



Design of UP-STAIRS Energy Service OSS Framework

Deliverable 2.2 - WP2

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List of Acronyms

CEC – Citizen Energy Communities

EE – Energy Efficiency

EPC – Energy Performance Contracting

ESCO – Energy Service Companies

GA – Grant Agreement

IC – Implementation Champions

LEC – Local Energy Communities

MFB - Multifamily buildings

OSS – One-Stop-Shop

PV - Photovoltaics

RE – Renewable Energies

REC – Renewable Energy Communities

SEC – Sustainable Energy Communities

SFB - Single family buildings

BMF – Business Model Framework

1. Executive summary

This report has been developed in the framework of the H2020 project UP-STAIRS, within the WP2 on the Development of UP-STAIRS framework and methodology for collective action.

The main objective of this report is to define a common and standardized baseline for the implementation of One-Stop-Shops (OSS) to support collective actions on sustainable energy and facilitate its replication across other European countries. This involves the design of several elements for the operation of the service, the different aspects that need to be considered when implementing a service to support and accompany collective actions, which is crucial to success.

This design has been based on the main outputs from the research carried out previously, and that have been presented in the Deliverable 2.1. During this research, the main factors constituting 25 OSS research projects at EU level and 18 OSS business cases have been studied and many conclusions drawn based on the lessons learnt from these previous experiences.

Furthermore, several sessions or focus groups have been held with the partners in order to collectively develop the Business Model Canvas, the specific services structure, and the end-user journey for the UP-STAIRS OSS, considering common aspects in all the future pilots, and thus identifying potential commonalities to be considered for the setup of an OSS to support collective actions in any European country.

More research has been carried out also for the definition of other key aspects like the financing schemes to support collective actions and the governance and mediation processes for providing support to citizens.

After this process, the final OSS Framework has been outlined, and this common framework will be used as a basis for the development of the Deliverable 2.3 where it will be adapted to the local contexts in each pilot region.

2. Objectives

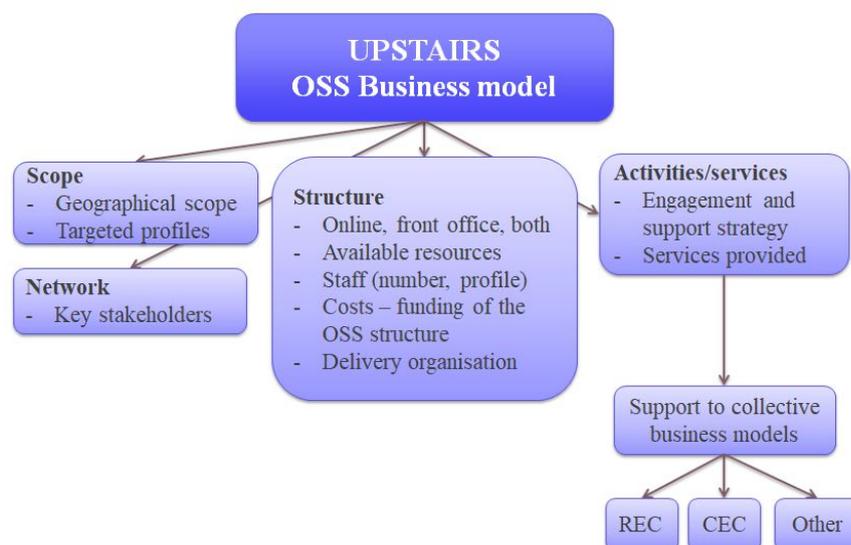
The aim of this document is to develop a Standardised Energy Service OSS Framework and related processes for collective actions in Sustainable Energy Communities (SEC). A flexible set of Business and Financial Models for collective actions is also studied and described, and the rules for Governance and Mediation Processes defined.

The OSS Framework has considered the different profiles of end-users to be tackled in different pilots and the design of the specific value proposition for them. This aspect has to be better tailored case by case depending on each regional or local context.

The process of design also involves the identification of training and resources' needs for the setup of the OSS, in order to develop a training package for the Implementation Champions and the upskilling of the delivery organisations' staff.

The main features considered in the design of the framework are related to:

- The **scope of the OSS service**: considering the geographical outreach of the service, the profiles of targeted citizens and the capabilities of the pilot local authorities.
- The **network of stakeholders** needed to put in place the service (both internal in the delivery organisation and external, like service providers)
- The **structure**: the needs of the service to be actually implemented, namely the need of front offices or online platforms, the creation of synergies with existing services, the resources available within the delivery organisation, the staff, among others.
- The **activities organised by the OSS and the services provided**: this involves a specific value proposition for the end-users (the support services offered), tailored for each pilot involved in the project and also other activities implemented to reach the target groups and keep them engaged in the process.



