

CONSILIUL LOCAL AL MUNICIPIULUI
CLUJ-NAPOCA

PROIECT AVIZAT
SECRETAR GENERAL,
JR. AURORA ROȘCA

1-55 p. 26 / 28.02.2020

HOTĂRÂRE

privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI)

Consiliul local al municipiului Cluj-Napoca întrunit în ședință extraordinară, Examinând proiectul de hotărâre privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI) - proiect din inițiativa viceprimarului Dan Ștefan Tarcea;

Reținând Referatul de aprobare nr. 107157/22/24.02.2020 al viceprimarului Dan Ștefan Tarcea, în calitate de inițiator;

Analizând Raportul de specialitate nr. 107183/24.02.2020 al Direcției Generale Comunicare, dezvoltare locală și management proiecte - Serviciul Strategie și dezvoltare locală, management proiecte, al Direcției juridice și al Direcției economice, prin care se propune aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI);

Având în vedere prevederile art. 129 alin. 9 lit. a) din Ordonanța de Urgență nr. 57/2019 privind Codul administrativ și ale art. 16 alin. 1, alin. 3, alin. 4, alin. 5, alin. 6, alin. 7 și alin. 9 din Legea-cadru nr. 153/2017 privind salarizarea personalului plătit din fonduri publice;

Văzând avizul comisiei de specialitate;

Potrivit dispozițiilor art. 129, 133 alin. 2, 139 și 196 din Ordonanța de Urgență nr. 57/2019 privind Codul administrativ,

HOTĂRĂȘTE:

Art. 1. Se aprobă participarea Municipiului Cluj-Napoca, în calitate de partener de implementare, în cadrul proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI).

Art. 2. Se aprobă încheierea acordului de parteneriat pentru implementarea proiectului

prevăzut la art. 1, conform Anexei ce face parte integrantă din prezenta hotărâre.

Art. 3. Se mandatează domnul Dan Ștefan Tarcea, viceprimar al Municipiului Cluj-Napoca, pentru semnarea acordului de parteneriat.

Art. 4. Cu îndeplinirea prevederilor hotărârii se încredințează Biroul Eficiență Energetică, Iluminat Public și Direcția Economică.

Președinte de ședință,

Contrasemnează:
Secretarul general al municipiului,
Jr. Aurora Roșca

ACORD DE PARTENERIAT
pentru implementarea proiectului „Atenuarea emisiilor de gaze cu efect de seră prin
atenuarea sărăciei energetice în România”

Încheiat între,

Universitatea Babeș-Bolyai (UBB)

str. M. Kogalniceanu nr. 1, CP 400427, Cluj Napoca, România

Reprezentată prin Rector, Acad. Prof. Univ. Dr. Ioan Aurel Pop

- denumită în continuare „Implementator”

și

Municipiul Cluj-Napoca

str. Moșilor nr 3, CP 400001, Cluj-Napoca, Cluj, România

Reprezentat prin Viceprimar, Dan Ștefan Tarcea,

- denumit în continuare „Partener de implementare”

Implementatorul și Partenerul de implementare vor fi denumite în continuare colectiv „Părțile”.

Implementatorul primește o finanțare din partea Ministerului Federal al Mediului, Conservării Naturii și Siguranței Nucleare din Germania, în cadrul European Climate Initiative (EUKI), prin entitatea împuternicită Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH („GIZ”) pentru punerea în aplicare a proiectului „Atenuarea emisiilor de gaze cu efect de sera prin atenuarea sărăciei energetice în România”.

Pentru implementarea proiectului „Atenuarea emisiilor de gaze cu efect de sera prin atenuarea sărăciei energetice în România”, părțile au convenit și au încheiat acest acord după cum urmează:

1. Finanțare

1.1 Sub rezerva dispozițiilor prezentului acord, în special a condiției prevăzute la articolul 1.2, Implementatorul va transfera Partenerului de implementare suma de 8.848,00 euro reprezentând finanțare nerambursabilă, în procent de 100% din valoarea cheltuielilor eligibile aferente partenerului de implementare, în scopul implementării activităților stabilite pentru acesta din urmă în cadrul proiectului. Suma finală a finanțării depinde de raportarea furnizată de Partenerul de implementare. Suma va fi utilizată pentru cheltuielile de personal aferente partenerului de implementare, în conformitate cu activitățile în care partenerul de implementare este implicat.

1.2 Prezentul acord se încheie în condițiile în care GIZ a acceptat să plătească finanțarea corespunzătoare implementatorului. Prin urmare, Implementatorul va fi obligat să transfere finanțarea numai dacă și în măsura în care implementatorul a primit finanțarea respectivă. Implementatorul va informa Partenerul de implementare cu privire la plățile refuzate de GIZ.

2. Obligațiile părților

2.1 Partenerul de implementare se angajează să contribuie la implementarea Proiectului în conformitate cu Acordul de parteneriat.

2.2. Partenerul de implementare va nominaliza trei persoane care vor îndeplini activitățile stabilite în proiect.

2.3 Costurile de personal sunt eligibile doar pentru perioada de implementare 01 Noiembrie 2019 - 30 Aprilie 2021. Toate plățile trebuie efectuate în perioada menționată și ulterior intrării în vigoare a prezentului acord.

2.4 Partenerul de implementare se angajează să informeze Implementatorul fără întârziere și în scris despre orice situație care împiedică utilizarea Finanțării pentru Proiect.

2.5 Toate rezultatele proiectului, în formă tipărită sau digitală vor fi puse la dispoziția Partenerului de implementare de către Implementator, la finalul proiectului, pentru utilizarea în activitățile proprii.

2.6 Implementatorul își asumă responsabilitatea exclusivă pentru întregul proiect față de GIZ. Acesta va asigura începerea la timp a proiectului și implementarea întregului proiect în cadrul calendarului, respectând toate obligațiile față de GIZ.

2.7 Implementatorul trebuie să informeze periodic partenerul de implementare cu privire la toată comunicarea relevantă dintre el și GIZ cu privire la toate aspectele esențiale legate de implementarea proiectului.

2.8 Partenerul de implementare trebuie să țină o evidență contabilă distinctă a proiectului.

2.9 Părțile vor da acces la sediul lor autorităților competente în vederea auditării cheltuielilor efectuate în cadrul proiectului și vor pregăti toate documentele necesare pentru audit, oricând se solicită acest lucru.

2.10 Părțile vor arhiva documentele legate de implementarea proiectului, pentru o perioadă de cinci ani de la raportarea financiară finală. Alte perioade de păstrare legale, eventual mai lungi, care ar putea fi stipulate de legislația națională, rămân neafectate.

2.11 Orice lucrări legate de public în cadrul proiectului trebuie să indice că „proiectul face parte din inițiativa climatică europeană (EUKI)”.

3. Gestionarea plăților

3.1 Finanțarea va fi transferată de către Implementator partenerului de implementare, integral, în avans, în baza prezentului acord de parteneriat.

Partenerul de implementare are obligația de a folosi finanțarea transferată de Implementator exclusiv pentru cheltuielile necesare implementării proiectului.

3.2 Partenerul de implementare are obligația depunerii unor rapoarte financiare care să cuprindă toate cheltuielile efectuate în valoarea totală a finanțării acordate în conformitate cu calendarul asumat la pct. 5.2.2. din prezentul acord.

3.4 Plățile către Partenerul de implementare se efectuează în următorul cont bancar:

Partener de implementare (titular de cont)

Banca (numele și sucursala sau codul)

Adresa bancară.....

Numărul contului.....

Cod BIC / Swift.....

3.5 Orice transfer al finanțării este supus condiției prealabile ca fondurile bugetare respective să fie puse la dispoziția implementatorului însuși.

4. Utilizarea finanțării

4.1 Finanțarea poate fi utilizată numai în conformitate cu prezentul acord și numai dacă este necesar pentru implementarea proiectului, precum și în conformitate cu principiile economiei și a gestionării financiare solide.

4.2 Orice modificare a utilizării preconizate a finanțării sau a unor părți ale acesteia va fi permisă numai cu acordul prealabil al implementatorului.

5. Raportare

5.1 Partenerul de implementare pregătește rapoarte financiare și rapoarte narative conform Acordului de parteneriat.

5.2 Raport financiar

5.2.1 Raportul financiar include:

- liste detaliate cu toate plățile primite și cheltuielile efectuate pentru implementarea proiectului și
- documente justificative pentru cheltuielile efectuate în cadrul proiectului.

5.2.2 Rapoartele financiare vor fi transmise implementatorului pe email, în conformitate cu următorul calendar:

<u>Data depunerii</u>	<u>Perioada de raportare</u>
01.04.2020	01.11.2019 - 31.01.2020
01.07.2020	01.02.2020 - 30.04.2020
01.10.2020	01.05.2020 - 31.07.2020
01.01.2021	01.08.2020 - 31.10.2020
01.06.2021	01.11.2020 - 30.04.2021

5.2.3 Dacă Partenerul de implementare nu îndeplinește cerințele de mai sus, Implementatorul poate să solicite restituirea parțială sau totală a finanțării.

5.3. În plus, Partenerul de implementare va transmite implementatorului până la 1 iunie 2021 un raport narativ și financiar final, confirmând că:

- toate tranzacțiile financiare au fost efectuate în conformitate cu acordul de parteneriat
- activitățile stabilite pentru partenerul de implementare în cadrul proiectului, au fost finalizate.

6. Restituirea finanțării

6.1 Partenerul de implementare va plăti fără întârziere nejustificată orice sumă care a rămas necheltuită la sfârșitul proiectului.

6.2 La cererea scrisă a implementatorului, partenerul de implementare va rambursa integral sau parțial finanțarea primită, dacă

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- și în măsura în care Implementatorul este obligat să restituie finanțarea pe care a primit-o din cauza acțiunilor sau omisiunilor atribuite Partenerului de implementare,
- în cazul nejustificării de către partenerul de implementare a cheltuielilor efectuate din finanțarea acordată.

7. Cooperare

7.1 Fiecare parte desemnează o persoană de contact, precum și un reprezentant și comunică numele, adresa de e-mail și numărul de telefon celeilalte părți la semnarea acordului, iar orice modificare a acestuia va fi comunicată imediat celeilalte părți.

7.2 Părțile vor coopera strâns și eficient în fiecare fază a proiectului. La solicitarea Implementatorului, partenerul de implementare va furniza în timp util informațiile solicitate despre stadiul părții sale din proiect.

8. Soluționarea disputelor

8.1 În cazul oricăror litigii (chiar dacă acestea sunt considerate ca atare numai de către una din părți), care pot apărea ca urmare a unei acțiuni concrete care face obiectul integral sau parțial al prezentului Acord, părțile trebuie să acționeze mai întâi pentru o soluționare amiabilă.

8.2 În cazul în care părțile nu ajung la o soluționare amiabilă, disputa va fi soluționată de către instanța competentă de la sediul Implementatorului.

9. Dispoziții finale

9.1 Prezentul acord între părți cuprinde toate elementele relevante în ceea ce privește obiectul său. Acest Acord poate fi modificat doar în scris printr-un document semnat de ambele părți.

9.2 Acordul va intra în vigoare la data semnării acestuia de către ultima parte.

9.3 Acordul va rămâne în vigoare până la îndeplinirea integrală a obligațiilor din cadrul acestui acord de parteneriat.

Universitatea Babeș-Bolyai
Rector, Acad. Prof. Univ. Dr. Ioan Aurel Pop
Data:.....

Municipiul Cluj-Napoca
Viceprimar, Dan Ștefan Tarcea
Data:.....

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MUNICIPIUL CLUJ-NAPOCA

Nr. 107157/22/24.02.2020

REFERAT DE APROBARE

a proiectului de hotărâre privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI)

Sărăcia energetică reprezintă o problemă de suportabilitate a facturii de energie, dar și de acces deficitar la mijloace moderne de asigurare a confortului în locuință. Sărăcia energetică este un factor important de marginalizare socială, iar lipsa de suportabilitate a facturii sau de acces la forme moderne de energie generează obstacole în parcursul educațional și socio-economic al comunităților.

Conform unui studiu al Centrului pentru Studiul Democrației (CSD), de pe lângă Facultatea de Științe Politice a Universității Babeș-Bolyai din Cluj-Napoca, în România, 20% din gospodăriile sunt afectate de sărăcie energetică, iar măsurile de combatere a acesteia sunt insuficiente și ineficiente, iar 7 % nu au acces sau au acces informal la electricitate.

În vederea desfășurării unui proiect pilot care să dezvolte soluții adaptate pentru atenuarea sărăciei energetice (SE), pentru a reduce cererea de energie și emisiile de Gaze cu Efect de Seră (GES), Universitatea Babeș-Bolyai din Cluj-Napoca a obținut o finanțare în cadrul programului European Climate Initiative (EUKI), desfășurat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania. Valoarea proiectului este de 155.089 EURO, iar durata lui este de 18 luni.

În contextul unei tradiții de cooperări pe subiecte de interes local, UBB a invitat și Municipiul Cluj-Napoca să se alăture în cadrul acestui proiect. În acest sens s-a depus propunerea de proiect de către Universitatea Babeș-Bolyai în calitate de implementator, iar Municipiul Cluj-Napoca și-a însușit propunerea de proiect în calitate de partener de implementare, conform declarației de sprijin semnată de către reprezentantul legal al municipiului la data de 01.07.2019, atașată prezentului referat. Rolul Municipiului este esențial în desfășurarea acestui proiect pilot întrucât prin departamentele sale, Primăria Cluj-Napoca deține și colectează date despre diverse aspecte relevante pentru studiul de față. De asemenea, durabilitatea și schimbările climatice au devenit componente importante ale agendei administrative ale administrației publice locale.

Prezentarea proiectului

Sărăcia energetică (SE) afectează Europa de Sud-Est în mod persistent, ceea ce duce la o cerere ridicată de energie, emisii de GES, producând efecte generice la nivelul calității vieții. Acest proiect se adresează fenomenului de SE de la nivelul municipiului Cluj-Napoca.

Obiectivul cheie al proiectului este de a dezvolta soluții adaptate pentru atenuarea SE, pentru a reduce cererea de energie și emisiile de GES. Prin intermediul acestui proiect pilot se urmărește cunoașterea fenomenului și identificarea de mecanisme replicabile care pot contribui la creșterea capacității locale și naționale de acțiune climatică prin integrarea măsurilor identificate în strategiile locale și naționale specifice. Aceste obiective sunt îndeplinite prin cartografierea dimensiunilor socio-spațiale ale SE, cuantificarea impactului SE asupra gospodăriilor și a emisiilor de GES, dezvoltarea unei platforme de informații online, livrarea unei serii de ateliere de formare părților interesate, precum și activități de informare și diseminare publică.

La nivelul municipiului s-au identificat diferite tipuri de SE prezente în multe locuri din sud-estul Europei, făcând din Municipiul Cluj-Napoca o zonă ideală de cercetare și dezvoltare a politicilor, cu potențial semnificativ de replicare și scalare.

Finanțare:

European Climate Initiative (EUKI) prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania

Valoarea totală a proiectului: 155.089 EURO.

Din valoarea proiectului suma de 8846 euro revine Municipiului Cluj-Napoca, pentru cheltuieli de personal, alocate persoanelor desemnate ulterior pentru derularea activităților specifice proiectului din partea municipalității, potrivit art. 16 din Legea-cadru nr. 153/2017. Finanțarea va fi plătită de către Universitatea Babeș-Bolyai municipalității, integral, în avans, în baza acordului de parteneriat. Municipiul Cluj-Napoca are obligația de a folosi avansul transferat, exclusiv, pentru cheltuielile necesare implementării proiectului.

