIMED in EURO		
Other Remarks:		
I certify that this travel claim is a true statement of travel expenses incurred by me. I have not been and will not be reimbursed for these expenses from any other source nor have I included any expenses paid or to be paid directly from another source.		
Date:		PARTICIPANT SIGNATURE:

When submitting the reimbursement form, please attach copies of all the required supporting documents

**Conversion from the local currency to EUR, should be done in line with the Inforeuro exchange rate*

http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm, in the month that transaction took place



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APPLICATION FOR ADVANCED PAYMENT OF TRAVEL EXPENDITURES

1. Traveler's Details – please fill in ALL fields:

Last Name:		
First Name:		
Gender, Salutation: Mr/Ms./Mrs.		
Name of the Organization/Institution:		
Function:		
Passport Number (required for booking purposes):		
Contact Phone No.:		
E-mail:		
Title and Place of Event to be attended		
Dates of the Event:	From:	To:
Flight Route:	Departing from:	Arriving to:

2. Request for Booking - please cross the relevant box:

- FLIGHT/TRAIN TICKET
- FLIGHT LUGGAGE
- HOTEL

3. Refunding Clause in accordance with Energy Community Reimbursement Rules Art 12(5):

I, the undersigned, confirm that I am aware of the refunding clause laid down in the applicable Energy Community Reimbursement Rules, which reads as follows: Art. 12(5) In case that the eligible representative of the Beneficiary is not in the position to participate to the event - for reasons, which lie not within the responsibility of EnCS - the Beneficiary shall indemnify the Secretariat for the costs undergone in relation to the organization of the trip (e.g. costs of tickets booked incl. cancellation fees etc).

Remarks:

Date, place:

Traveler's Signature

Date, place:

Traveler's Direct Superior
Signature

IMPORTANT NOTES:

- This form serves as basis for travel arrangements made by the Energy Community Secretariat Secretariat on behalf of traveler. It shall be approved in advance by the traveler's direct superior and submitted (**21 calendar days in advance**) in a scanned form to the following e-mail: EU4Energy@energy-community.org
- Traveler is solely responsible for the correctness of submitted details and bears full responsibility for incomplete or erroneous data which might result in cancellation, impossibility to travel, change of booking details and/or additional related charges.
- All the extra costs (use of mini-bar in the hotel, parking fees, additional nights etc.) will be paid solely by the traveler.
- Traveler is obliged to keep all the boarding passes/travel tickets as proof of incurred travel and upon return he/she is asked to send the scanned copies to the email specified above
- The Secretariat will make travel arrangements within the available air flights and hotel offers on the market that match the ECS Reimbursement Rules limits and rates, e.g. Art. 2(4) and Art. 9(2).
- The hotel bookings are possible with limited number of contracted hotels and upon availability of rooms.



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FOR Energy Community Secretariat/ INTERNAL USE:

1. Booking Information

Flight Ticket Price (in EUR)	
Hotel Accommodation Price (in EUR)	

2. Director's Approval

<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved	Remarks:
--	----------

The EU4Energy Initiative

A practical guide for implementation

17th November 2017

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1. The EU4Energy Initiative

The EU4Energy Initiative covers all EU support to improve energy supply, security and connectivity, as well as to promote energy efficiency and the use of renewables in the Eastern Partner countries Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. It does this by financing projects and programmes that help to reform energy markets and to reduce national energy dependence and consumption. Over the longer term, this makes energy supply more reliable, transparent and affordable, thus reducing energy poverty and energy bills for both citizens and the private sector.

Communications approach

In this context, the EU4Energy communications project will increase the visibility of EU-funded bilateral and regional assistance in the energy field under a unified EU4Energy brand. Operating as part of the OPEN EU Neighbours East communications project, but as a separate entity, the project aims to promote the positive impact of EU-funded actions in the energy sector in the partner countries by focusing on concrete results and success stories.