3. Methodology

The methodology used for the design of the OSS framework consists of a mix of desk research and qualitative research using focus groups and peer-to-peer feedback from the pilots participating in the UP-STAIRS project. Especially the inputs from the public authorities participating in the project and their views related to the actual implementation of the service according to their previous expertise, their knowledge of the regional context, and their available resources and staff have been used to build a common framework that can be adapted to other public administrations of different size and countries.

PHASE 1 – Research of lessons learnt from previous OSS experiences: a first step has been to analyse and compare the lessons learnt and success factors from previous OSS implemented throughout Europe. Desk research and interviews have been carried out to collect the relevant information from the selected initiatives. The outputs of this research have been gathered in the Deliverable 2.1.

PHASE 2 – Brainstorming on each UP-STAIRS’ pilot ideas for the OSS: a factsheet has been elaborated and distributed among the partners implementing the pilots in order to collect the first thoughts on how they pictured the OSS in their region. The main goal was to identify how aligned are they, as well as typical barriers or needs of an UPSTAIRS authority.

PHASE 3 - Qualitative research and exchange with the UPSTAIRS’ partners: from the previous brainstorming, common aspects have been outlined. The idea was to start from the local views of the partners and identify from them the common aspects that should be considered in any OSS, so starting from very different local contexts to outline how a standardised European OSS for supporting collective actions would be.

After that, two online sessions have been held with all the partners in order to outline the main common aspects to be considered in the design of the OSS framework and encourage discussion between the different pilots in picturing the needs and potential of the OSS to be implemented. The sessions were focused on two key aspects for the conceptual and operational design of the OSS:

- Session 1 – this session had a focus group approach using online software for encouraging participants’ contributions (Mural). It was centred on the design of the **Business Model Canvas** of a standardised OSS, building on the needs of the potential end-users for the definition of a common value proposition.
- Session 2 – the session two was focused on presenting each pilot partners’ insights on how their OSS would be, considering an operational scheme based on the **Pre-service phase** (what is needed to set up the OSS), the **Service phase** (which specific services and activities will be offered) and the **Post-service phase** (post-service activities, evaluation, integration of the feedback in the improvement cycle).

Using those inputs, a first approach of the **End-used Journey Canvas** has been outlined.

PHASE 4 – Analysis of financial schemes for collective actions: considering previous OSS initiatives identified in the Deliverable 2.1, related financial schemes have been analysed. Also, other schemes for collective actions identified by partners have been studied and the main potential financial schemes have been developed according to different criteria:

- Targeted buildings' occupation type and ownership
- Available public funding
- Risk distribution among the different parties
- Level of ambition of the targeted energy savings
- Available financial instruments

PHASE 5 – Analysis and development of the Governance and Mediation processes: the supporting and advice scheme to be put in place have been developed, considering the need of codes of conduct, the rules and guidance to interact with citizens, standards for providing the support and accompaniment to the end-users, and provisions to deal with complex situations like specific requests, conflicts, etc. The role of the Implementation Champions and the UP-STAIRS authority is also better defined.

PHASE 6 –Peer review and validation by partners: finally, the resulting OSS framework has been peer-reviewed by all partners in order to contribute with more insights and to validate the final scheme.

4. Analysis

4.1 Research of lessons learnt from previous OSS experiences

The information collected within the research of lessons learnt from previous OSS experiences is detailed in the Deliverable 2.1.

In general, the most valued aspect in the researched OSS related to the selling points is the ability of OSS to **collect all necessary knowledge and expertise in one place and provide it as a single block to the end-users**. This includes collaboration among energy advisers, technical experts, financial experts, financial institutions, mortgage institutions, ESCOs/TPF, etc. The exact mix of services/stakeholders involved in the OSS depends on the concrete specifics and therefore is tailor-made to each OSS case.

In general, as the main delivery organisations being public authorities and other off-market agents, these OSS are also seen as **a neutral information point for the end-users** to be advised on energy refurbishment.

Enabling factors found in the research are the following:

- The ability to centralize all the necessary knowledge and partners.
- They cover larger territories and thus benefit from economy of scale;
- They cover both single and multi-family residential buildings; and
- Have partnerships with financing institutions and/or incorporate a funding vehicle.