Cofinanțare din partea Municipiului Cluj-Napoca: Nu este cazul.

Durata proiectului: 18 luni

Beneficiari:

Proiectul curent se adresează următorilor actori:

- Municipiul Cluj-Napoca și cel puțin una dintre administrațiile din Zona Metropolitană Cluj și alte instituții publice cu atribuții în domeniul social, de mediu și energetic, cu prerogative pentru stabilirea politicilor de mediu, locuințe și energie. Autoritățile locale vor fi implicate în proiect prin activitatea de colectare a datelor, dar vor fi, de asemenea, informate despre importanța și utilizarea instrumentelor de politici rezultate și despre cum să le transforme în politici eficiente prin participarea la ateliere de lucru cu scopul prezentării rezultatelor proiectului.

- Locatarii individuali și asociațiile de locatari vor fi informați prin intermediul platformei de informare online rezultate, care le va pune la dispoziție o serie de instrumente ușor de utilizat, permițându-le să își evalueze situația și să adopte decizii individualizate cu privire la modul de îmbunătățire a consumului de energie și a efectelor climatice aferente.

- Furnizorii de energie, ONG-urile specializate și universitățile trebuie să înțeleagă importanța sărăciei energetice, manifestările sale concrete, ramificările climatice și soluțiile posibile pentru această problemă. Obiectivul imediat al proiectului este ca aceștia să acceseze aceste informații, inclusiv în ceea ce privește schimbările climatice. Pe termen lung vor fi încurajați să integreze această preocupare în activitățile lor, să coopereze cu alte părți interesate relevante pe această temă pentru a produce soluții inovatoare în domeniul SE. Acești actori au, de asemenea, o miză în educarea publicului din diferite perspective: furnizorii pot oferi soluții legate de clienți; ONG-urile pot informa publicul și procesul de luare a deciziilor; în timp ce universitățile pot integra subiectul în programele lor pentru a pregăti specialiști care sunt conștienți de acest subiect.

Funcția / rolul în proiectul propus/ obligațiile municipalității prin parteneriat.

Aparatul executiv, prin persoanele care vor fi nominalizate ulterior prin Dispoziție și care fac parte din departamentele relevante în prezentul proiect (Departamentul Eficiență Energetică și Iluminat Public, Direcția Comunicare, Dezvoltare Locală și Management de Proiect, Direcția Urbanism, Direcția Relații cu Consiliu și Administrații Locale și Divizia Asistență Socială și Medicală, Direcția de Taxe și impozite), va colecta și pune la dispoziție date despre diverse aspecte relevante pentru studiul de față. Obligațiile municipalității, conform propunerii de proiect și modelului de acord propus a fi aprobat, sunt:

- Coordonarea cu implementatorul pentru a obține rezultatele proiectului;
- Facilitarea activităților de cercetare: pune la dispoziția echipei de cercetare toate datele necesare și facilitează accesul la părțile interesate locale și metropolitane; îndrumă echipa de cercetare cu privire la modalitățile optime de atingere a obiectivelor de cercetare; Vor fi 3 (trei) persoane din administrația locală care să implementeze și să faciliteze activitățile descrise.

- Facilitarea rezultatelor: facilitează diseminarea rezultatelor proiectului prin intermediul instrumentelor sale online și al departamentului de comunicare;
- Facilitarea atelierelor de lucru: identifică părțile interesate relevante și personalul propriu care să participe la ateliere;
- Diseminarea și networking-ul: Sprijină diseminarea rezultatelor proiectului prin intermediul rețelei instituționale la nivel local, metropolitan, regional, național (prin Asociația Primarilor) și internațional (prin Pactul Primarilor și al Comitetului European al Regiunilor).

Beneficiile pe care implicarea în proiect le aduce pentru comunitatea locală:

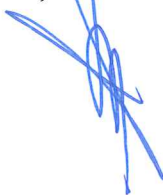
Este primul proiect de asemenea anvergură pe o temă strategică europeană și națională.

- Gospodăriile și alte părți interesate private și publice folosesc platforma de informații online pentru economisirea energiei;
- Se produc sinergii între părțile interesate pentru a genera soluții inovatoare pe termen lung;
- Rezultatele proiectului informează strategiile locale și naționale de acțiune climatică care vizează reducerea emisiilor de GES prin intervenția PE;
- Stă la baza modernizării energetice a clădirilor locuite de gospodării sărace, ceea ce duce la reducerea emisiilor de GES și contribuie la îmbunătățirea condițiilor de trai la nivel local și la atingerea obiectivelor de mediu asumate la nivel național.

Având în vedere cele prezentate, în temeiul prevederilor art. 136 din Ordonanța Guvernului nr. 57/2019 privind Codul administrativ, îmi exprim inițiativa de promovare a proiectului de hotărâre privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI)

Viceprimar,

Dan Ștefan Tarcea



DIRECȚIA GENERALĂ COMUNICARE, DEZVOLTARE LOCALĂ
ȘI MANAGEMENT PROIECTE
SERVICIUL STRATEGIE ȘI DEZVOLTARE LOCALĂ,
MANAGEMENT PROIECTE
DIRECȚIA ECONOMICĂ
DIRECȚIA JURIDICĂ
DIRECȚIA TEHNICĂ
Nr. 107183 din 24.02.2020

RAPORT DE SPECIALITATE

privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI)

Având în vedere:

- Referatul de aprobare înregistrat sub numărul 107157/22/24.02.2020 al viceprimarului Dan Ștefan Tarcea, în calitate de inițiator;
- Proiectul de hotărâre privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „*Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România*”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI)

Direcția Generală Comunicare, dezvoltare locală și management proiecte- Serviciul Strategie și Dezvoltare Locală, Management proiecte, Direcția Tehnică și Direcția Economică arată că:

Sărăcia energetică reprezintă o problemă de suportabilitate a facturii de energie, dar și de acces deficitar la mijloace moderne de asigurare a confortului în locuință. Sărăcia energetică este un factor important de marginalizare socială, iar lipsa de suportabilitate a facturii sau de acces la forme moderne de energie generează obstacole în parcursul educațional și socio-economic al comunităților.

Conform unui studiu al Centrului pentru Studiul Democrației (CSD), de pe lângă Facultatea de Științe Politice a Universității Babeș-Bolyai din Cluj-Napoca, în România, 20% din gospodăriile sunt afectate de sărăcie energetică, iar măsurile de combatere a acesteia sunt insuficiente și ineficiente, iar 7 % nu au acces sau au acces informal la electricitate.

În vederea desfășurării unui proiect pilot care să dezvolte soluții adaptate pentru atenuarea sărăciei energetice (SE), pentru a reduce cererea de energie și emisiile de GES, Universitatea Babeș-Bolyai din Cluj-Napoca a obținut o finanțare în cadrul programului European Climate Initiative (EUKI), desfășurat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania. Valoarea proiectului este de 155.089 EURO, iar durata lui este de 18 luni.

În contextul unei tradiții de cooperări pe subiecte de interes local, UBB a invitat și Municipiul Cluj-Napoca să se alăture în cadrul acestui proiect. În acest sens s-a depus propunerea de proiect de către Universitatea Babeș-Bolyai în calitate de implementator, iar Municipiul Cluj-Napoca și-a însușit propunerea de proiect în calitate de partener de implementare, conform declarației de sprijin semnată

de către reprezentantul legal al municipiului la data de 01.07.2019, atașată prezentului raport. Rolul Municipiului este esențial în desfășurarea acestui proiect pilot întrucât prin departamentele sale, Primăria Cluj-Napoca deține și colectează date despre diverse aspecte relevante pentru studiul de față. De asemenea, durabilitatea și schimbările climatice au devenit componente importante ale agendei administrative ale administrației publice locale.

Prezentarea proiectului

Sărăcia energetică (SE) afectează Europa de Sud-Est în mod persistent, ceea ce duce la o cerere ridicată de energie, emisii de GES, producând efecte generice la nivelul calității vieții. Acest proiect se adresează fenomenului de SE de la nivelul municipiului Cluj-Napoca.

Obiectivul cheie al proiectului este de a dezvolta soluții adaptate pentru atenuarea SE, pentru a reduce cererea de energie și emisiile de GES. Prin intermediul acestui proiect pilot se urmărește cunoașterea fenomenului și identificarea de mecanisme replicabile care pot contribui la creșterea capacității locale și naționale de acțiune climatică prin integrarea măsurilor identificate în strategiile locale și naționale specifice. Aceste obiective sunt îndeplinite prin cartografierea dimensiunilor socio-spațiale ale SE, cuantificarea impactului SE asupra gospodăriilor și a emisiilor de GES, dezvoltarea unei platforme de informații online, livrarea unei serii de ateliere de formare părților interesate, precum și activități de informare și diseminare publică.

La nivelul municipiului s-au identificat diferite tipuri de SE prezente în multe locuri din sud-estul Europei, făcând din municipiul Cluj-Napoca o zonă ideală de cercetare și dezvoltare a politicilor, cu potențial semnificativ de replicare și scalare.

Finanțare:

European Climate Initiative (EUKI) prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania

Valoarea proiectului: 155.089 EURO

Din valoarea proiectului suma de 8846 euro revine Municipiului Cluj-Napoca, pentru cheltuieli de personal, alocate persoanelor desemnate ulterior pentru derularea activităților specifice proiectului din partea municipalității, potrivit art. 16 din Legea-cadru nr. 153/2017. Finanțarea va fi plătită de către Universitatea Babeș-Bolyai municipalității, integral, în avans, în baza acordului de parteneriat. Municipiul Cluj-Napoca are obligația de a folosi avansul transferat, exclusiv, pentru cheltuielile necesare implementării proiectului.

Cofinanțare din partea Municipiului Cluj-Napoca: nu este cazul.

Durata proiectului: 18 luni

Beneficiari:

Proiectul curent se adresează următorilor actori:

- Autorități publice locale și instituții publice locale cu prerogative pentru stabilirea politicilor de mediu, locuințe și energie (Municipiul Cluj-Napoca și cel puțin una dintre administrațiile din Zona Metropolitană Cluj, alte entități publice cu atribuții în domeniul social, de mediu și energetic). Autoritățile locale vor fi implicate în proiect prin activitatea de colectare a datelor, dar vor fi, de asemenea, informate despre importanța și utilizarea instrumentelor de politici rezultate și despre cum să le transforme în politici eficiente prin participarea la ateliere de lucru cu scopul prezentării rezultatelor proiectului.
- Locatarii individuali și asociațiile de locatari vor fi informați prin intermediul platformei de informare online rezultate, care le va pune la dispoziție o serie de instrumente ușor de utilizat,

permițându-le să își evalueze situația și să adopte decizii individualizate cu privire la modul de îmbunătățire a consumului de energie și a efectelor climatice aferente.

• Furnizorii de energie, ONG-urile specializate și universitățile trebuie să înțeleagă importanța sărăciei energetice, manifestările sale concrete, ramificările climatice și soluțiile posibile pentru această problemă. Obiectivul imediat al proiectului este ca aceștia să acceseze aceste informații, inclusiv în ceea ce privește schimbările climatice. Pe termen lung vor fi încurajați să integreze această preocupare în activitățile lor, să coopereze cu alte părți interesate relevante pe această temă pentru a produce soluții inovatoare în domeniul SE. Acești actori au, de asemenea, o miză în educarea publicului din diferite perspective: furnizorii pot oferi soluții legate de clienți; ONG-urile pot informa publicul și procesul de luare a deciziilor; în timp ce universitățile pot integra subiectul în programele lor pentru a pregăti specialiști care sunt conștienți de acest subiect.

Funcția / rolul în proiectul propus/ obligațiile primăriei prin parteneriat.

Primăria municipiului Cluj-Napoca, care încorporează toate departamentele relevante în prezentul proiect (Direcția Comunicare, Dezvoltare Locală și Management de Proiect, Direcția Urbanism, Biroul Eficiență Energetică și Iluminat Public, Direcția de Taxe și impozite), va colecta și pune la dispoziție date despre diverse aspecte relevante pentru studiul de față. Obligațiile municipalității, conform propunerii de proiect și modelului de acord propus a fi aprobat, sunt:

- Coordonarea cu implementatorul pentru a obține rezultatele proiectului;
- Facilitarea activităților de cercetare: pune la dispoziția echipei de cercetare toate datele necesare și facilitează accesul la părțile interesate locale și metropolitane; îndrumă echipa de cercetare cu privire la modalitățile optime de atingere a obiectivelor de cercetare; Desemnează 3 persoane din administrația locală care să faciliteze activitățile descrise.
- Facilitarea rezultatelor: facilitează diseminarea rezultatelor proiectului prin intermediul instrumentelor sale online și al departamentul de comunicare;
- Facilitarea atelierelor de lucru: identifică părțile interesate relevante și personalul propriu care să participe la ateliere;
- Diseminare și networking: Sprijină diseminarea rezultatelor proiectului prin intermediul rețelei instituționale la nivel local, metropolitan, regional, național (prin Asociația Primarilor) și internațional (prin Pactul Primarilor și al Comitetului European al Regiunilor).

Beneficiile pe care implicarea în proiect le aduce pentru comunitatea locală

Este primul proiect de asemenea anvergură pe o temă strategică europeană și națională.

- Gospodăriile și alte părți interesate private și publice folosesc platforma de informații online pentru economisirea energiei;
- Se produc sinergii între părțile interesate pentru a genera soluții inovatoare pe termen lung;
- Rezultatele proiectului informează strategiile locale și naționale de acțiune climatică care vizează reducerea emisiilor de GES prin intervenția PE;
- Stă la baza modernizării energetice a clădirilor locuite de gospodării sărace, ceea ce duce la reducerea emisiilor de GES și contribuie la îmbunătățirea condițiilor de trai la nivel local și la atingerea obiectivelor de mediu asumate la nivel național.

Având în vedere cele expuse mai sus, Proiectul de Hotărâre îndeplinește condițiile de natură tehnică pentru a fi supus dezbaterii și aprobării Consiliului Local;

Temeiul de drept:

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Art. 129 alin. 9 lit. a) din Ordonanța de Urgență nr. 57/2019 privind Codul administrativ, potrivit căruia în exercitarea atribuțiilor privind cooperarea interinstituțională pe plan intern și extern, consiliul local:

d) hotărăște, în condițiile legii, cooperarea sau asocierea cu persoane juridice române sau străine, în vederea finanțării și realizării în comun a unor acțiuni, lucrări, servicii sau proiecte de interes public local;

Art. 16 alin.1, alin.3, alin.4, alin.5, alin.6, alin.7 și alin. 9 din Legea-cadru nr. 153/2017 privind salarizarea personalului plătit din fonduri publice, potrivit căruia:

(1) Personalul din instituțiile și/sau autoritățile publice nominalizat în echipele de proiecte finanțate din fonduri europene nerambursabile beneficiază de majorarea salariilor de bază, soldelor de funcție/salariilor de funcție, indemnizațiilor de încadrare cu până la 50%, indiferent de numărul de proiecte în care este implicat. Această majorare se aplică proporțional cu timpul efectiv alocat activităților pentru fiecare proiect.

(3) Pentru fiecare proiect contractat în condițiile alin. (1), conducătorul instituției/autorității publice nominalizează, prin act administrativ, persoanele care fac parte din echipa de proiect.

(4) Numărul maxim de persoane la nivelul unei instituții sau autorități dintre cele prevăzute la alin. (1) care pot fi nominalizate în echipele de proiect este cel stabilit de prevederile contractului/acordului/ordinului de finanțare semnat de către instituția beneficiară cu autoritatea finanțatoare.