It does this through the following actions:

- Developing information campaigns on energy-related topics, including on energy efficiency;
- Drafting and disseminating regular news alerts on energy related topics/initiatives/events;
- Drafting feature stories and other content to pitch to media in-country;
- Developing information materials and social media content to be shared with projects and Delegations;
- Producing photo albums and video materials on projects in the region;
- Maintaining and enriching the content of the energy section of the EU Neighbours web portal (www.EU4Energy.eu);
- Providing support to EU Delegations for thematic events such as the "Sustainable Energy Weeks";
- Helping to streamline and enhance communication about energy cooperation in the region to a broader public;
- Organise media visits to projects.

Bringing all EU energy-related projects and programmes under a unified brand increases the impact of joint communications via a consistent message and visual branding. It also strengthens recognition of the wide range of European Union actions designed to support energy reform in the Eastern Partner countries.

More information can be found on the following web site: www.EU4Energy.eu

2. Practical guide for projects - visibility

A coherent visibility approach is crucial for the success of the EU4Energy Initiative. Thus, all projects and programmes covered by the EU4Energy Initiative should adhere to the visibility requirements outlined below.

Existing communication materials and closed projects are not affected. However, future communication of on-going, or closed, projects will clearly label the project as belonging to the EU4Energy Initiative.

Coordination of communication activities

All projects under the EU4Energy Initiative¹ will coordinate their external communication activities with the EU4Energy communications project. The contact persons are **Rick Flint** (rick.flint@ecorys.com) and **Anna Iovchu** (anna.iovchu@ecorys.com).

In practical terms and on a regular basis, the project will provide the communications project with the following:

- Advance notification of any event or action that could be further promoted/disseminated as a communication action;
- Final versions of any communications tools, such as photographs, videos, press releases, and any other information materials (info graphics, presentations, publications, etc.);
- Links to any key events, activities, news, or milestones published/produced by the project;
- Links to social media posts (Facebook, VKontakte, Twitter);
- Proposals for success stories/communications angles and contacts for follow up.

A coherent branding approach

The following visibility requirements are crucial to ensure coherent visibility:

- 1) EU flag with "EU4Energy" written underneath (presented overleaf);
- 2) Summary text of the EU4Energy Initiative;
- 3) Funding source/mention;
- 4) Disclaimer.

¹ Refer to the project list provided in section three of this document.

EU4Energy visual identity

All major communication outputs produced by projects, partners, and beneficiaries under the EU4Energy Initiative will be branded with the EU flag and “EU4Energy” using the image as in the example below²:



EU4Energy

For co-branding with, or by, implementing partners, the logos/emblems will have equal and balanced visual weight. The preferred location of the EU4Energy image is in the top left-hand corner of any product and must be of similar size to the other logos used. Any exceptions to be agreed with the European Commission.

The EU4Energy image will be above or at least at the same level as the logo of the implementing partner and not give the impression that the third-party promoter is part of the EU Institutions.

Mandatory summary text

The following paragraph is an explanatory summary of the EU4Energy Initiative and must be used on all EU4Energy communication material produced:

The EU4Energy Initiative covers all EU support to improve energy supply, security and connectivity, as well as to promote energy efficiency and the use of renewables in the Eastern Partner countries Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. It does this by financing projects and programmes that help to reform energy markets and to reduce national energy dependence and consumption. Over the longer term, this makes energy supply more reliable, transparent and affordable, thus reducing energy poverty and energy bills for both citizens and the private sector.

More information on: www.EU4Energy.eu

² The EU4Energy communications team can provide a number of formats for the image upon request.

EU4Energy funding mention

The following funding mention will be included on all materials, depending on the source of funding:

Either

Funded by the European Union under the EU4Energy Initiative.

Or

Co-financed by the European Union under the EU4Energy Initiative and implemented by [name of organisation].

EU4Energy disclaimer

The following disclaimer will be indicated on all materials:

This [document/report/website] has been produced with the assistance of the European Union in the framework of the EU4Energy Initiative. The contents are the sole responsibility of [name of the organisation] and can in no way be taken to reflect the views of the European Union.