4.2 Brainstorming on each UP-STAIRS' pilot initial ideas for the OSS

The detailed information provided by the 5 UP-STAIRS pilots is included in Annex 1 of this report. The main outputs have been summarised in the following table:

a) Summary of pilots' preliminary ideas:

Country	IE	BG	ES	AT	DE
Scope	0,21M Cork	0,067M Asenovgrad	3,2M Barcelona Metropolitan Area	1,5M Upper Austria	0,005 – 0,49M Brunnthal - Region
Target	SFB+MFB	MFB	SFB+MFB+SMEs	REC	SFB+MFB

Delivery org.	City Council /local energy agencies	Asenovgrad municipality	Office of Energy Transition AMB	ESV	Local energy agency
Structure	Mainly online	Mainly online	Online + front offices from municipalities	Online + offices + onsite	Mainly online
Key topics	EE+RE	EE+RE	Shared PV + EE	RE	RE + storage

The five pilots present different characteristics at different levels: geographical scope, urban and rural profile, different operational approaches to assist the end-users, different targets, different key topics, and different experiences and knowledge background. This variety makes it more difficult to design a very detailed OSS common framework, but it enriches the final output making it adaptable and flexible to different kinds of contexts.

b) Key services to be provided and training needs identified

At the same time, a first identification of the specific services to be provided through the OSS, and whether they involve training needs of the staff involved in the delivery of the service has been carried out. Common aspects identified are the following:

VALUE CHAIN

Services	Training needs?
Organizational support	In some cases
Legal advice	Yes
Information management	In some cases
Technical advice	In some cases
Financing	Yes
Management of providers and operational support	In some cases
Communication, marketing	Yes
Aggregation	Yes

Other training needs for the operation of the OSS are:

- Customer relationship management
- OSS infrastructure setup

This first assessment of training needs will be the basis for the design of the training program to be implemented in each pilot.

c) Financial aspects

A first attempt to identify funding possibilities for the OSS has been carried out. Regarding the **Operational costs for the delivery of the OSS services**, the initial ideas of the pilots are to use the H2020 funding to cover the operational costs during the project, and after try to integrate it in the delivery organisations' internal budgets. External support from government organisations, not for profit organisations and industry leaders.

Regarding the Financial support schemes for the end-users, the pilot partners do not have own instruments (e.g., dedicated loans, etc.) but most of them have partnerships with local or regional financial institutions that will be approached in order to tackle the financial support services to be facilitated to the end-users through the OSS.

All these common aspects have been shared with the participants during the first session/focus group in order to trigger discussions and ideas on the common Business Model Canvas for the UPSTAIRS OSS.

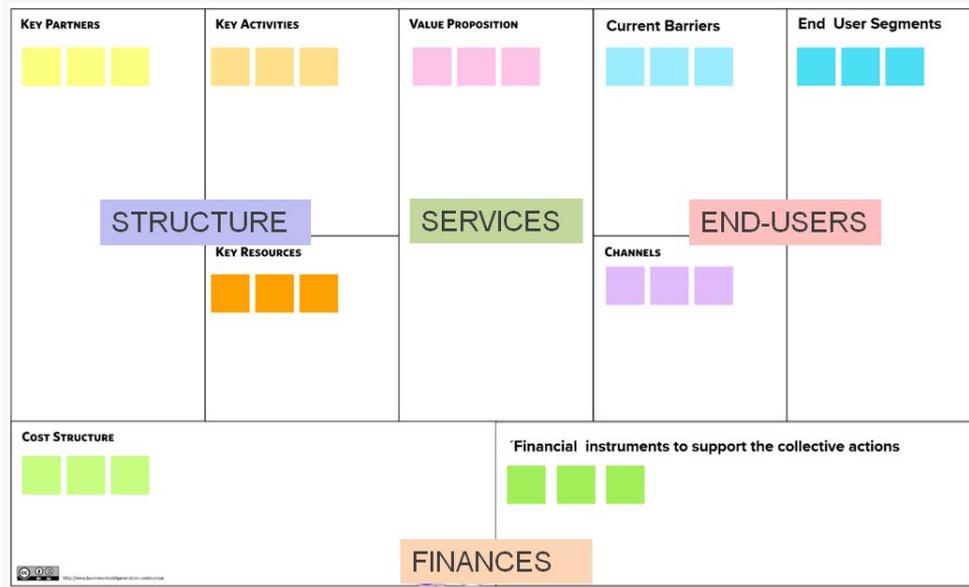
4.3 Qualitative research and exchange with the UPSTAIRS' partners

Business Model Canvas

The first group session for the OSS design has been centred in the collaborative definition of the Business Model Canvas for the OSS.

The Business Model Canvas is a strategic management template used for developing new business models. It offers a visual chart with elements describing a new service value proposition, infrastructure, end-users, and finances, helping the service' promoters to align their activities with the actual needs by illustrating potential trade-offs. The traditional

Business Model Canvas has been adapted to the particularities of the UP-STAIRS OSS as follows:



Four main blocks of information are presented with different subtopics:

1. End-users: this block helps define who the target groups are and their specific needs and communication channels. During the focus group, the partners are asked to provide inputs on the following aspects:

- End - user segments: identify which end-users will be targeted. Segmentation based on their different needs and attributes.
- Channels: definition of which channels can be used to reach each end-user segment. These can be own channels from the delivery organisation or from collaborators and multipliers.
- Current barriers: current barriers encountered by end-users to engage in collective actions and/or RES/EE.