(5) Echipa de proiect din instituția beneficiară este responsabilă de realizarea activităților stabilite a fi efectuate în mod direct în graficul de activități aprobat, precum și a celor care derivă din obligațiile beneficiarului față de autoritatea finanțatoare, conform contractului/acordului/ordinului de finanțare semnat și în conformitate cu sistemul de management și control intern aplicabil. Activitățile prestate de către personalul instituției sau autorității publice nominalizat în echipele de proiect în cadrul proiectelor finanțate din fondurile prevăzute la alin. (1) vor fi reflectate corespunzător în cuprinsul fișei postului, conform prevederilor legale în vigoare.

(6) Coordonatorul de proiect/managerul de proiect/șeful de proiect avizează fișele de pontaj care atestă timpul efectiv lucrat în cadrul fiecărui proiect, pentru fiecare dintre persoanele nominalizate.

(7) Procentele prevăzute la alin. (1) și (2) se acordă de la data implementării contractului/acordului/ordinului de finanțare de către părțile contractante, respectiv instituția beneficiară și autoritatea finanțatoare, începând cu data intrării în vigoare a prezentei legi. Acesta se acordă numai pe perioada de implementare a proiectului, astfel cum a fost stabilită în contractul/acordul/ordinul de finanțare semnat, pe răspunderea ordonatorului de credite în cadrul căruia este organizată echipa de proiect.

(9) Cheltuielile cu salariile lunare, soldele lunare/salariile lunare și indemnizațiile de încadrare ale personalului din echipele de proiect, inclusiv contribuțiile salariale aferente, pot fi rambursate de către autoritatea finanțatoare, în conformitate cu regulile de eligibilitate și procedurile de rambursare aplicabile, precum și cu procentul de cofinanțare stabilit în contractul/acordul/ordinul de finanțare semnat cu autoritatea finanțatoare. Pentru persoanele implicate în mai multe echipe de proiecte, rambursarea cheltuielilor se face pentru fiecare proiect în parte, proporțional cu timpul efectiv realizat, conform fișei de pontaj.

Din punct de vedere juridic, raportat la dispozițiile/actele menționate anterior, proiectul de hotărâre îndeplinește condițiile legale pentru a fi supus dezbaterii și aprobării plenului Consiliului Local.

Din punct de vedere economic, raportat la prevederile 16 alin.1, alin.3, alin.4, alin.5, alin.6, alin.7 și alin. 9 din Legea-cadru nr. 153/2017 privind salarizarea personalului plătit din fonduri

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publice, cu modificările și completările ulterioare, proiectul de hotărâre îndeplinește condițiile de natură economică pentru a fi supus dezbaterii și aprobării plenului Consiliului local.

Având în vedere cele prezentate, apreciem că proiectul de hotărâre privind aprobarea acordului de parteneriat cu Universitatea Babeș-Bolyai vizând participarea Municipiului Cluj-Napoca la implementarea proiectului „Atenuarea emisiilor de Gaze cu efect de sera (GES) prin reducerea sărăciei energetice în România”, finanțat prin Ministerul Federal al Mediului, Conservării Naturii și Siguranței Nucleare, Germania în cadrul European Climate Initiative (EUKI), poate fi supus dezbaterii și aprobării plenului Consiliului Local.

Director executiv al Direcției Economice
Olimpia Moigrădan

Director executiv al Direcției Juridice
Alina Rus

Director,
Ovidiu Cîmpean

Director executiv Direcția Tehnică
Virgil Poruțiu

Șef serviciu Strategie și dezvoltare locală, management proiecte
Bogdan Al. Revesz

Consilier juridic,
Ramona Gârda

Șef birou Eficiență Energetică, Iluminat Public
Daniel Dranca



PRIMĂRIA ȘI CONSILIUL LOCAL
CLUJ-NAPOCA

ROMANIA
CLUJ-NAPOCA CITY HALL

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July 1st, 2019

Letter of Support for *Mitigating GHG emissions through energy poverty alleviation in Romania* proposal, European Climate Initiative (EUKI)

Dear Madam/Sir,

The Municipality of Cluj-Napoca seeks to support the key objectives of the project *Mitigating GHG emissions through energy poverty alleviation in Romania* in order to devise tailored solutions and create a proper stakeholder dynamics for alleviation in the area. It informs the local energy and climate change strategy, included in the Cluj-Napoca Metropolitan Area development strategy from 2020. Beyond the implementation of the project at the local level, the Municipality of Cluj-Napoca will support the dissemination of the project results at the level of local public administrations around Romania, such as the Metropolitan Area; the Western Alliance (AVE) of the municipalities of Cluj-Napoca, Arad, Timisoara, Oradea; the Romanian Towns Association (AMR); Romanian Energy Cities (OER) and beyond.

We are highly aware that the energy poverty (EP) affects South-Eastern Europe persistently, affecting quality of life and climate change and we would like to express our full support to this initiative we are interested in collaborating with and we expect that the *Mitigating GHG emissions through energy poverty alleviation in Romania* Project proposal will be evaluated positively.

Responsible of this project from Municipality of Cluj-Napoca will be Energy efficiency and public lighting Department, that will work closely with Communication, local development and project management Division, Town planning Division, Relations with the Council and local government and Social and Medical Assistance Division. The persons designated with the implementation of this project at City Hall's level are Daniel Dranca, head of Energy efficiency and public lighting Department and Horatiu Pop, speciality inspector at Energy efficiency and public lighting Department, as a permanent liaison officer.

We are looking forward to the success of the proposal and we will closely follow the project results.

Yours faithfully,

Emil Boc
Mayor of Cluj-Napoca

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Grant Agreement

giz Deutsche Gesellschaft
für Internationale
Zusammenarbeit (GIZ) GmbH

The

Babes-Bolyai University (UBB)
Minerilor 85
400427 Cluj Napoca
Romania

- hereinafter referred to as "the Recipient" -

and

Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH
Dag-Hammarskjöld-Weg 1 - 5
65760 Eschborn
Federal Republic of Germany

- hereinafter referred to as the "GIZ" -

herewith enter into the following Agreement for the Project

**European Climate Initiative (EUKI) – Mitigating GHG emissions
through energy poverty alleviation in Romania**

Country: Romania

Communication details (must be quoted in all correspondence)

Contract number: 81249159
Project processing number: 17.9045.0-002.60

Unit responsible for the budget

Organisational unit: A300
Responsible officer: S. Bundscherer

Procurement and Contracting

Organisational unit: E2B0
Responsible officer: M. Fürst / G. Myrzik

Financial processing of the contract

Responsible officer: B. Enzmann

Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH
Registered offices
Bonn and Eschborn, Germany

Friedrich-Ebert-Allee 36 + 40
53113 Bonn, Germany
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Registered at
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Bonn, Germany
Registration no. HRB 18384
Local court (Amtsgericht)
Frankfurt am Main, Germany
Registration no. HRB 12394
VAT no. DE 113891176
Tax no. 040 250 56973

Chairman of the Supervisory Board
Martin Jäger, State Secretary

Management Board
Tanja Gönner (Chair)
Dr Christoph Beier (Vice-Chair)
Thorsten Schäfer-Gümbel

Commerzbank AG Frankfurt am Main
BIC (SWIFT): COBADE33XXX
IBAN: DE45 5004 0000 0588 9555 00

The basis for the grant for Babes-Bolyai University (UBB) is the commission from Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (hereinafter referred to as BMU) dated 24.04.2017. GIZ shall provide the grant pursuant to this agreement exclusively on behalf of and for the account of BMU.

Article 1

Amount and Purpose of the Grant

1.1 Commissioned by the Government of the Federal Republic of Germany, the GIZ shall make available to the Recipient a grant of

up to EUR 141,959.00

in words: EUR one hundred forty-one thousand nine hundred fifty-nine

1.2 The Recipient shall use the grant exclusively for expenditures within the Project described in Article 2 as attributed to the GIZ grant according to the budget lines below and the Schedule of Estimated Expenditures which sets out details of the Project expenditures. The Schedule of Estimated Expenditures is attached hereto (Annex 1) and forms an integral part of the Agreement.

1.	External expertise	up to	EUR	0.00	
2.	Personnel	up to	EUR	68,092.00	
3.	Travel	up to	EUR	2,800.00	
4.	Other	up to	EUR	2,600.00	
5.	Administration Costs (10%)	up to	EUR	7,349.00
6.	Forwarding of funds	up to	EUR	61,118.00

1.3 The grant is made available for the period from 01.11.2019 to 30.04.2021. Only expenditures effected during this period and relating to activities carried out during this period may be financed from the grant. Otherwise the written approval of GIZ is required.
The GIZ shall have the right to refuse disbursements after 30.06.2021.

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- 1.4 The Recipient shall use the GIZ grant only for necessary and reasonable expenditures in accordance with sound business principles.
- 1.5 The GIZ grant may be used only for expenditures not already financed under other subsidies or long-term loans.
- 1.6 The Project is cofinanced by the following parties (the Recipient and/or third parties) with grants up to the amount of:
 - 1. The Recipient "Babes-Bolyai University (UBB)" up to EUR 5,250.00
 - 2. Association Center for the Study of Democracy up to EUR 5,000.00
 - 3. Adelphi research gemeinnützige GmbH up to EUR 2,880.00

The respective attribution of the different grants by all financing parties to the estimated Project expenditures is shown in the Schedule of Estimated Expenditures (Annex 1).

If actual expenditures for a budget line to be financed by different parties amount to less than the estimated expenditures, GIZ's grant for this budget line shall remain unaffected up to the amount of the actual expenditures on condition that those are not covered by the contribution of the Recipient or a third party.

The grant is made available on condition that all other above mentioned parties meet their contribution.

- 1.7 The Recipient shall be entitled to spend up to 20% more than the amounts of the budget lines mentioned in Article 1.2 (except administration costs if contractually agreed) for any budget line provided that expenditures are reduced by the same amount in one or more of the other budget lines to be financed from the GIZ grant.
- 1.8 With respect to the reports produced pursuant to Article 3 and 6 and all studies, documents or other work results, including computer programs, resulting from the project implementation, and financed in whole or in part from the grant, the Recipient herewith grants the GIZ an irrevocable, non-exclusive and transferable right of use in all areas and fields, including their processing and translation and use in electronic media. The Recipient shall hand over one



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Grant Agreement

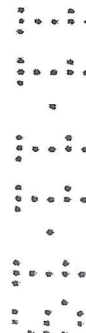
giz

copy of the materials to the GLT promptly on request by the GIZ. The GIZ is entitled to grant simple sub-user rights to third parties.

- 1.9 The Recipient is entitled to pass on some of the funds awarded under this Grant Agreement to third parties (final recipients). In doing so, the Recipient shall ensure that the terms and conditions of this Grant Agreement are applied equally to the contractual relationship between the Recipient and the final recipient, in particular albeit not exclusively the stipulations relating to the use of the grant and to the disbursement and reporting procedures. In the contract with the final recipient, the Recipient shall also ensure that the final recipient is not entitled to pass on the funds received or any part thereof to other recipients.

The Recipient must provide evidence of the use of the funds awarded under this Grant Agreement by submitting appropriate financial reports and supporting documents. In this respect, the Recipient is obliged to check the contractual and financial evidence presented by the final recipient and to forward this evidence to GIZ, together with the findings of its own checks on that evidence, when settling the amounts due from GIZ under the terms of the Grant Agreement. The Recipient is responsible for ensuring that the (partial) grant funds passed on to the final recipient are used by the latter and settled in accordance with the Grant Agreement.

If the final recipient has not yet been specified when the Grant Agreement is signed, the Recipient must submit a written list of potential final recipients to GIZ and obtain GIZ's approval before passing on any of the funds.



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Article 2

The Project

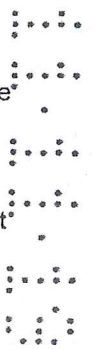
- 2.1 The primary aim of the Project promoted by the grant is to increase the capacity of stakeholders at the level of the Cluj-Napoca Metropolitan Area (CNMA) to effectively design a new strategy for sustainable development that aims to mitigate GHG emissions through energy poverty alleviation. This overall objective is defined by the following benchmarks:
- Number of capacitated stakeholders for the CNMA.
 - Strategy proposal for energy poverty alleviation is integrated into the local policy framework.
- 2.2 In order to achieve this aim, the following measures are planned:
- Mapping energy poverty in CNMA, analysis of alleviation strategies and related climate effects with a focus on the local level.
 - Strategy proposal and policy paper on energy poverty.
 - Capacity building and stakeholder information instruments.

Details are laid down in the Project Proposal submitted on 19.08.2019, which is attached hereto (Annex 2) and forms an integral part of the Agreement.

Article 3

Disbursement Procedure

- 3.1 After entering into the contract, but no later than with the first request for disbursement, the Recipient shall submit a schedule of financial requirements drawn up in the contract currency (see specimen in Annex 3) with quarterly amounts for the entire term of the contract, unless this has already been submitted when the contract was entered into. In accordance with the schedule of financial requirements, the Recipient shall request quarterly disbursements in the contract currency to the amount of the expected financial requirement for the following quarter, taking into account any funds still available. The call for each disbursement shall be submitted in one copy originally signed and must include the project number and the contract number (see specimen in Annex 3).



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Grant Agreement

The disbursement can only be made, if the funds are provided to GIZ by the commissioning party.

- 3.2 The amount of EUR 28,400.00 shall be withheld from disbursement.
The amount withheld shall be disbursed with the final request for disbursement as soon as all obligations by the Recipient arising from the Agreement, in particular those regarding the evidence of use of the funds for the purpose stipulated and the reporting, have been met.
- 3.3 All payments by the GIZ shall be made into the Recipient's account:

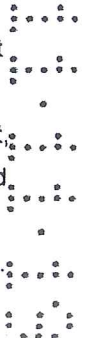
Account holder: Universitatea Babeş-Bolyai
Account currency: EUR
Swift code: RNCBROBU
IBAN: RO16RNCB0106026604700008

The Recipient shall open a separate sub-account with its bank or a separate cost unit in its own accounts to settle the financial transactions involved in this Grant Agreement and shall confirm to GIZ that this has been done when submitting its first payment request. All the funds made available under this Grant Agreement must be accounted for separately from any funds provided by other donors.

All amounts paid by the GIZ shall remain in the afore-mentioned account as trust funds until they are used for paying the supplies and/or services to be financed from the grant.

The amounts paid into the afore-mentioned account by the GIZ shall receive interest as far as permissible within the scope of the relevant legal provisions.

Any income, interest or gains earned on the grant received by the Recipient under this Grant Agreement ('Investment Income') as well as any funds reflowed to the Recipient which were originally distributed from the grant including, but not limited to, reimbursement or repayment, payments of principal, interest, dividends and fees, as appropriate, but excluding any unused or undisbursed amounts with respect to the Project ('Reflowed Funds') shall be reinvested in the Project by the Recipient and shall be indicated separately in the submission of accounts.



The GIZ reserves the right to deduct any Investment Income from the pledged amount of the grant.

The GIZ may at any time require prompt submission by the Recipient of a copy of the interest agreement and/or interest calculation by the bank, or confirmation by the bank that interest cannot be paid on the credit balance in the account.