3. Projects covered under the EU4Energy Initiative

The project list below, including both on-going and recently closed projects will be reviewed and updated on a six-monthly basis. Please communicate any changes to the list to the communications project team.

I. Energy policy

Regional

- EU4Energy programme (International Energy Agency, Energy Community Secretariat, Energy Charter Secretariat)
- Hiqstep, studies related to energy (Kantor)

Moldova

- Support to modernisation of energy sector (NIRAS Finland Oy)

Ukraine

- Support the National Energy and Utilities Regulatory Commission, NEURC (Regulatory Office for Network Industries of Slovakia)
- Assistance in implementation of energy sector reform (Kantor)
- Policy dialogue on energy & related sectors' reforms in line with Association Agreement (DiXi Group)

II. Energy transmission investments/investment preparation

Bilateral

- Belarus: Construction/installation of a wind turbine (Landmaschinen und Transporttechnik Vertriebsgesellschaft mbH)
- Georgia: NIF EAST 46: Jvari-Khorga Interconnection (EBRD)
- Georgia: NIF EAST 05: Black Sea Energy Transmission System (EBRD)
- Georgia: NIF EAST 21: Enguri / Vardnili Hydro Power Cascade Rehabilitation (EBRD)
- Moldova: NIF EAST 26/27: Residential Energy Efficiency Financing Facility, MoREEFF (EBRD)
- Moldova: NIF EAST 30: Moldelectrica Transmission Network Rehabilitation Project (EBRD)
- Ukraine: NIF EAST 03: TA for Ukrenergo High Voltage Transmission Networks (EBRD)
- Ukraine: NIF EAST 10: Power Transmission Network (EBRD)
- Ukraine: NIF EAST 14: Hydropower Rehabilitation Project (EBRD)
- Ukraine: NIF EAST 17: Preparatory Studies for Modernisation of Transit and Storage (EBRD)
- Ukraine: Modernisation of gas transmission system (World Bank)
- Ukraine: Technical assistance on gas storage (McKenzie)
- Ukraine: Development of a target operating model for gas transmission system operator (Wagner)

Regional

- Armenia/Georgia: NIF EAST 54: Caucasus Transmission Network - Phase I (KfW)

III. Energy Efficiency and renewable energy (including work with local authorities)

Regional

- Covenant of Mayors East II (Energy Cities)
- Sustainable Urban Demonstration Energy Projects³, SUDEP (Kommunal Kredit)
- NIF East 47: ESP (EBRD)
- Sustainable Municipal Flagship Development Initiative
- NIF East 50: Municipal Project Support facility (EIB)
- NIF East 34: Green for Growth Fund, GGF (EBRD/EIB)
- NIF East 39: South Caucasus sustainable energy finance facility, Energocredit/CEEP (EBRD)
- Civil society energy efficiency network, CLEEN (Akhatsikhe, Ecoclub, Gutta-Club)

Armenia

- Biomass heating solutions for rural development, BioRuralHeating (Green Energy Association)

Azerbaijan

- Support to establishment of EE department in Azerbaijan (Ramboll Denmark)

Belarus

- Energy efficiency in schools (UNDP)
- Development of renewable energy sources in Navahrudak (Landmaschinen)

Moldova

- Identification and promotion of energy efficiency investments, MoSEFF II (EBRD)
- Energy and biomass project in Moldova (UNDP)
- Modernisation and saving energy in street lighting (Alliance for Energy Efficiency and Renewables)

Ukraine

- Ukraine Energy Efficiency Programme, UKEEP (EBRD)
- Ukraine communication on energy efficiency (GOPA)
- Ukraine Higher Education Project (EIB)

IV. Energy-related actions under other programmes

Twinning

- Georgia: Strengthening Capacities of the Georgian National Energy and Water Supply (Austria)
- Ukraine: Support the National Commission for State Energy Regulation (Slovakia)

³ Under different implementers