2. Structure: this block deals with the ideas related to the resources and activities delivered through the OSS:

- Key Activities: ideas and common agreement on the most important activities to be implemented.
- Key Resources: define the resources that are necessary to create value for the end-user, needed to sustain and support the OSS. These could be human, financial, physical and intellectual.
- Partner Network: relationships needed to deliver the core activities.

3. Services: building from the ideas provided in the previous blocks, a brainstorming has been conducted to define the value proposition of the OSS, so the collection of services/products offered to meet the needs of the end-users. Partners are asked to consider newness, performance, customization, "getting the job done", cost reduction, risk reduction, accessibility, and convenience/usability.

4. Finances: the last block is related to the finance aspects of the OSS, considering 2 levels:

- The costs needed for the operation of the service (so potential financial needs from the delivery organizations)
- The costs related to the implementation- of the collective actions (so the potential financial needs of the end-users when implementing a collective action)

An overview of the results of this session is provided in Annex 2. The analysis of the qualitative information collected during this session is provided below considering each of the four blocks analysed:

End user analysis

The focus of this block is to identify the end-user segments and the channels to reach them, as well as examine which barriers or limitations the users might experience.

As a first analysis, the end-users' segments contributions by partners focused on residential households, and many highlighted the vulnerable ones. Equally important, there are a few contributions regarding end-users with high level of environmental awareness such as already built civil society, cooperatives and many other forms of organization.

- This approach would tackle already sensitive citizens, which could act as ambassadors for engaging new individuals within a collective project, but also considering that the vulnerable ones cannot be left behind.

To reach these end users, many channels were proposed: on the digital side, from the conventional social media platforms to more innovative forms such as platforms aimed to young people. Complementary to this, other channels more focused on activities and events were mentioned such as workshops, promotional actions, international events and direct advisory sessions. All these were presented as a direct way to reach specific users. Focusing on the local aspects, it was highlighted the importance on the already existing communities and networks as early adopters or promoters. These aspects will be better detailed within the later elaboration of the Collective Community Engagement Strategies (Task 2.7) for each pilot. Within these strategies, prototype profiles of citizens to be targeted will be drawn and the specific messages, channels, activities, events and networks to reach them will be detailed.

- However, as a first conclusion, a common strategy could be to reach early adopters and existing initiatives as promoters for reaching out other

profiles. This could also be linked with the role of the Implementation Champion, engaging some of those early adopters as promoters of the collective actions, but this potential will be further analysed during the development of the Collective Community Engagement Strategies (Task 2.7).

Equally important are the current barriers that are facing SEC nowadays. Firstly at a legislative level, with restrained and limited regulatory framework and the need to transpose EU directives in order to define and clarify key aspects. Secondly, the lack of financial resources, now aggravated due to the pandemic crisis. Thirdly, the lack of awareness and the lack of information, which are linked to the inability to access knowledge due to its technicalities. Finally, the lack of human resources and support by the public authorities which lead the users into an ocean of unintelligible information. Another point is the difficulty and the slow pace of promoting social transformation and how complex the bureaucratic process can be. Citizen empowerment and engagement is not an easy task and even more difficult on the energy sector due to the complexity of the market and regulation. The energy sector has been traditionally owned and managed by public administrations and big energy companies, so there is a lack of awareness among citizens on their own possibilities and the opportunities that the energy transition is bringing to small actors to be an active part of the energy system.

➤ The identification of all these gaps sets up the appropriate ground for ensuring the usefulness and the demand of the OSS, the OSS covering the existing gaps and integrating the support to the end-user at all these levels. However, considering the lack of information and awareness, an intensive campaign at the beginning and during the implementation to promote the OSS and the potential of collective actions is needed to ensure a continued demand and use of the services. Specific budget and resources need to be related to these promotional activities in order to reach the expected impacts.

Summing up, the first approach to the end user analysis for the UPSTAIRS OSS common framework would be:

- **Main end-user profiles** considered by partners on the Business Models Canvas activity performed are:
 - Multifamily buildings
 - Single-family buildings
 - Vulnerable households
 - Young people
 - Civil society organizations (neighbourhood associations, cultural organizations, school family organizations...) and energy communities?
 - Early adopters

A more exhaustive analysis is needed in terms of socioeconomic profiling in order to better tailor the engagement strategies for the target groups. This will be further detailed during the elaboration of the Collective Community Engagement Strategies (Task 2.7).