3.4 The Recipient shall keep a separate project record exclusively for the funds disbursed by the GIZ. In this project record all receipts and expenditures related to the measures and/or expenditure categories to be financed from the GIZ grant are entered in chronological order and according to the regulations for proper and orderly accounting. These expenditures shall be subdivided into the categories specified in the Schedule of Estimated Expenditures and shall contain the following items at least:

Receipts:

- a) Entry number
- b) Date of receipt
- c) Origin of receipt
- d) Amount of and reason for receipt

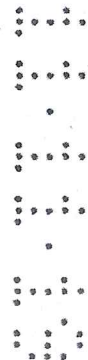
Expenditures:

- a) Entry number
- b) Date of payment
- c) Recipient of payment
- d) Amount of and reason for payment

3.5 Except for the first and second instalment the Recipient shall submit with each call for disbursement a financial statement originally signed (see specimen in Annex 3) providing evidence of the use of the payment before the foregoing disbursement and an inventory on the goods purchased according to Article 4.4. The financial statement must be made up in the currency of the contract. The expenditures shall be entered chronologically and broken down according to expenditure categories or measures as specified in the Schedule of Estimated Expenditures (Annex 1).

If the budget lines presented in 1.2 above contains administration costs, these must be settled separately as a lump sum. The upper limits specified in the budget lines presented in 1.2 above must not be exceeded. All other cost categories shown under 1.2 above will be settled against evidence.

Any remaining funds held by the Recipient will be offset against the following disbursement. The Recipient's request shall become due upon expiry of a verification period of 15 days after the financial statement has been received. Payment shall be made by the GIZ not later



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page 8/16

- than 30 days after the requests become due, to the amount established and where applicable, corrected, by the GIZ.
- 3.6 If the Recipient does not submit a financial statement or an inventory in the correct manner or by the due date, the GIZ can suspend payments until such a financial statement or inventory is presented.
- 3.7 The final financial statement has to be accompanied by a declaration that the contributions to be borne by the above mentioned other donors have been paid in full.
- 3.8 The Recipient shall submit proof by the bank of the amount that has been credited in the currency of account for the funds disbursed by GIZ. The expenditure in the currency of account shall be converted to the contract currency at the exchange rate resulting from the amount credited to the account and the disbursement in the currency of the contract.

Settlements for expenditure in a currency different to the contract currency or the currency of account shall be made at the rate based on the foreign-exchange purchase vouchers presented in evidence of the amount charged. In the absence of the required documentation, the GIZ may choose either to reimburse the expenditures in foreign currency or to convert the expenditures on the basis of the exchange rate in the EU currency converter that can be accessed by the Recipient (www.giz.de/en/, Procurement, Currency Exchange Rates) and reimburse them in the contract currency.

- 3.9 Upon completion of the Project, but not later than 8 weeks after the completion of all measures, the Recipient shall submit to the GIZ a final financial statement originally signed (see specimen in Annex 3) and provide the GIZ with evidence of how the amounts disbursed have been used. The financial statement must be made up in the currency of the contract. The expenditures shall be entered chronologically and broken down according to expenditure categories or measures as specified in the Schedule of Estimated Expenditures (Annex 1). If the budget lines presented in 1.2 above contains administration costs, these must be settled separately as a lump sum. The upper limits specified in the budget lines presented in 1.2 above must not be exceeded. All other cost categories shown under 1.2 above will be settled against evidence. Any funds remaining from the grant, including any Investment Income and any Reflowed Funds, shall be returned to the GIZ in the contract currency immediately and

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without separate request at the exchange rate resulting from the latest advance disbursement/s credited to the account (see article 3.8). To minimize the risk of repayment the recipient shall monitor the effective balance of funds before the final advance disbursement is requested.

3.10 Any financial statement shall be accompanied by copies of supporting documents for every single expenditure exceeding the amount of EUR 500,00.

The Recipient shall submit all documents either in German, English, French or Spanish, or shall attach a translation into one of these languages.

3.11 GIZ may have the Project audited at its own expense at any time by an independent chartered accountant commissioned by GIZ, by its own experts or by its own audit authority. This audit will examine whether the measure has been implemented and administered properly and correctly in accordance with the relevant terms of this Grant Agreement in respect of cash and invoice management, the use of grant funds and the award of contracts for goods and services.

The Recipient must permit GIZ and/or the certified public accountant commissioned by GIZ to inspect the accounts and any other documents related to the purpose of this Grant Agreement at any time.

On completion of the audit report, GIZ shall inform the Recipient of the main findings. The Recipient shall promptly implement the recommendations made by GIZ on the basis of the audit findings and provide evidence thereof if requested by GIZ.

3.12 The Recipient shall

- a) secure the full financing of the Project and, upon request, furnish the GIZ with evidence proving that all expenditures not financed from the present grant are covered;
- b) keep for five years after submission of the final financial statement books, records and the originals of the supporting documents, clearly identifying all expenditures for the services and supplies for the Project and those services and supplies financed from the grant;



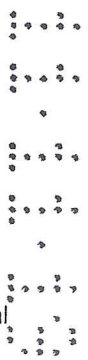
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- c) document the transfer of ownership of those items which are destined for third parties according to the Project Proposal and support its financial statements with copies of such documents;
- d) enable the representatives of the GIZ at any time to consult such books and any other records and documents relevant for the implementation of the Project and to visit all installations related thereto;
- e) supply any information on the Project and its further progress which the GIZ may request;
- f) of its own accord promptly inform the GIZ of any circumstances seriously affecting or jeopardizing the accomplishment of the purpose of this Agreement or the implementation of the Project;
- g) pay, upon request, interest at a rate of 5 percentage points above the respective rate applied by the European Central Bank to its main refinancing transactions p. a. for any amount not spent for the Project according to Article 1.2 and 1.3 from the day of receipt to the day of use for expenditures within the Project;
- h) not use the grant for expenditures completely financed under other subsidies or long-term loans.

Article 4

Purchasing of Goods and Services

- 4.1 When awarding contracts for supplies and services to be financed in full or in part from the grant, the Recipient shall observe the regulations for public procurement which apply in Romania, but shall in any case comply with the provisions in Annex 4a (Award Procedure), which form a constituent part of this Grant Agreement. The contract award procedure, including but not limited to all decisions, shall be documented in accordance with the template provided as Annex 4b (Documentation of Contract Awards), which forms an integral



part of this Grant Agreement. The documentation shall be kept with the accounting vouchers and documents pursuant to Article 3. At the request of the GIZ, the Recipient shall furnish evidence of the proper implementation of the contract award procedures. Contracts for supplies and services awarded contrary to these provisions must not be financed from the grant.

- 4.2 The Recipient shall ensure, upon entering into contracts for supplies and services to be financed from the grant, that
- a) the terms of payment of these contracts conform to customary trade practices; import duties, which may not be financed from the grant, are to be indicated separately in the contracts to be entered into and in the invoices;
 - b) the supplies to be financed are insured against transportation risks to an adequate and customary extent in order to provide for the goods to be replaced or restored to their original state, imported goods being insured in freely-convertible currencies, as far as possible;
 - c) reimbursement, insurance, security, warranty or similar payments which may be claimed on the basis of those contracts, are to be transferred to the account indicated in Article 3.3 and reemployed for the Project. The Recipient shall notify GIZ of the amount of such payments within the scope of the project reports.
- 4.3 The items procured or produced for the Project by the Recipient must be used solely for the purposes of the project. This purpose-specific stipulation shall apply for an indefinite period, subject to the stipulations of Article 4.5. If the items are used for purposes other than those for which they were intended, the Recipient shall provide GIZ with appropriate compensation for their value at a level to be set by the GIZ.
- 4.4 The Recipient is obliged to submit current inventories with the financial statement at the end of each year and with the final financial statement.
All items financed from the GIZ grant whose purchase or manufacturing cost exceeds EUR 400.00 must be inventoried.



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With submission of the respective inventory in which the inventoried items are listed for the first time, ownership of the inventoried items is transferred from the Recipient to the GIZ to secure any claims of the GIZ against the Recipient arising from or in connection with this Agreement (incl. possible reverse handling claims), and at the same time the items shall be provided on loan to the Recipient by the GIZ until completion of the Project.

- 4.5 After completion of the Project at the latest, the items procured or produced for the Project shall become the property of those to whom they are to be transferred in accordance with/consistent with/depending on the purpose of the Project. The GIZ and the Recipient shall agree on the final recipients in due course, at the latest prior to submission of the final financial statement. The transfer of ownership shall be noted in the financial statement and the related certificate of assignment shall be submitted.

Article 5

Suspension of Disbursements, Termination and Repayment

5.1 The GIZ shall be entitled to suspend disbursements if

- a) the Recipient is not able to furnish evidence proving the use of the grant for the purpose stipulated in this Agreement;
- b) goods purchased by the Recipient for the Project and financed from the grant are not used or cease to be used for the purpose of the Agreement;
- c) the Recipient has violated any other obligation under this Agreement;
- d) before conclusion of the Agreement or during its execution, the Recipient has given false information or withheld relevant information affecting the allocation or disbursement of the grant;
- e) any extraordinary circumstances have arisen which preclude or seriously jeopardize the purpose of the grant, the implementation of the Project, or the performance of the obligations assumed by the Recipient under this Agreement; or



- f) the Government of the Federal Republic of Germany terminates, suspends or modifies the relevant contract with GIZ which is the basis for this Agreement.
- 5.2 The GIZ shall be entitled to terminate the Agreement with immediate effect if any of the circumstances referred to in Article 5.1 a) to f) arise. In case any of the circumstances referred to in Article 5.1 a) to d) arise, the GIZ shall be entitled to terminate the Agreement if these circumstances have not been remedied within a period to be stipulated by the GIZ, which shall, however, be not less than 30 days.
- 5.3 Accordingly, the GIZ shall be entitled to demand immediate repayment of all or part of the grant, including any Investment Income and any Reflowed Funds, if any of the circumstances referred to in Article 5.1 a) to d) arise and have not been remedied within this period to be stipulated by the GIZ. Where Article 5.1 a) applies, only those amounts shall be repaid for which the Recipient is unable to furnish evidence of the use for the purpose stipulated in this Agreement. Where Article 5.1. b) applies, only those amounts relating to the goods concerned shall be repaid. Where Article 5.1 e) or Article 5.1.f) apply, only those amounts shall be repaid which have not been irrevocably committed by the Recipient for the purpose stipulated in this Agreement before the written notice on termination was received by the Recipient. Amounts are only deemed to be irrevocably committed if incurred for periods less than 90 days after the receipt of the notice on termination but shall in any case not cover periods after the end of the contract period. The irrevocable commitment for the purpose stipulated in this Agreement has to be proven by the Recipient to the GIZ.

Article 6

Implementation of the Project

- 6.1 The description of the measures in Article 2.2 including the Project Proposal (Annex 2) constitutes the binding framework for the implementation of the Project.
- 6.2 Major changes to the measures described under Section 2.2 including the Project Proposal, or major changes to the estimated expenditures, must be reported immediately to the GIZ.

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Such measures may be commenced only on the basis of revised planning and with the prior approval of the GIZ.

- 6.3 The Recipient shall submit half-yearly progress reports (according to Annex 5). The first report will be due at the end of 30.04.2020. The reports shall be submitted to the GIZ not later than two months after the reporting date and include high-resolution pictures.
- 6.4 The Recipient shall draw up a final report (according to Annex 5) describing the implementation and results of the Project in the light of the aims set and submit it to the GIZ not later than two months after the completion of all measures.
- 6.5 In any publication on the Project, the Recipient shall always indicate in an appropriate manner that it is conducting or conducted its activities within the framework of a Project financed or cofinanced by the GIZ commissioned by the Government of the Federal Republic of Germany. The Recipient will assure that all publications, communication and/or visibility activities are in accordance with the Corporate Design and Wording (Annex 6) of the Grant Agreement.
The Recipient will report to the GIZ immediately and strive to remedy any detected shortcoming in implementing the publishing, communication and visibility requirements, which are set out in the 'Corporate Design and Wording'.
- 6.6 The Recipient shall inform the GIZ early about any upcoming project conferences or workshops in regard to this project measures. A potential participation of Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) can be facilitated.

Article 7

Anti-bribery, anti-terrorism financing, compliance with embargoes

- 7.1 The Recipient shall ensure that the persons it entrusts with the preparation and implementation of the Project and the awarding of contracts for the provision of materials and services to be financed do not demand, accept, provide, grant, promise or accept promises for illegal payments or any other advantages in connection with these tasks.

- 7.2 The Recipient shall not make available any financial or other economic resources to third parties under the GIZ grant that are listed on an UN and/ or EU sanction list, neither directly or indirectly. Within the implementation of the project as described in Article 2 the Recipient may only enter into contractual or business relations and/or maintain such relations with third parties that are reliable and to whom no statutory ban on entering into contractual or business relations applies. Furthermore, the Recipient shall respect embargoes and other trade restrictions of the UN, the EU or the Federal Republic of Germany within the implementation of the project as described in Article 2.
- 7.3 The Recipient will inform GIZ, promptly and of its own accord, of the occurrence of any event which results in the Recipient, any member of its personnel or its management bodies or other governing bodies or any of its shareholders, being listed on a sanctions list issued by the United Nations Security Council or the EU.
- 7.4 The Recipient will inform GIZ, promptly and of its own accord, of the occurrence of any breach of a provision of this Article 7. GIZ's rights according to Article 5 remain unaffected.

Article 8

Final Provisions

- 8.1 In the event of a provision of this Agreement being invalid, this shall not affect the validity of the remaining provisions. Any deficiency in consequence thereof shall be remedied by a provision consistent with the purpose and intent of this Agreement.
- 8.2 The Recipient shall not assign or transfer, pledge or mortgage any rights under this Agreement.
- 8.3 This Agreement shall be governed by German law.
- 8.4 Place of performance for payments shall be Frankfurt am Main.

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Grant Agreement

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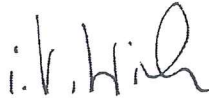
- 8.5 Place of jurisdiction shall be Frankfurt am Main, provided the Recipient is a merchant/trader, a legal entity under public law or a special fund under public law, or has no general place of jurisdiction in Germany. The GIZ may also take legal action against the Recipient at the court responsible for the Recipient's place of residence.
- 8.6 Amendments and changes to this Agreement as well as any statements and notices which shall be made under this Agreement shall only be valid in writing.

Eschborn, Date: 07.11.2019

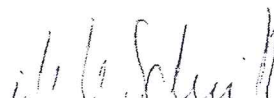
Cluj Napoca, Date:

Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

Babes-Bolyai
University (UBB)



Contract Management



Contract Management

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Annexes:

(Annexes 3 – 4 can be downloaded from www.giz.de/financing, Annex 5 and 6 can be downloaded from <https://www.euki.de/en/project-financing/>)

- Annex 1: Schedule of Estimated Expenditures
- Annex 2: Project Proposal of 19.08.2019
- Annex 3: Financial Guidelines for Grant Agreements
- Annex 4: Award Procedure
 - 4a: Award Procedure
 - 4b: Documentation of Contract Awards
- Annex 5: Template for the Reports
- Annex 6: Corporate Design and Wording

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European Climate Initiative ("EUKI") 2019**Project proposal****19_060****Mitigating GHG emissions through energy poverty alleviation in Romania**

submitted by

Babes-Bolyai University

Please enclose the following attachments:

<input checked="" type="checkbox"/>	Annex 1: Implementing partner(s)
<input checked="" type="checkbox"/>	Annex 2: Timeline/Gantt chart on the project schedule (see template)
<input checked="" type="checkbox"/>	Annex 3: Expenditure and financing (see template)
<input checked="" type="checkbox"/>	Annex 4: Letter of support/demonstration of interest on the part of the partner government or, if applicable, another suitable body in the target country
<input checked="" type="checkbox"/>	Annex 5: Written confirmation (incl. amount of co-financing) from each further third-party donor
<input checked="" type="checkbox"/>	Annex 6: <i>Please only submit for the implementer!</i> Annual financial statements for the past three years. <i>Important note.:</i> Should no external/internal audit reports be available which make reference to the information requested in Annexes 8 and 9 please enclose internal guidelines/thorough description of the implementing organisation on contract award and accounting/financial management procedures.
<input checked="" type="checkbox"/>	Annex 7: <i>Please only submit for the implementer</i> Confirmation on previous experiences in implementing third party funded projects. Information on experience in technical and administrative implementation of earlier financing (including other donors). Audit reports on previously implemented projects – if available - projects may be enclosed.
<input checked="" type="checkbox"/>	Annex 8: <i>Please only submit for the implementing organisation</i> Audit report(s) by internal audit bodies (internal audits). The reports should provide information in particular about procurements/awarding of contracts, accounting (system) and annual financial statements (if available).
<input type="checkbox"/>	Annex 9: <i>Please only submit for the implementer</i> Audit report(s) by external auditing bodies (external audits) The reports should provide information in particular about procurements/awarding of contracts, accounting (system) and annual financial statements (if available).
<input checked="" type="checkbox"/>	Annex 10: <i>To be handed in by the implementer as well as implementing partners!</i> - <u>Proof of legal form of the institution/organisation:</u> Evidence of legal form and registration in accordance with the legal provisions that apply in the country in which the institution/organisation is based. Please attach extracts from the appropriate register / formation documents showing the location of the institution/organisation's registered office and the year of formation (if not shown in the register entry) / Tax number or other forms of substantiating documentation generally required in the country. All documents should be in German/English or French. - <u>Proof of non-profit status:</u> in the case of German recipients: (Provisional) certificate of exemption or Annex to the corporation tax assessment of the tax office (section 5 (1) no. 9 of the German Corporation Tax Act (= assessment for 'corporations, associations of persons and bodies of assets which, under their statutes, act of foundation or other constitution and under their de facto management, pursue exclusively and directly charitable, benevolent or other religious objects') in the case of non-German recipients: Articles of association and register entry or

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	comparable documents in German/English or French as evidence of the use of the funds to achieve the tax-privileged purposes of the foreign corporation, i.e. an activity that would have tax-privileged status if it were performed in Germany. According to Section 52 (2) of the German Fiscal Code, tax privileges are granted for the 'advancement of upbringing, adult education and vocational training' (no. 7); the 'advancement of nature conservation and environmental protection (no. 8); the 'advancement of development cooperation' (no. 15) and the 'advancement of equal rights for women and men' (no. 18).
<input checked="" type="checkbox"/>	Annex 11: Order form for registration of a creditor

To complete this form, please consult the 'Guidelines on results-based project planning and monitoring in the European Climate Initiative' (short title: 'Guidelines on project planning and monitoring').

The explanations in grey writing should be carefully read and followed. Please delete the explanations in grey writing after filling in the form. Please do not exceed 25 pages plus annexes. The documents are to be submitted electronically (as Word/Excel files and as a scanned PDF document) to info@euki.de.

Europäische Klimaschutzinitiative (EUKI)
 Project Financing
 Potsdamer Platz 10
 10785 Berlin
 Germany
 E-mail: info@euki.de

CCUG - KAPOGA
 19 AUGUST 2019

Place, date

George Jigla, Lecturer at Babes-Bolyai University

Legally binding signature



Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH has been commissioned by the German Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) with the implementation of the EUKI funding programme. Funds will be disbursed by means of a Zuschussvertrag - for implementers legally registered in Germany - or Grant agreements - for implementers from outside Germany. Model contracts are available for download on the EUKI website: <http://www.euki.de/?lang=en>

giz Deutsche Gesellschaft
 für Internationale
 Zusammenarbeit (GIZ) GmbH

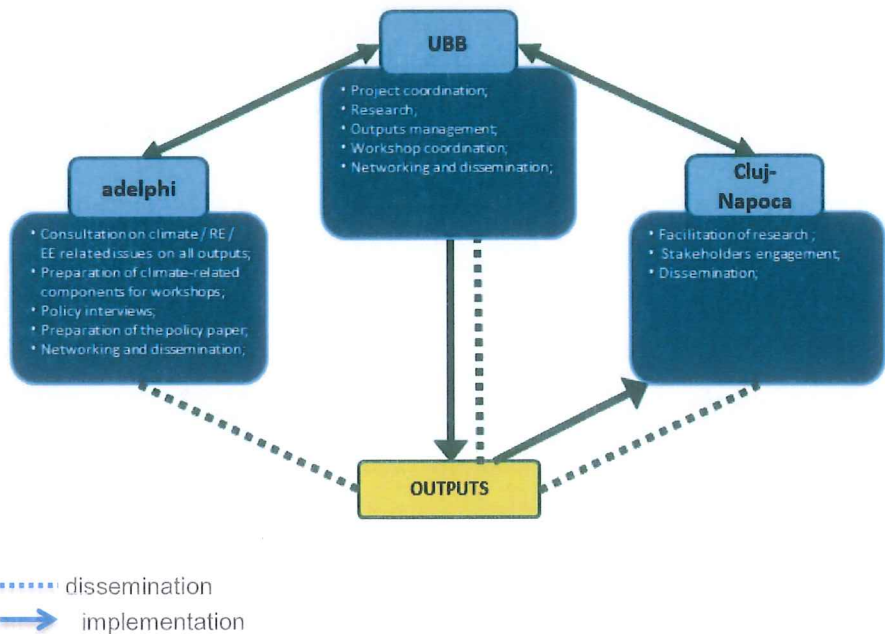
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1 Project master data	
1.1 Project	<p>Project number (if given to you) 19_060 Energy Poverty Alleviation RO</p> <p>Project title Mitigating GHG emissions through energy poverty alleviation in Romania</p> <p>Country/countries of implementation Romania</p> <p>Project duration 10.2019 - 03.2021</p> <p>Sector Energy</p>
1.2 Implementer	<p>Name Babes-Bolyai University (UBB)</p> <p>Department Political Science, Center for the Study of Democracy</p> <p>Street, No. Minerilor 85</p> <p>Postal Code, town/city 400427, Cluj-Napoca</p> <p>Country Romania</p> <p>Contact Person George Jiglau</p> <p>Telephone +40740206512</p> <p>Telefax -</p> <p>Email jiglau@fspac.ro</p> <p>Website www.democracycenter.ro</p> <p>Institution Academic/research institution</p> <p>Legal structure Non-profit status, Legal entity of its own</p> <p>Deduction of input tax according to § 15 UStG (if registered in Germany) Not the case</p> <p>Total staff 3467</p> <p>Staff for the project 6</p> <p>Year established 1924</p> <p>Turnover [EUR/year] 102,570,000 EUR/2018</p> <p>Experience in the target region [years] 95</p> <p>Experience in activities relevant to the project [years] 5</p> <p><u>Role/function of the implementer in the project proposed</u></p> <p>Project lead: project administration, grant-maker (EUKI) relations, Partners relations (adelphi and Cluj-Napoca Municipality);</p> <p>Research coordination: design and implementation of research instruments and activities; data collection based on previously designed methods; data analysis;</p> <p>Outputs coordination: development of information, support, policy tools, coordination of reports and other project related outputs;</p> <p>Workshop coordination;</p> <p>Networking and dissemination: local governmental relations insofar as they are necessary to perform data collection, dissemination and awareness raising; engagement of key actors.</p>

<p>1.3 Implementing partners and steering structure</p>	<p>1. adelphi research gemeinnützige GmbH (adelphi)</p> <ul style="list-style-type: none"> • <u>Capabilities and experiences relevant to the project</u> <p>adelphi has over 16 years of professional experience in the fields of resource efficiency, energy efficiency and housing. By comprehensively analysing the specific local and institutional framework conditions, we develop strategies and decision-making aids for sustainable energy programmes, and help our clients to integrate these demands into sectorial and regional programmes. To drive forward energy modernisation processes, we advise public institutions and companies in various industrial sectors on the implementation and optimisation of their respective systems.</p> <p>Our team of experts has in-depth expertise in addressing the lack of awareness about sustainable energy resources and energy efficiency potentials in the building sector, in corporations and SMEs, and also of private consumers. We design awareness raising activities and offer capacity building through trainings for private commercial decision-makers (companies and associations) as well as for representatives of ministries and other public authorities.</p> <ul style="list-style-type: none"> • <u>Function/role in the project proposed</u> <p>Coordination with the implementer in order to achieve the envisaged project outputs and outcomes;</p> <p>Research tasks: co-design of research instruments and activities involving the climate component in cooperation with UBB; monitor data collection; perform policy interviews with international experts;</p> <p>Outputs coordination: development of information materials, workshops involving the climate components; preparation of the policy paper;</p> <p>Preparation and coordination of climate-related components for workshops in cooperation with the implementer;</p> <p>Supporting the dissemination process within own network and communication channels.</p> <p>2. Municipiul Cluj-Napoca (Primaria) (Municipality of Cluj-Napoca (City hall))</p> <ul style="list-style-type: none"> • <u>Capabilities and experiences relevant to the project</u> <p>Local public administration, incorporating all relevant departments to the present project (Energy Efficiency and Public Lighting Department, the Communication, Local Development and Project Management Division, the Town Planning Division, the Council and Local Government Relations Division and the Social and Medical Assistance Division).</p> <p>Through its departments and divisions, Cluj-Napoca collects data on various aspects relevant to the present study. It disposes of an important institutional and stakeholder network at the local, metropolitan, regional and national level. Recently, sustainability and climate change have become important components of the administrative agenda of the local public administration.</p> <ul style="list-style-type: none"> • <u>Function/role in the project proposed</u> <p>Coordination with the implementer in order to achieve the envisaged project outputs and outcomes;</p> <p>Facilitation of research activities: makes all necessary data available to the project research team and facilitate the access to local and metropolitan stakeholders; advise the research team on the optimal ways to reach the research objectives;</p> <p>Outputs facilitation: Facilitates dissemination of project outputs through its online instruments and communication department;</p> <p>Workshop facilitation: Identifies relevant stakeholders and own staff to participate in the workshops;</p> <p>Networking: Disseminates project results through is institutional network at the local, metropolitan, regional, national (through the Mayors' Association) and international level (through the Covenant of Mayors and the European Committee of the Regions).</p> <p>Steering structure of the consortium and envisaged management formats</p> <ul style="list-style-type: none"> • Project administration is assumed by UBB, which will coordinate closely with both implementing partners (adelphi and Cluj-Napoca Municipality). Unless there
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are specific partner related issues, all interaction with the Grantmaker (EUKI) will be managed by UBB, which will coordinate all project-related decisions with the partners.

- **Research activities** will be led by UBB. UBB will coordinate with adelphi on the development, implementation and analysis of climate related data, as adelphi holds the primary expertise in this field within the partnership. On data collection UBB will engage with Cluj-Napoca, who will facilitate the access to existing data and relevant stakeholders.
- **Outputs management:** the development of all resulting information, support, policy tools, reports and other project related outputs is the direct responsibility of UBB; UBB will coordinate with adelphi on the development of all climate components; Cluj-Napoca will integrate and disseminate these outputs in and through its institutional infrastructure.
- **Workshop coordination** is assumed by UBB; adelphi will contribute the climate components involved; Cluj-Napoca will disseminate and facilitate the organization through staff and other resources.
- **Networking and dissemination:** Based on their respective project competencies and institutional networks, all implementing partners will contribute with networking resources, as appropriate to each project activity. UBB will incorporate all these resources in the project activities. Dissemination will be made by the implementing partners in their respective networks based on the outputs issued through the project.



<p>1.4 Current/previous contracts from GIZ</p>	<p>Did your organisation receive any other financing contracts from GIZ in the past 3 years: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please indicate the GIZ contract number: (Only grants that started within the timeframe between 06/2016 and 06/2019 were considered.)</p> <p>UBB: - adelphi: 81218235/81225877, 81216580, 81204424, 81227954, 81230433 Cluj-Napoca Municipality: -</p>
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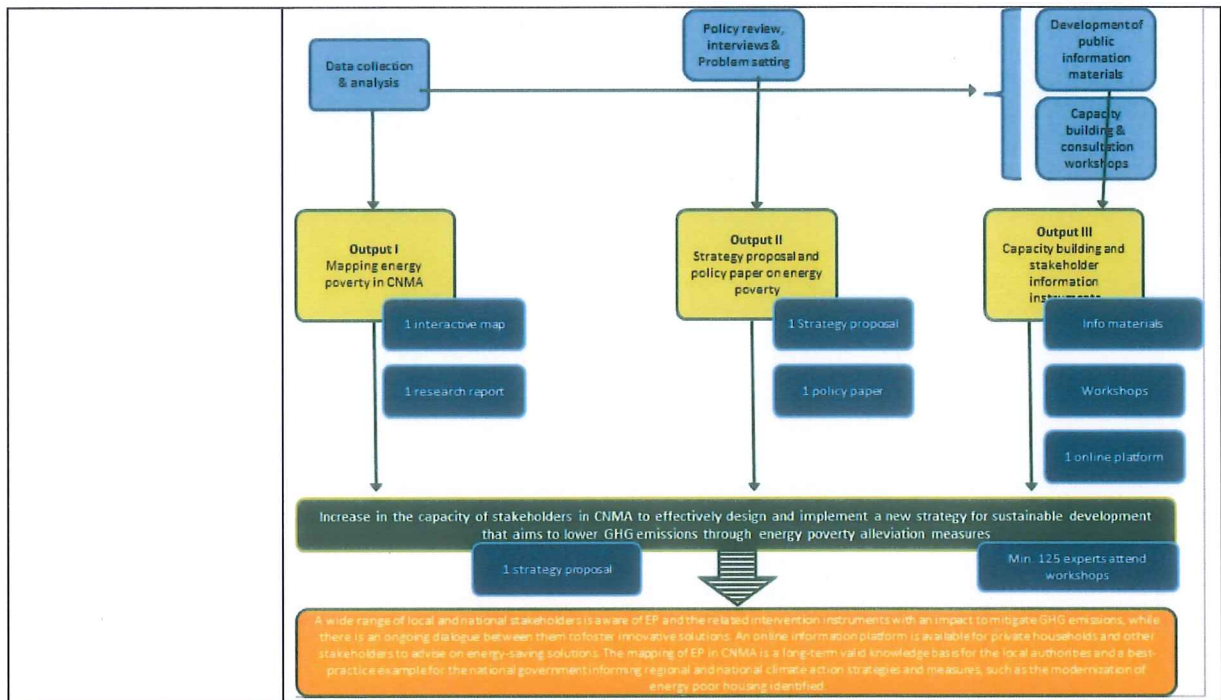
2 Brief description	
2.1 Structured brief description	<p>Energy poverty (EP) affects especially South-Eastern Europe persistently, resulting in high energy demand, GHG emissions and a lower quality of life. This project addresses EP in the Cluj-Napoca Metropolitan Area (CNMA), Romania.</p> <p>The project's key objective is to develop tailored solutions for EP alleviation in order to reduce energy demand and GHG emissions in this region. Furthermore, CNMA's and Romania's climate action capacity shall increase by integrating EP alleviation into the regional and national climate policy strategies. These objectives are met by mapping the socio-spatial dimensions of EP, quantifying the impact of EP on households and GHG emissions, developing an online information platform, delivering a series of stakeholder workshops as well as upscaling and dissemination activities.</p> <p>The 20 districts of CNMA comprise a range of different EP types present in many places all over South-Eastern Europe, making the CNMA an ideal research and policy development area with significant replication and upscaling potential.</p>