- **Main barriers and existing gaps** to be considered for the OSS design are:
 - Lack of information and awareness of the benefits of a low carbon household and sustainable energy
 - Lack of technical knowledge
 - Complex regulatory framework
 - Lack or limited access to financial resources

These gaps match perfectly with the previously detailed OSS services that had already been considered by the pilot partners.

- **Main communication channels** with them:
 - Online communication channels (website, social networks)
 - Direct postal mailings
 - Specific events
 - Direct advisory sessions targeting them
 - Traditional media (newspaper, radio, TV channels)
 - Already existing communities

These aspects and the key messages will also be further detailed in the Collective Community Engagement Strategies (Task 2.7).

An initial end-user analysis of the UPSTAIRS OSS common framework would be:

- The UPSTAIRS OSS could target very different profiles of end-users, both at socioeconomic level and at buildings' level, and then could be adapted to the needs in different contexts.
- The UPSTAIRS OSS could use differentiated strategies to tackle two average profiles of end-user:
 - Early adopters and sensitized citizens: a strategy to recruit them as multipliers/ambassadors for reaching out other citizen profiles (including vulnerable ones).
 - Other citizens not yet involved in energy transition that would be tackled through the OSS communication, the early adopters, and the Implementation Champions.
- The market gap for the implementation of an OSS to support citizens in collective actions is similar in all the contexts, thus the need and the demand for an integrated support service are justified in all the cases. However, a strong promotion strategy is needed to reach the end-users and generate traffic to the OSS.

Structure Analysis

The main key activity input is reaching out to communities and citizens and providing support for them to engage in collective actions. This support can be a consultancy service on technical, financial and legal aspects or it can be capacity, knowledge and awareness building. Training of Implementation Champions is also considered, with a “train the trainer” approach. On a more general aspect, some of the activities proposed were energy efficiency advising and retrofitting promotion. Another essential point that was brought up was the need for arbitration in multi-family buildings as this can many times be a bottleneck for collective actions.

In order for the service to provide and promote all the activities mentioned, it is very important to consider the partners needed. From the public administration, the inputs mentioned the municipalities and regional governments. These governments can help harmonize the services between municipalities and provide general frameworks. Another important partner from the public administration, are the different departments and offices with which synergies can be established, such as housing, social services or economic development offices.

Also, there needs to be established a network of service providers, installers, suppliers, contractors, mediators and especially financing institutions in order to be able to offer interesting financing schemes.

Partners are important but they work with the resources available, linked to the barriers, most contributions regarding resources were related to technical, financial and especially legal knowledge. Subsequently, some inputs relate to training resources and learning hubs.

It is also clear that digitalization tools and the digitalization of the OSS service will be of paramount importance. However, some pilots pointed at the need of regional on-site offices.

Therefore, the analysis of the common structures for the UPSTAIRS OSS framework would be:

- The activities of the UPSTAIRS OSS should include both consultancy services and capacity building at the delivery organization and at the community levels.
- Key stakeholders need to be reached out and synergies built with them, from the public administration at different levels and departments, and with key market actors.
- Resources needed are mostly based on building knowledge on several aspects for providing the support on collective actions (technical, financial and legal).
- The access of the end-users to the OSS can be physical (with one or several front offices, or the staff going to specific on-site visits), but digitalization tools and the digitalization of the OSS services is seen as necessary in all cases.

Services / Value proposition

The central value proposition, as already identified in the research done previously, is to provide all elements for collective actions in one place, while tailoring packages and consultancy for every action and in line with the users' financial capacity, always keeping in mind the cost-optimal solutions. The service would present and promote new viable and alternative financing schemes and will assist in grants application, this way the projects will make sure many more actions are being developed.

On the social side, the service can help citizens networking in order to promote and build new LEC, and it can also be a neutral mediator to manage conflicts which might slow or stop the process.

On the technical side, the service would advise but also define previously approved contractors while keeping neutrality and impartiality and therefore making the process more reliable and economically viable.

Therefore, the analysis of the common value proposition for the UPSTAIRS OSS framework would be:

- To provide all the elements of a collective action in one place, tailoring the support and resources to the individual cases.
- Present, promote and facilitate financial schemes to implement the collective actions, especially adapting the language in a user-friendly way.
- Aggregate and help citizens networking to build new LECs.
- Act as a neutral mediator for LECs conflict management.
- Coordinate with providers and define quality standards for the external contractors.

Financial instruments

The contributions to this block focused mainly on the financial support schemes addressed for the end users and not so much on the operational costs to deliver the OSS services. This will be tackled in more detail in later stages of the project when defining the sustainability strategies to continue with the OSS service beyond the project lifetime.