3 Problem analysis	
3.1 Initial situation in the target countries/region	<p>EP is a serious issue in Romania, given the share of population affected (~40% of the population, i.e. over 20% households). In 2016, 18% of Romanians had arrears on energy bills (compared to 8% in the EU as a whole) and 13.8% reported not being able to keep their house warm (EU 8.7%). The driving factors are low energy efficiency in housing and household appliances, inadequate consumption habits, limited access to diversified sources, rising energy prices, and low incomes in a typical post-communist environment.</p> <p>The residential sector is the main final consumer of energy. Energy efficiency of the housing stock is low: 157 kWh/sqm/year nation-wide (180 kWh/sqm/year in Cluj-Napoca), whereas half of the residential area is being partly heated, and the heating systems used are suboptimal in terms of efficiency and polluting emissions. There are national objectives to lower consumption by up to 40 kWh/sqm in apartments and by up to 50 kWh in houses by 2030. The carbon footprint of the household sector in 2017 was as high as 6.53 Mt CO₂ equivalent, i.e. 8,6% of total CO₂ emissions in Romania. GHG emissions in the residential sector are 7,67 Mt CO₂ equivalent (i.e. 6,7%). Romania has also set itself an ambitious 49% general reduction target by 2030 compared to 1990.</p> <p>Not all barriers to increase energy efficiency and related climate effects have yet been addressed: EP with its ramifications is not properly understood and integrated into policy-making, especially locally; there is an absence of specific data and hardly any analysis of the correlation between existing data sets, whereas existing data does not materialize in effective policy tools. For all these reasons, there is also a general lack of information and engagement of relevant stakeholders.</p> <p>Cluj-Napoca and CNMA are illustrative of energy poverty in Romania, comprising all its possible factors and negative effects in a very rapidly developing urban setting. Given the situation, public awareness raising and a better preparation of the local decision-makers to take action on the issue and to prepare them for the implementation based on real data indicators is important.</p>
3.2 Stakeholder landscape in the sector	<p>There are three layers of actors that are captured in the project in order to cause the expected changes:</p> <ol style="list-style-type: none"> Key Actor: Cluj-Napoca Cluj-Napoca is key in insuring access to all primary and secondary actors, giving access to the existing data and policy tools and, more generally, to target the issue at the local and national level. Cluj-Napoca will make steps to integrate project results in policy documents and action programmes. Furthermore, it will disseminate the results in its own network of local public administrations and related stakeholders. Primary Actors: Cluj-Napoca Metropolitan area (20 local administrations), associations of tenants and individual home tenants, utility providers for gas, electricity and district heating (mainly E.ON Energie Romania for gas, Electrica S.A. for electricity, Regia Autonoma de Termoficare for district heating, but also

	<p>other providers from the liberalized market) .</p> <p>Data will be collected from the local public administration, the tenants and tenant associations and utility providers in Cluj Napoca. Project outputs will be disseminated at the level of the stakeholders in CNMA, as relevant experts will be engaged in project workshops for training and consultation.</p> <p>3. Secondary Actors: NGOs (in the area of poverty, social housing, climate change), Universities in Cluj-Napoca (Politech, Medicine, Public Administration Departments, etc.).</p> <p>Secondary actors are important in causing awareness raising at the local level and replication of good practices at various levels of decision-making and implementation beyond the geographical limits of this project. NGOs such as Romania Energy Cities, the Mayors Convention, the Western Alliance, the Transylvania Energy Cluster, The Energy Efficiency Association (ARPEE), The Federation of Energy Utility Companies (ACUE) and others, are widely involved through their networks in the policy-making area, whereas universities, such as the Technical University of Cluj-Napoca, UBB, The University of Medicine and Pharmacy Iuliu Hatieganu, play an important role in educating experts and the general public.</p>
<p>3.3 Embedding the project in the target country's climate policy framework</p>	<p>As mentioned before (Point 3.1.) the project activities capitalize on the national situation as it is described in national strategies and policies, and aim to cause changes which are in line with Romania's national objectives. The project synergizes with several policies at the local and national level, as follows:</p> <ul style="list-style-type: none"> • The CNMA 2020 development strategy will incorporate, for the first time, an integrated chapter on energy and climate change. The current project contributes to its groundwork. • The National Integrated Energy and Climate Plans 2021-2030, in accordance with the requirements of the European Commission, set ambitious objectives with regard to energy efficiency (minus 40 kWh/sqm in apartments and minus 50 kWh in houses by 2030) and emissions reduction (Romania has a 49% reduction target of the carbon footprint by 2030), and also states a commitment to energy poverty reduction through improved transmission, distribution and consumption methods, better data collection, monitoring instruments, targeted intervention measures and access to information. • The national strategy on social inclusion and poverty reduction and the associated strategic action plan 2015-2020 aims at reducing EP. The project also synergizes with the Energy Law 123/2012 that defines energy vulnerability and the ongoing debates on upgrading the definition and reforming the energy poverty relief system in line with the situation on the ground. It is in line with the national commitment to adopt an energy poverty action plan. • The local "smart city" strategy adopted in 2018 emphasizes the usage of data-based solutions to local problems and affirms the need for improved efficiency including in the field of energy. The local program to improve energy efficiency (2016), coordinated by the National Energy Regulator, underlines the need to achieve better consumption results in the residential sector.

<p>4 Project concept</p>	
<p>4.1 Target group</p>	<p>Research has shown that people living in EP struggle with a wider set of vulnerabilities and may be less likely to come forward for support. Understanding EP and its impacts, and designing proper solutions locally involves a wide range of actors for data collection, engagement and relief. The current project addresses the following actors:</p> <ul style="list-style-type: none"> • Local authorities in Cluj-Napoca with prerogatives in establishing environmental, housing and energy policies (Cluj-Napoca and at least one of the surrounding administrations of CNMA, local councils, county council, office on housing and building permits, office on energy efficiency, local authorities on social affairs). Local authorities will be engaged through the project in the data collection activity, but will also be informed on the importance and use of the resulting

	<p>policy tools and on how to turn them into effective policies through participation in workshops and the dedicated outputs.</p> <ul style="list-style-type: none"> • Individual tenants and tenant associations will be effectively informed through the resulting online information platform, which will be clear and easy to use, allowing them to evaluate their situation and access individualized decisions on how to improve their energy consumption and related climate effects. According to official data, the number of households in Cluj-Napoca is approx. 130.000, while CNMA includes 170.000 households. • Energy providers, specialized NGOs and universities need to understand the importance of energy poverty, its concrete manifestations, its climate ramifications and possible solutions for this issue. The immediate project objective is for them to access this information including in terms of climate change. Furthermore, they are expected to give feedback on the outputs of the project, thus turning into stakeholders in the policy process. In the long term they will be encouraged to integrate this concern into their activities, to cooperate with other relevant stakeholders on the topic in order to foster innovative solutions. These actors also have a stake in educating the public from different perspectives: providers can offer client-related solutions; NGOs can inform the public and the decision-making process; while universities can integrate the topic into their curricula in order to prepare specialists that are aware of the topic. The tools provided at the end of the project set a baseline for these long-term endeavors.
<p>4.2 Impacts (long-term results)</p>	<p>The long-term impacts cannot be traced back to the project solely, as they also depend on other factors. Still, the vision is to trigger effects until (roughly) 2030. In the best case scenario, the project will contribute to the following developments:</p> <ul style="list-style-type: none"> • Private households and other private and public stakeholders use the online information platform for energy-saving, which will stay available past the project end, and base their actions on the knowledge provided by it; • Synergies are fostered between stakeholders to produce further innovative solutions; • Project results inform regional and national climate action strategies that aim at reducing GHG emission through EP intervention; • Energy-related modernization of buildings inhabited by energy poor households is based on information provided through project outputs, leading to lower GHG emissions and contributing to the national reduction targets for 2030.
<p>4.3 Results logic and capacity development</p>	<p>As illustrated below, the project comprises three logical strings of activities: a data analysis, a policy process and a capacity building string. Each are comprised of a specific set of activities with concrete, quantifiable results, the aim of which is to produce the final outcome of the project, as follows: The first two strings have the purpose of diagnosis of the EP-GHG emissions causal relation and of the policy environment in CNMA. They result in synthetic materials that inform the Strategy proposal, the policy paper (both to be used by the local administration), the online platform and the public information materials (to be used by the target groups based on their specific needs) and will be used to train the stakeholders (min. 125 representatives) on the importance of EP and its climate effects, the situation on the ground and the possible solutions.</p>



Impact

A wide range of local and national stakeholders is aware of EP and the related intervention instruments with an impact to mitigate GHG emissions, while there is an ongoing dialogue between them to foster innovative solutions. An online information platform is available for private households and other stakeholders to advise on energy-saving solutions. The mapping of EP in CNMA is a long-term valid knowledge basis for the local authorities and a best-practice example for the national government informing regional and national climate action strategies and measures, such as the modernization of energy poor housing identified.

Outcome

Increase the capacity of stakeholders at the level of CNMA to effectively design a new strategy for sustainable development that aims to mitigate GHG emissions through energy poverty alleviation. Energy poverty alleviation is integrated in the local policy framework.

Output I	Output II	Output III
Mapping energy poverty in CNMA, analysis of alleviation strategies and related climate effects with a focus on the local level	Strategy proposal and policy paper on energy poverty	Capacity building and stakeholder information instruments

4.4 Outcome (overarching project goal) including indicators

Outcome:
 Increase the capacity of stakeholders at the level of CNMA to effectively design a new strategy for sustainable development that aims to mitigate GHG emissions through energy poverty alleviation. Energy poverty alleviation is integrated in the local policy framework.

Indicators for the outcome:

Outcome indicator 0.1: Capacity building for the CNMA		
Unit	Baseline (start of project)	Target value (end of project)
Number of capacitated stakeholders	0	125 representatives of stakeholders from the target groups
Means of verification and a description of the procedure (data sources, data collection, measurement methods etc.)		
At least 125 experts representing stakeholders from the target groups from the CNMA participated in capacity training and consultation activities in order to learn		

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	<p>how to design and implement a new strategy for sustainable development that aims to mitigate GHG emissions through energy poverty alleviation. Verification via signed participants lists and minutes.</p> <p>Outcome indicator 0.2: Energy poverty alleviation is integrated in the local policy framework</p> <table border="1"> <tr> <td data-bbox="523 383 699 853">Unit Strategy proposal</td> <td data-bbox="699 383 1098 853">Baseline (start of project) - Current national and local policies and legislation on vulnerable consumers, energy efficiency and climate change - No policy framework for energy poverty alleviation on the local and national level - No link made between energy poverty and GHG emissions</td> <td data-bbox="1098 383 1428 853">Target value (end of project) 1 strategy proposal is produced and published on project webpage , highlighting the link between energy poverty and GHG mitigation. This document will be made available to the partner local administration as a policy proposal and will be used in project workshops where various stakeholders and local decision-makers participate.</td> </tr> </table> <p>Means of verification: Existence and publication of a strategy proposal that establishes a data-based impact for sustainable development that aims to mitigate GHG emissions through energy poverty alleviation; integration of strategy proposal in workshop agenda.</p>	Unit Strategy proposal	Baseline (start of project) - Current national and local policies and legislation on vulnerable consumers, energy efficiency and climate change - No policy framework for energy poverty alleviation on the local and national level - No link made between energy poverty and GHG emissions	Target value (end of project) 1 strategy proposal is produced and published on project webpage , highlighting the link between energy poverty and GHG mitigation. This document will be made available to the partner local administration as a policy proposal and will be used in project workshops where various stakeholders and local decision-makers participate.															
Unit Strategy proposal	Baseline (start of project) - Current national and local policies and legislation on vulnerable consumers, energy efficiency and climate change - No policy framework for energy poverty alleviation on the local and national level - No link made between energy poverty and GHG emissions	Target value (end of project) 1 strategy proposal is produced and published on project webpage , highlighting the link between energy poverty and GHG mitigation. This document will be made available to the partner local administration as a policy proposal and will be used in project workshops where various stakeholders and local decision-makers participate.																	
4.5 Outputs (specific project goals) including indicators and work packages (activities)	<p><u>Output I: Mapping energy poverty in CNMA, analysis of alleviation strategies and related climate effects with a focus on the local level</u></p> <p>Indicators for output I:</p> <table border="1"> <tr> <td colspan="3" data-bbox="523 1144 1428 1200">Indicator I.1: Mapping of energy poverty in CNMA.</td> </tr> <tr> <td data-bbox="523 1200 699 1368">Unit Interactive map</td> <td data-bbox="699 1200 1098 1368">Baseline (start of project) Currently available data on energy poverty in CNMA</td> <td data-bbox="1098 1200 1428 1368">Target value and planned date of attainment Interactive map on energy poverty in CNMA, Month 9</td> </tr> <tr> <td colspan="3" data-bbox="523 1368 1428 1503">Means of verification: Based on data from the regional government, analysed through statistical techniques, the project has mapped energy poverty in CNMA. An interactive map has been released.</td> </tr> <tr> <td colspan="3" data-bbox="523 1547 1428 1637">Indicator I.2: Scientific report on mapping energy poverty in CNMA, alleviation strategies and related climate effects with a focus on the local level</td> </tr> <tr> <td data-bbox="523 1637 699 1850">Unit Written report</td> <td data-bbox="699 1637 1098 1850">Baseline (start of project) Analysed data - Current literature and knowledge on energy poverty - No analysis of energy poverty and climate effects in CNMA</td> <td data-bbox="1098 1637 1428 1850">Target value and planned date of attainment Report published, Month 10</td> </tr> <tr> <td colspan="3" data-bbox="523 1850 1428 1951">Means of verification: One published scientific report containing the results of the data analysis at the local level.</td> </tr> </table>	Indicator I.1: Mapping of energy poverty in CNMA.			Unit Interactive map	Baseline (start of project) Currently available data on energy poverty in CNMA	Target value and planned date of attainment Interactive map on energy poverty in CNMA, Month 9	Means of verification: Based on data from the regional government, analysed through statistical techniques, the project has mapped energy poverty in CNMA. An interactive map has been released.			Indicator I.2: Scientific report on mapping energy poverty in CNMA, alleviation strategies and related climate effects with a focus on the local level			Unit Written report	Baseline (start of project) Analysed data - Current literature and knowledge on energy poverty - No analysis of energy poverty and climate effects in CNMA	Target value and planned date of attainment Report published, Month 10	Means of verification: One published scientific report containing the results of the data analysis at the local level.		
Indicator I.1: Mapping of energy poverty in CNMA.																			
Unit Interactive map	Baseline (start of project) Currently available data on energy poverty in CNMA	Target value and planned date of attainment Interactive map on energy poverty in CNMA, Month 9																	
Means of verification: Based on data from the regional government, analysed through statistical techniques, the project has mapped energy poverty in CNMA. An interactive map has been released.																			
Indicator I.2: Scientific report on mapping energy poverty in CNMA, alleviation strategies and related climate effects with a focus on the local level																			
Unit Written report	Baseline (start of project) Analysed data - Current literature and knowledge on energy poverty - No analysis of energy poverty and climate effects in CNMA	Target value and planned date of attainment Report published, Month 10																	
Means of verification: One published scientific report containing the results of the data analysis at the local level.																			

Work package (WP I): Assessment of energy poverty situation in CNMA

Activity (A I.1) Development of a research design (UBB and adelphi)

Based on the baseline situation, UBB and adelphi, each in their respective field of expertise, will design a research protocol that will identify the aims, data needs and research steps. The research design will be based on a brief literature review to identify previous similar methodological approaches.

Activity (A I.2) Operative roundtable (Kick-off meeting) (UBB and adelphi)

A roundtable will be organized with representatives of the three implementing partners and other relevant stakeholders identified in the research protocol. Data needed will be presented. Contacts will be established with the relevant stakeholders. A research agenda will be developed.

Activity (A I.3) Data collection and data analysis (UBB)

Two types of data will be collected: quantitative data on a set of variables determined in A I.1 (such as characteristics of buildings, patterns of fuel consumption, distribution of heating benefits, GHG emissions etc.) and qualitative data through a field research in which households are the units of analysis (the sampling techniques are also determined in A I.1). The qualitative data will complement the quantitative data and will aim to identify household features such as behavioural patterns with respect to fuel consumption, awareness with respect to energy needs, awareness on the impact of behaviour over the environment etc.

Data collection will be coordinated by the UBB and facilitated by Cluj-Napoca. adelphi will continuously be informed about the progress and possible obstacles of data collection and ensure the research design is followed.

The data analysis will be performed through specific techniques and software, depending on the nature of data.

Activity (A I.4) Development of an interactive map on energy poverty in CNMA (UBB)

In close cooperation with Cluj-Napoca and based on data and data analyses under A I.3, energy poverty is mapped for CNMA. The interactive map will be developed to incorporate all collected information in an easy to use instrument that will juxtapose energy poverty with climate data to give a graphic representation and geovisualization tool. The interactive map is planned to be released for the public via the online platform using specific open source Web GIS services (Activity A III.5).

Activity (A I.5) Preparation and publication of the scientific report (UBB)

The scientific report on EP in CNMA, including the detailed mapping of EP in this region, based on is prepared during this activity. The methodology and data collected will be explained in detail and according to state of the art scientific standards.

Output II: Strategy proposal and policy paper on energy poverty

Indicators for output II:

Indicator II.1: Strategy proposal on the current local situation on energy poverty alleviation in the Romanian national context

Unit	Baseline (start of project)	Target value and planned date of attainment
Strategy Proposal	0	1 strategy proposal published Month 17

Means of verification:

One strategy proposal for CNMA which includes the assessment of the current situation, strategic priorities and subsequent action plans.

<p>Indicator II.2: Policy paper on the interlinkages between energy poverty alleviation and GHG mitigation</p>		
<p>Unit Policy Paper</p>	<p>Baseline (start of project)</p> <p>0</p>	<p>Target value and planned date of attainment</p> <p>1 policy paper published Month 17</p>
<p>Means of verification: One policy paper on the interlinkages between energy poverty alleviation and GHG mitigation in Cluj-Napoca is published.</p>		
<p>Activities corresponding to output II:</p> <p><u>Work package (WP II): Research on energy poverty, including alleviation strategy development</u></p>		
<p>Activity (A II.1) Policy analysis and categorization (UBB and adelphi)</p> <p>Local and national policies and measures related to energy poverty will be reviewed in a desk review in order to establish their interaction, hierarchy and possible impact. This activity will be mainly performed by UBB as all policy texts are in Romanian. adelphi will be briefed on the process and its conclusions. Subsequently UBB and adelphi will work together on identifying the main systemic issues, will group them together into categories and prioritize them in terms of importance.</p>		
<p>Activity (A II.2) Semi-structured interviews with stakeholders and best-practise consultation (UBB and adelphi)</p> <p>This activity has two components. On one hand semi-structured interviews which will be performed by UBB with national and local decision-makers in order to clarify questions raised during the policy desk review. Secondly, based on the problems identified, consultations will be held by adelphi with international experts to gain knowledge in creation and implementation of energy poverty policies. This is an activity based of exchange of good practices.</p>		
<p>Activity (A II.3) Preparation of a strategy proposal on the current local situation on energy poverty alleviation in a national context (UBB)</p> <p>The previous results gained will be wrapped up in a strategy proposal for CNMA that will match the conclusions of the assessment report in WP I. An evaluation of possible national policy solutions will also be performed, while identifying those which are most promising for energy poverty alleviation. The proposal will devise strategic priorities and subsequent action plans.</p>		
<p>Activity (A II.4) Preparation of a policy paper (adelphi)</p> <p>Based on a literature review, the best practice analysis and the identification of the main systematic issues in energy poverty alleviation, adelphi will prepare a policy paper on the interlinkages between energy poverty alleviation and GHG mitigation.</p>		
<p><u>Output III: Capacity building and stakeholder information instruments</u></p>		
<p>Indicators for output III:</p>		
<p>Indicator III.1: Availability of information materials for identified categories of relevant stakeholders</p>		
<p>Unit Information Material</p>	<p>Baseline (start of project)</p> <p>0</p>	<p>Target value and planned date of attainment</p> <p>Three sets of information materials to address identified categories of stakeholders: e.g. Policy-makers; tenants and tenant associations;</p>

		other local stakeholders. Month 16
Means of verification: Information materials published for identified categories of relevant stakeholders.		
Indicator III.2: Capacity building workshops		
Unit Workshops	Baseline (start of project) 0	Target value and planned date of attainment 3 capacity building workshops will be held for different stakeholder groups Months 12, 14 and 17
Means of verification: 3 capacity building workshops. Verification via participant lists, presentations and protocols.		
Indicator III.3: Online platform		
Unit Online platform	Baseline (start of project) 0	Target value and planned date of attainment Online platform released for the public Month 18
Means of verification: An online platform for the visual content, information material and data is released to the public. A service contract shall make the information available until 2030.		
Activities corresponding to output III:		
<u>Work package (WP III): Capacity building and stakeholder information instruments</u>		
Activity (A III.1) Development of information materials (UBB and adelphi)		
Information materials will be developed by UBB and adelphi to include concise information in an easy to understand language, and appropriate graphic presentation. The information materials can be targeted at the following stakeholders: policy-makers; tenants and tenant associations; other local stakeholders in CNMA. The most relevant stakeholders for the information materials will be identified based on the results of WP 1.		
Graphic design will be made available by UBB and a constant interaction with the stakeholders will be maintained in order to make sure that materials address their needs appropriately. Also, a master power point presentation will be made available to be used by the implementing partners during their networking activities.		
The information materials will be made available in English and Romanian language.		
Activity (A III.2) Workshop 1 – Local decision-makers from CNMA (UBB)		
This workshop has two main functions: on the one hands it will seek to inform local stakeholders on the ongoing project activities and on the other hand it will act as a consultation workshop at which information materials and policy proposals will be refined in order to better serve the beneficiaries. Based on this twofold objective, the workshop will have two components. First, materials will be presented to stakeholders. Second, input will be taken for the draft strategy proposal, corresponding to Output II. Conclusions will feed into the existing information documents and the metropolitan strategy proposal. Cluj-Napoca will support the		

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	<p>stakeholder participation.</p> <p>Activity (A III.3) Workshop 2 – Local and national stakeholders (different municipalities, NGOs, tenant associations, energy suppliers) (UBB and adelphi)</p> <p>Based on the experiences from the first workshop a second capacity building workshop will be held in Cluj, aiming at a greater variety of stakeholders, namely different municipalities, NGOs, tenant associations, energy suppliers. In particular, knowledge on the interlinkage of EP action, reduction of energy demand, and GHG mitigation will be trained. Responsible for the joint organisation of the workshop are UBB and adelphi.</p> <p>Activity (A III.4) Workshop 3 – Policy-makers and experts (UBB and adelphi)</p> <p>By incorporating input from the previous two sessions, this workshop will act as a final presentation of instruments and the final strategy outline by seeking to incorporate the interaction component between actors. This activity will be performed at a stage where all information materials have been issued, and in the process of elaborating the strategies, after the strategy proposal and policy paper have been compiled. Conclusions will feed into the existing information documents and the metropolitan strategy proposal. Responsible for the joint organisation of the workshop are UBB and adelphi.</p> <p>Activity (A III.5) Development of online-platform (adelphi and UBB)</p> <p>An online platform providing information on how to save energy in private households and providing specific low-cost investment recommendations on how to alleviate EP will be set up at the beginning of the project and updated with content as soon as it is made available. The online platform will contain the visual content, information material and data from the interactive map built up in Activity A I.3. The information materials from activity AIII.1 will be stored here as well. The online platform will be developed by adelphi, translation and interactive map will be provided by UBB.</p> <p>The platform will be made public in English and Romanian language and made available until 2030.</p> <p>Activity (A III.6) Workshop 4 – Good practices from EUKI network delivered to policy-makers (UBB)</p> <p>The purpose of this workshop, organized by UBB, will be to present examples of good practices of dealing with energy poverty related issue, implemented in other member states. The good practices will be identified through the EUKI network and will envisage at least three other projects, such as EnPover Municipalities from Poland. A group of at least 20 key decision makers from the CNMA area will attend the workshop. The content and the information material will present the results of our project and of the invited projects and are aimed at offering a broader, cross-national, complementary perspective on energy poverty issues, the environmental impact, and local approaches and policies aimed at tackling the phenomenon.</p>
<p>4.6 Technical, political and economic risks</p>	<p>Risk 1: Insufficient data availability</p> <p>Extent of risk and degree to which it can be influenced:: Medium / High</p> <p>Strategy to minimise risk: This risk addresses mainly WP1. The data we envisage to collect in order to produce Output 1 (assessment report) should be collected at the level of the city hall, which gave its written consent to provide access to the data. However, some of this data might be unavailable or available only in difficult formats to work with. For instance, data will be collected on the characteristics of the building stock (construction year, renovations, materials used, specific heat capacity, etc.). For buildings older than five decades, the information might be scarce or in formats that are not compatible with newer formats.</p> <p>To tackle this risk, agreement has been received from Cluj-Napoca to access older archives. Data collection tools will be developed in order to allow for faster collection and analysis of data regardless of the format. Furthermore, this risk can be significantly reduced by applying a representative data collection methodology at the</p>

	<p>level of single neighbourhoods.</p> <p>Risk 2: Lack of political will to cooperate Extent of risk and degree to which it can be influenced: Low / High Strategy to minimise risk: Local elections will take place in June 2020 and there is a chance that some of the delegates present the project at the level of the city halls and within the CNMA might change. This might result in a change of attitude towards our project and in a lesser will to allow for both the implementation of the project activities and the transmission of project results into local policies. This way, Output II and Output III, as well as the long-term impact expected might be negatively influenced.</p> <p>As we work closely with local politicians in the main parties active in Cluj-Napoca and within the CNMA, we expect to ensure smooth transitions from old to new local administrations even if significant changes within the political setup should take place.</p> <p>Risk 3: Lack of interest of the public and media Extent of risk and degree to which it can be influenced: Low / High Strategy to minimise risk: The success of our project implies a good cooperation with the media and a good coverage of our activities and outputs.</p> <p>To minimise the risk of not receiving sufficient media coverage, we will constantly work with the local media. Events and project progress will be accounted for in local written and online media with project aims explained in order to raise awareness on the topic, whereas project outputs will be highly visible both in the media and on the website of Cluj-Napoca. Moreover, a group of specialized local journalists will be identified and included in the project activities in order to build up their knowledge on EP and the link between EP and climate change in the long term. UBB possesses significant experience in the area of public dissemination of own initiatives and activities due to its facile access to media resources through the in-house Department of Media and Journalism and due previous media engagements.</p>
4.7 Ensuring sustainability	<p>An integration of the project results into the policies of Cluj-Napoca is the intended impact of this project. While this cannot directly be influenced by the project team, the foundation for it is laid out with the strategy proposal (Output III) with suggestions for EP alleviation customized for the local context. It should be mentioned that there is high political endorsement for solutions aiming at improving sustainability, efficiency and curtailing climate-change.</p> <p>There are is important upscaling potential due to a number of assets: The open dialogue between UBB and various local administrations on improving decision-making; the existing dialogue with all the important local and national stakeholders on EP; the CNMA 2020 development strategy has been replicated for years by municipalities around Romania which can serve as a good indicator also for future dissemination at the level of local development strategies across the country. The involvement of at least one more municipality of CNMA in the project and dissemination in the area are other first-hand upscaling guarantees; Cluj-Napoca is active in the national mayors' association, is party to the consortium of the four most developed municipalities in Romania (with Oradea, Arad, Timisoara) with an important sustainability agenda and with a large national exposure.</p> <p>Online instruments, reports and information materials will be public.</p> <p>Cluj-Napoca's active Committee of the Regions position and of the Covenant of Mayors; the local clusters' network provides important European and international exposure. The project results can easily be replicated for other European partners by UBB through its own academic network, that of the partner Technical University, the EP COST Action of which it is part. On the other hand, adelphi can implement similar projects in other EU countries.</p>

5 Contribution to the goals of the EUKI							
EUKI standard indicators	Contribution of the project's results to one or more EUKI standard indicator is highly desired though not mandatory for project financing.						
	<input checked="" type="checkbox"/> <i>Building knowledge and raising awareness for climate action in partner countries</i>						
	<table border="1"> <thead> <tr> <th>Unit</th> <th>Target value</th> </tr> </thead> <tbody> <tr> <td>Number of participants at conferences, workshops and/or other training measures to strengthen knowledge and raise awareness in the field of climate change mitigation</td> <td>Min. 125</td> </tr> </tbody> </table>	Unit	Target value	Number of participants at conferences, workshops and/or other training measures to strengthen knowledge and raise awareness in the field of climate change mitigation	Min. 125		
	Unit	Target value					
	Number of participants at conferences, workshops and/or other training measures to strengthen knowledge and raise awareness in the field of climate change mitigation	Min. 125					
	Please indicate <u>sources of verification</u> for assessing the target value and list activities from 4.5 which contribute to fulfilling this indicator. A I.1, III.1, III.2, III.3, III.4, III.6 Participants lists, workshop protocols and presentations.						
	<input checked="" type="checkbox"/> <i>Capacity development and networking for key state, civil society, economic, education, scientific and municipal actors to support transformative processes in partner countries</i>						
	<table border="1"> <thead> <tr> <th>Unit</th> <th>Target value</th> </tr> </thead> <tbody> <tr> <td>Number of trainings/ coachings/ networking events</td> <td>At least 3</td> </tr> <tr> <td>Number of key state, civil society, economic, education policy, academic and/or local stakeholders that – as a result of the project and its measures – support or initiate transformative processes for climate change mitigation</td> <td>Min. 125</td> </tr> </tbody> </table>	Unit	Target value	Number of trainings/ coachings/ networking events	At least 3	Number of key state, civil society, economic, education policy, academic and/or local stakeholders that – as a result of the project and its measures – support or initiate transformative processes for climate change mitigation	Min. 125
	Unit	Target value					
	Number of trainings/ coachings/ networking events	At least 3					
Number of key state, civil society, economic, education policy, academic and/or local stakeholders that – as a result of the project and its measures – support or initiate transformative processes for climate change mitigation	Min. 125						
Please indicate <u>sources of verification</u> for assessing the target value and list activities from 4.5, which contribute to fulfilling this indicator. A I.1, III.1, III.2, III.3, III.4, III.6 Participants lists, workshop protocols and presentations.							
<input checked="" type="checkbox"/> <i>Dissemination and/or transfer of good practices on climate action from one Member State to another taking, while ensuring the practices are prepared appropriately for the given target group.</i>							
<table border="1"> <thead> <tr> <th>Unit</th> <th>Target value</th> </tr> </thead> <tbody> <tr> <td>Number of specific examples of good practices from a member state that are taught in an appropriate way for the target group in at least one other member state and are disseminated via specialist, social and general media</td> <td>At least 3 examples</td> </tr> </tbody> </table>	Unit	Target value	Number of specific examples of good practices from a member state that are taught in an appropriate way for the target group in at least one other member state and are disseminated via specialist, social and general media	At least 3 examples			
Unit	Target value						
Number of specific examples of good practices from a member state that are taught in an appropriate way for the target group in at least one other member state and are disseminated via specialist, social and general media	At least 3 examples						
Please indicate <u>sources of verification</u> for assessing the target value and list activities from 4.5, which contribute to fulfilling this indicator. Information material prepared for the final workshop. A III.6							
<input type="checkbox"/> <i>Third-party applications with a focus on climate or energy that have emerged from the project.</i>							
<table border="1"> <thead> <tr> <th>Unit</th> <th>Target value</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>	Unit	Target value					
Unit	Target value						