Some of the financial instruments mentioned are public funding, soft loans or tax incentives. Additionally, local ESCOs and revolving funds are also seen as a great tool to promote collective action. Collective buying schemes are also considered, as it lowers the cost of the service but also creates a collective in which users can support each other. Another alternative financing scheme might be crowdfunding or equity crowdfunding, there are some experiences at local and European level, this tool can be especially useful to break some financial barriers and let everyone push forward a LEC.

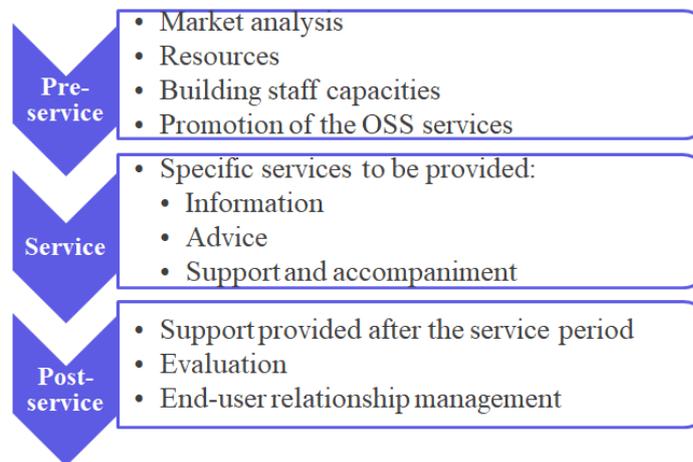
All in all, the service needs to give all the tools and support for the collective to be able to apply for grants or develop other financing options, including also an economic analysis and budgeting of different solutions.

The common financial aspects for the UPTAIRS OSS would then be:

- To support in the economic analysis and budgeting of the different solutions.
- To provide integrated advice to the end-users, considering a mix of available options at the pilot region.
- To facilitate information and access to public funding, soft loans and tax incentives.
- To collaborate with local ESCOs, revolving funds, crowd lending or equity crowdfunding, and other specific financial instruments available in each pilot.
- To foster other collective strategies to optimize costs, like collective buying schemes to achieve economies of scale.
- To support in accessing all these financial resources through the accompaniment in the administrative and bureaucratic process.

4.4 Analysis of the phases of the OSS service implementation

The different steps for the deployment of the UPSTAIRS OSS have been structured in the following phases:



PRE-SERVICE PHASE

This phase is necessary to prepare and adapt the OSS business model to the regional or local context, namely tailoring the specific market needs and opportunities, the resources available in the region, building the staff capacities of the delivery organization and finally, defining the different ways to promote the OSS services.

a) Market analysis: a first step is to identify the market gaps that the OSS could fulfil. Within this analysis, several aspects have to be considered:

- Maturity of the energy efficiency and renewable energies' market in the region (both at demand and provider side).
 - Local providers in the region, operation capacities and their quality standards.
 - Consolidation of the demand of the EE and RE services in the region, segmented by different end-user profiles in order to identify the targets that would need more support.
 - Other OSS or support services that already target citizenship in the region and could overlap or collaborate with.
- This analysis provides a picture of which can be the opportunities in the region to fulfil market gaps and thus offer an attractive service to citizens. Also, it should narrow down the scope of end-users targeted and the services to be provided through the OSS.

b) Resources: internal and external resources available in the region, like the specific budget to be dedicated to the OSS services, the infrastructure (e.g. physical offices available for setting up front offices, marketing and communication resources available, etc.), as well as other resources that might be available in the region, provided by third parties, but that could build synergies with the OSS (e.g. financial institutions willing to closely collaborate in facilitating access to funds).

- This analysis helps tailoring the defined services to the existing resources and designing an OSS that is adapted to the resources available in the region.

c) Staff capacities: once the market analysis is done and the resources available clear, the different services to be provided to the citizens are already defined. Considering these, and the staff that will be involved in the OSS service within the delivery organization, the training needs of this staff have to be identified and a training program carried out to upgrade the skills and knowledge from the staff involved in the OSS.

- This step is key to adapt the OSS to the market needs and to successfully deliver the services with quality standards.

d) Promotion of the OSS service: once the OSS is designed and the resources and staff are ready, the last step for the pre-service phase is to promote the OSS among the target groups. For this, a marketing and/or engagement strategy for reaching the segmented target groups is needed. Specific messages and materials have to be produced for each target group, and the specific channels and multipliers to reach them identified. A dedicated budget needs to be foreseen for that in order to ensure the impact of the promotional campaigns.

- This step has to be implemented at the launching of the OSS but also during the OSS implementation, in order to ensure new end-users are reached and the current ones are engaged throughout all the process.