	<p>Number of planned project applications focusing on climate or energy issues in a supraregional or cross-border programme in the EU that are to be initiated or prepared by the EUKI project consortium</p>	
	<p>Please indicate <u>sources of verification</u> for assessing the target value and list activities from 3.2.4, which contribute to fulfilling this indicator.</p>	

<p>6 Mainstreaming/ Interaction with European cooperation projects and other relevant aspects</p>		
<p>6.1 Visibility of the project</p>	<p>The project activities will be visible through its outputs (reports, online information platform, information materials, workshops) which will be covered in the media (local, and more specialized national media to which access has already been established) for the information of the general and more specialized public. Through the involvement of key stakeholders in workshops, high visibility is being insured at various levels: local administration and indirectly to the associated networks, national decision-makers, the relevant private (energy providers) and NGO sectors, and the academic milieu, both through the involvement of the universities and through an ensuing academic publication resulting from the project findings.</p> <p>All implementing partners will feature project milestones via news on their web pages (in English and Romanian respectively) and their social media channels, which in UBB's and adelphi's case have international reach. Using a master PowerPoint presentation of the project, the partners will present project results at various conferences and networking events.</p> <p>All outputs resulting from the project activities will be freely available online and will make reference to EUKI/GIZ as grant-maker and facilitator of the project with attached links to the websites of these entities.</p>	
<p>6.2 Networking and synergies</p>	<p>There is synergy with local energy efficiency initiatives of the administration and Technical University of Cluj, such as the activity of the energy efficiency office and the city energy manager for the public sector. The local authority conducts information campaigns on saving energy in households and other sectors, establishing a relation between energy consumption and GHG emissions. It merges with the local priority to certify buildings energetically. The local authority employs EU funding (FEDR) aimed at increasing energy efficient consumption with an impact on climate change, national funding, EEA Grants to reduce socio-economic disparities. However, none of these programmes includes the household level and EP more precisely. The project integrates EP into these agendas and into the mandates of relevant stakeholders (the household, building permits and social affairs offices, etc).</p> <p>Synergies will also be established with the social affairs offices that handle heating aid benefits, dispose of important databases on the households, but have not effectively employed them to combat EP.</p> <p>The project capitalizes on research on indicators, methods and public policy precedents developed within the EP COST Action, the Covenant of Mayors and the ENERFUND.</p> <p>Moreover, the team collaborates with Ashoka and the Schneider Electric Foundation, which are currently running a program to fight EP through social entrepreneurship.</p>	
<p>6.3 Knowledge management</p>	<p>This project will capitalize on the existing knowledge and good practices elsewhere. It will seek to exchange and harvest knowledge at the level of research methods, solutions and policy recommendations. For this purpose, it will perform a literature review, a policy review and semi-structured interviews with national and international academic and policy experts identified in the knowledge-producing network of the ENGAGER COST Action and otherwise (Energy Poverty Observatory, Covenant of Mayors, individual networks, etc.). The knowledge thus</p>	

	<p>harvested will be reflected in all outputs.</p> <p>Knowledge will be produced through data collection, resulting in a better understanding of the interlinkage between EP and climate change at the local level. This will allow for the customary development of solutions, which is a scientific precedence in itself, acting as good practice with relevance for similar initiatives elsewhere. All resulting instruments (from research report, to the policy paper, strategy proposal and online information platform) will be used to share the knowledge produced, as they will be freely available online in Romanian and English. Project activities and outcomes will be disseminated in field-related conferences, at the level of the annual EUKI exchange workshop in Berlin and the COST Action by using the materials produced by the project (including a comprehensive and visual master PowerPoint presentation). Academic knowledge exchange will be fostered through the publication of at least an academic article on this case study in a prestigious academic journal, and by searching future research partnerships for compared studies in order to enhance knowledge through a comparative approach.</p> <p>Project outputs will incorporate the resulting project-specific knowledge to target the various target groups of the project according to their needs: the implementing partners will benefit from the knowledge on the interaction between EP and climate change at the local level; local authorities of CNMA, utility companies, NGOs and academic institutions will be made aware of this causal nexus. Through capacity building workshops stakeholders will gain practical knowledge on the availability and use of policy tools in their respective sectors. Due to the existing communication networks, the replication and knowledge exchange and creation potential of the project results are considerable in the long run, as this project hopes to inform policy processes at all levels.</p> <p>The project also aims at building up awareness of the phenomenon and the available solutions with households through the information materials and the online information platform by offering solutions, which are tailored to their needs. To serve these purposes, implementing partners will also seek a good coverage of project milestones in the media, on their web pages and social media channels, and the engagement of journalists in project workshops.</p> <p>Knowledge exchange will also happen between target groups and the implementing partners as workshops will also act as consultation platforms, where feedback will be expected on the project outputs.</p>
<p>6.4 Self-assessment on the relevance of the project in terms of state aid</p>	<p>The proposed project activities to be carried out do not constitute economic activities in the sense of European legislation on state aid (Commission Notice on the notion of State Aid as referred to in Article 107(1) of the Treaty on the Functioning of the European Union "(OJ EC 2016, C 262 / 01), neither does it conflict with any other type and source of public funding. Activities sought through the present project are not offered by any economic stakeholder with a commercial purpose and the market for this topic is non-existent in an economic sense, but they rather set in the political field. Furthermore, no company will be directly benefiting from the project activities and their results. The target groups addressed (stakeholders like policy makers and civil society organisations but also tenants) are interested in the area of GHG reduction and show great willingness to reduce emissions, but lack the necessary knowledge to implement them with regard to energy poverty. This project constitutes the first initiative for joint capacity building around GHG reduction through EP measures, and data-based solutions for public use in CNMA.</p> <p>There is no possibility to distort competition. The results of the project will be made available to the public free of charge. An effective knowledge transfer is ensured within the framework of the dissemination activities. There is no intention to develop proprietary rights or other exploitable products within the framework of the project. As a result, there will be no own commercial exploitation of the project results, neither by implementing partners, nor by a specific company.</p>
<p>6.5 Other aspects relevant to financing</p>	<p>UBB has an own contribution of 4800 Euro, covering the organization of three workshops (activities III.2, III.3, III.4), each budgeted at 1750 euro. The amount includes a financial contribution (catering, coffee-breaks) and an in-kind contribution. The in-kind contribution consists of three components: 1) the room</p>

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where the workshops will be hosted, evaluated against an hourly rate established according to internal university regulations, 2) the in-house design of materials to be used at the workshops, and 3) the printing of the materials. The last two components will be handled by the Media Center of the University.

The 5000 euro of the third-party funding offered by Association Center for the Study of Democracy will cover 800 euro in expenses for the organization of the kick off meeting with operatives in Month 1, and the salary for a 12-month contract at 50% (6 PM) for one member of the project team.

Annex 1:

Implementing partner(s) (if applicable)		
1 st Implementing partner	Name	adelphi research gGmbH
	Department	Energy Department
	Additional address	-
	Street No.	Alt-Moabit 91
	Postal code, town/city	10559 Berlin
	Country	Germany
	Institution	Academic/research institution
	Website	https://www.adelphi.de/en
	Legal structure	Legal entity of its own
	Contact person	Andreas Schneller
	Telephone number	+49 30 8900068-262
	Email address	schneller@adelphi.de
	Total staff	110 (53 permanent)
	Staff for the project	30
	Year established	2001
	Turnover [EUR/year]	5,802,882 EUR/2015 7,248,940 EUR/2016 9,353,673 EUR/2017 9,500,000 EUR/2018 (estimate)
	Experience in the target region [years]	12
Experience in activities relevant to the project [years]	18	
2 nd Implementing partner	Name	Municipality of Cluj-Napoca (City hall)
	Department	Communication, Local Development and Project Management Division
	Additional address	-
	Street No.	Motilor 1-3
	Postal code, town/city	400001, Cluj-Napoca
	Country	Romania
	Institution	Local authority
	Website	www.primariaclujnapoca.ro
	Legal structure	Legal entity of its own, non-profit status
	Contact person	Dalila Ciucan
	Telephone number	+40744151898
	Email address	dalilaciucan@yahoo.com
	Total staff	104
	Staff for the project	3
	Year established	-
Turnover [EUR/year]	2,019,653,110 EUR/2018	
Experience in the target	-	

	region [years]	
	Experience in activities relevant to the project [years]	12

Description / category of expenditure	2019			2020			2021			2022			Sum (all project periods)			A single item/expenditure may only be financed partly by GZ/EU/ other party by beneficiary-party funding		
	Output	Amount	Eligible up to in EUR	Amount	Unit	Eligible up to in EUR	Amount	Unit	Eligible up to in EUR	Amount	Unit	Eligible up to in EUR	Amount	Unit	Eligible up to in EUR		(up to) TOTAL in EUR	(up to) TOTAL in EUR
1. External expertise 1. External expertise 1. External expertise		0		0	subcontract		0	subcontract		0	subcontract		0	subcontract				
2. Personnel																		
Project manager: energy efficiency, reporting on behalf of the city hall - 6 months, 25%	1, 2, 3	0.5	1,966	1,966	1 person month	5,897	0	subcontract	655	0	person month	1,866	1,866	1,866	8,846	8,846	up to beneficiary funds	
Project assistant: data collection support - 6 months, 25%	1, 2	0.5	983	1,966	1 person month	1,966	0	person month		0	person month	1,866	1,866	1,866	2,849	2,849	up to beneficiary funds	
Union officer, communication with network of stakeholders - 18 months, 25%	2, 3	0.5	328	1,640	1 person month	1,640	1	person month	655	0	person month	655	655	655	2,849	2,849	up to beneficiary funds	
		0					0	person month		0	person month							
3. Travel																		
		0					0	tips		0	tips		0	tips				
4. Other																		
		0					0	specify unit		0	specify unit		0	specify unit				
5. Administration																		
Administration costs (of all GZ-financed direct expenditures)		0%	2,284	5,897	0%	655	0%	of	655	0%	of	655	0%	of	8,846	8,846	up to beneficiary funds	
Grand Total (up to - against evidence)*			2,284	5,897		6,552			6,552							8,846	8,846	

*All budget lines (with the exception of the administration costs) will be settled against evidence.

adelphi research gemeinnützige GmbH	Description / category of expenditure	Output	Sum (all project periods)					A single item/expenditure may not be financed partly by GIZ/EUKI and partly by own/third-party funding.		
			Amount	Unit	up to in EUR Eligible up to	in EUR (up to)TOTAL in EUR	Total GIZ/EUKI Contribution in EUR (up to)Total GIZ/EUKI Contribution in EUR (up to)	own funds (Final recipient) - up to - own funds (Final recipient) - up to -	third-party funds - up to - third-party funds - up to -	
1. External expertise 1. External expertise			0	specify unit	-	-	-	-	-	-
N/A										
2. Personnel						41,020		39,340	1,680	
Project Manager: project coordinator adelphi, technical expertise, reporting - 18 m. à 20%	1, 2, 3		3.6	person months	4,800	17,280		17,280		
Senior Project Manager: technical consultation - 18 m. occasional participation	1, 2, 3		0.6	person months	7,200	4,320		4,320		
Senior Project Manager: development & management of online platform - 12 m. à 10%	3		1.2	person months	5,700	6,840		6,840		
IT Manager: conception of online platform - 3 m. à 10%	3		0.3	person months	5,600	1,680		1,680		
Project Manager: technical support & data analysis - 16 m. à 10%	1, 2		1.6	person months	4,800	7,680		7,680		
Project Assistant: literature research, support to data analysis - 14 m. à 10%	1, 2		1.4	person months	2,300	3,220		3,220		
3. Travel						4,410		4,410		
Inner-European project related travels (1 person in 2019 & 2021, 2 people in 2020, costs incl. flight/train ticket, accommodation, per diems, local train tickets, av 2-3 days)	1, 3		6	trips	735	4,410		4,410		
4. Other						4,970		3,770	1,200	
Design and printing of workshop material	3		3	workshop	90	270		270		
IT services for setting up of online platform	3		1	online platform	1,200	1,200		1,200		
IT services for maintenance of online platform	3		1	online platform	3,500	3,500		3,500		
5. Administration						4,752		4,752		
Administration costs (of all GIZ-financed direct expenditures)			10%	of	47,520	4,752		4,752		
Grand Total (up to - against evidence)*						55,152		52,272	2,880	-

*All budget lines (with the exception of the administration costs) will be settled against evidence.

Babes-Bolyai University		Sum (all project periods)					A single item/expenditure may not be financed partly by GIZ/EUKI and partly by own/third-party funding.			
Description / category of expenditure	Output	Amount	Unit	Eligible up to in EUR	(up to)TOTAL in EUR (up to)TOTAL	EUKI Contribution in EUR (up to)Total GIZ / EUKI Contribution in EUR (up to)Total GIZ / EUKI Contribution	Co-funding		Co-funding	
							- up to - own funds (Recipient/ final recipients)	- up to - own funds	- up to - third-party funds	- up to - third-party funds
1. External expertise		0		specify unit	-	-	-	-	-	-
2. Personnel					72,292	68,092				4,200
Project manager: overall coordination, data analysis, financial reporting - 18 months, 12.5%	1, 2, 3	2,25		person months	10,800	10,800				
Project manager: organization of events, policy proposals, dissemination - 18 months, 50%	1, 2, 3	9		person months	27,900	27,900				
Project assistant: data analysis communication, online platform management, literature and policy review - 18 months	1, 2	18		person months	10,494	10,494				
Project assistant: communication, preparation of final policy documents, translations - 4 months, 50%	3	2		person months	4,200					4,200
Project manager: mapping techniques, data analysis - 16 months, 50%	1, 2	8		person months	9,448	9,448				
Project assistant: data collection, technical support and maintenance - 18 months, 50%	1, 2	9		person months	9,450	9,450				
3. Travel					2,800	2,800				
Travel to EUKI exchange workshop (including plane ticket, accommodation, per diem)		4		trips	2,800	2,800				
		0		trips	-	-				
4. Other					8,650	2,600		5,250		800
Operative roundtable in November 2019 (including catering, coffee breaks)	1	1		workshop	800					800
Workshop 1 – decision-makers from CNMA (including internal preparation of working material, catering, coffee breaks)	3	1		workshop	1,750		1,750			
Workshop 2 – stakeholders (NGOs, private providers, associations of tenants)	3	1		workshop	1,750		1,750			
Workshop 3 – mixed stakeholders + policy-makers (including internal preparation of working material, catering, coffee breaks)	3	1		workshop	1,750		1,750			
Workshop 4 – good practices from EUKI network for policy makers (including catering, material preparation, coffee breaks)	3	1		workshop	2,600		2,600			
5. Administration					-	-				
Administration costs (of all GIZ-financed direct expenditures)		10%		of	73,492	7,349				
Subtotal					91,091	80,841		5,250		5,000
6. Forwarding of funds					63,998	61,118		2,880		-
adelphi research gemeinnützige GmbH					55,152	52,272		2,880		-
Municipality of Cluj-Napoca (City hall) / Municipiul Cluj-Napoca (Primaria)					8,846	8,846		-		-
Final recipient 3 (name of organization)					-	-		-		-
Grand Total (up to - against evidence) *					155,089	141,959		8,130		5,000

*All budget lines (with the exception of the administration costs) will be settled against evidence.

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