SERVICE PHASE

The different types of services to be provided (tailored value proposition) as part of the integrated service can vary depending on the regional context, but they can be classified in the following categories:

- a) **Organizational advice and support:** considering one of the UPSTAIRS OSS added values is the facilitation of collective actions, several services to support citizens in organizing around collective actions or energy communities can be provided. For example:
 - Support materials and advice to set up a legal entity to carry out the collective action.
 - Support/intermediation for putting non-organized citizens in contact to launch a collective action (at local, regional or multifamily building level).
 - Aggregation of similar individual projects, to take advantage of economies of scale.
 - Interlocution with providers for negotiating collective prices/tariffs
- b) **Legal advice and support:** legal aspects are usually one of the barriers encountered by citizens when trying to engage in a sustainable energy project. Also, the legal aspects related specifically to energy communities and collective actions is still being shaped in many of the European countries, so legal advice is seen as a facilitator for fostering energy communities. Each OSS has to analyse if they have the internal capacities to provide this advice or if they need to partner with an external agent. The scope of this legal advice can also vary a lot: general information, provision of standardized templates for legal documents, individual/group advice.
- c) **Financial advice and support:** financial aspects are also a common barrier for pursuing sustainable energy projects in general and collective ones in particular. The OSS can provide a range of services depending on the available resources and capacities, for example:
 - Negotiate specific conditions with financial institutions to facilitate the access to financial products to the end-users of the OSS.
 - Develop specific financial instruments (e.g. loans) if the resources are available in the delivery organization.
 - Identify the best financial instruments for different types of projects to provide tailored advice.
 - Carry out economic analysis for the projects fostered through the OSS, including several variables to facilitate decision making (payback times, return of investment, etc.).
 - Certify economic analysis to facilitate/standardize the access to third party finance.
 - Budgeting with providers, comparison from a neutral point of view.
- d) **Information and technical advice:** on the technical side, the OSS can provide neutral information for the end-users to better decide on the type of project or the type

of providers to contract. The energy market is complex, and it is usually difficult to compare all the information in the market because different providers offer their services in a different way, and the average citizen do not usually has the technical background to analyse it considering the different implications. The support here can also go from the provision of unbiased information, to the elaboration of technical projects, depending on the resources available and also the market maturity in the region. Some of these technical services can be:

- Provision of unbiased and comparative information.
 - Support or leadership of the process of developing the permits and licenses needed.
 - Support with the administrative documentation.
 - Developing templates for the elaboration of the technical project.
 - Certification of providers that follow specific quality standards.
 - Elaboration of the technical project.
- e) **Arbitration and mediation:** again, considering the UPSTAIRS added value is focusing on collective actions, usually the mediation processes are important to ensure a successful implementation. Collective processes are complex and take time, as they involve getting several people to discuss every step, building trust between them, and aligning the different views and objectives. For this, the arbitration or mediation support is also deemed necessary as part of the UPSTAIRS OSS. These mediation and arbitration services can also vary depending on the OSS resources and approach, for example:
- The OSS, through their staff or the Implementation Champion, can act as a facilitator of the process, being the reference persons to lead the process, setting up milestones and activities to help the communities move forward on their projects.
 - The OSS can develop and offer different resources or training for empowering citizens and local energy communities in these collective processes to help managing internal conflicts.

POST-SERVICE PHASE

Services to be provided after the implementation of the main support services have also to be considered. Some OSSs may not offer any post-service, but others can provide support beyond the implementation of the collective actions, like:

- Technical maintenance of the installations.
- Mediation or arbitration in conflicts.
- Third party certification of energy savings if the projects involved EPC contracting.
- Others.

Also, an evaluation should be carried out in order to foster continuous improvement of the service and to adapt it to new needs and opportunities. The delivery organization has to

consider which tools will they use to evaluate the OSS service and how will it integrate the feedback gathered from the end-users.

This evaluation can be done through surveys to the end-users, and even a focus group after the first year in order to identify more qualitative aspects to be improved in the OSS after the piloting phase. Some can also monitor social networks to gather feedback from end users on a permanent basis.

Key aspects to consider for continuous improvement:

Key lessons learnt from partners (ESV) from OSS on other topics they have been implementing during the last years have also been considered. More specifically, the UPSTAIRS OSS has to consider:

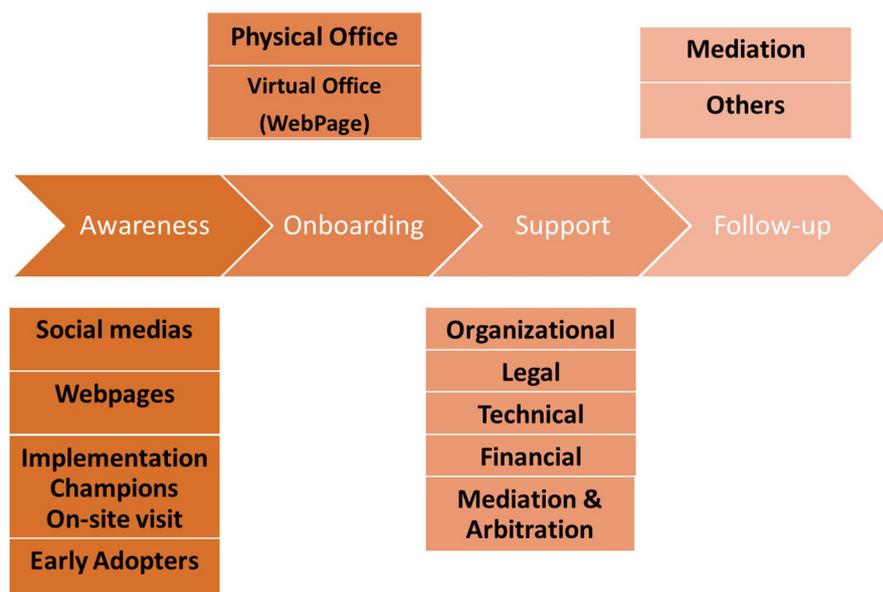
- **High qualification and continuous training/upskilling of advisory staff:** there are frequent changes in regulatory issues, funding programmes, new products and services and the staff need to be updated to provide the service. Also, the end-users often have very detailed questions and are up to date from the internet. The training and up-skilling of staff is fundamental not only at the beginning, but also during the provision of the OSS services.
- **Promotion:** this is also a continuous task that needs a budget, dedicated staff and links to other services (e.g. funding programme authorities, planning permission offices etc.).
- **Commercial independence:** not linked to the sales of a product/service, otherwise it could lose credibility.
- **Quality control and monitoring of impact:** good system needed that is not too bureaucratic and yet give meaningful results.
- **A longer-term approach and public support:** It takes quite a while to build up a service, make it known etc. Therefore, it should be planned and implemented with the multi-annual perspective (5 years).

End-user journey

This section focuses on the process through which the OSS will engage the end-users from the start until the end of the UP-STAIRS scope. After the completion of the end-user analysis, the targeted groups will be firstly made aware of the OSS through a campaign on social media, webpages, written media and other local and regional communication channels. The on-boarding phase will take place on the official OSS webpage, or in some cases in the physical offices present on the pilot sites to engage directly the users, these physical offices will also promote the use of the platform as a meeting point. Here, the user is going to be supported and guided, through the online and user-friendly platform or the staff present at the office, for the resolution of doubts and advice on all the areas involved in the promotion of the collective action. Finally, follow-up services are going to be delivered to

users. The responsibilities for keeping the engagement of the end-users will be distributed as follows:

- **Communication staff:** keeping a strong communication campaign targeting citizens, to ensure the onboarding of end-users along the OSS service implementation.
- **Technical staff from the delivery organization:** providing support, advice and accompaniment, so the end-user meet their expectations, and also coordination with suppliers.
- **Implementation Champions:** providing the support to the end-users collective as well as individuals, taking advantage of the “field” knowledge to engage new profiles, anticipate problems of conflicts, identify opportunities to enlarge the existing groups or creating new collective actions, etc.



Practical example of end-user engagement:

Consider a community of residents living in the same building: the heating service for domestic water and heating is offered by gas boilers. Some early adopters in the community want to install their own heat pumps connected with a solar PV installation. The investment could result in a large individual, but some of the installation cost can be shared among residents: the electricity produced by PV can lower electricity demand among participants. Early adopters are interested in developing communal business models, so they become aware of the OSS services offered developed in the UPSTAIRS project in their city. A marketing campaign is launched on social medias which redirect early adopters to the UPSTAIRS webpage. At this stage, those potential customers could have informally communicated their investment intention to their neighbours, but no clear financial and organizational scheme is set, so further information is required in order to further proceed

with the process. Once the early adopters access the OSS, they will find the services which can be accessed, which brings them to make the first contact with the OSS physical office, where they are assisted by the trained staff and by the Implementation Champion. The onboarding process provides end-users with a platform where they can explain the use case: above all the attributes of the residential setting (rooftop area, thermal insulation), the budget and the technical characteristics of the current equipment. This explanation by end-users will have closed attributes and characteristics in order to then analyse the data and find commonalities and synergies with other actors.

A first range of financial schemes are proposed to the early adopters and an on-site visit can be concerted in order to verify and further analyse the potential of the investment, and possible technical options which can be put in place.

During this visit, an open session to all the inhabitants could be setup in order create an environment in which all the inhabitants can understand and get informed about the financial schemes proposed, the legal requirements, and the benefits of investing in this new equipment, etc. The neighbours, thanks to the arbitration service of the ICs can decide as a community, fostering and enhancing the beneficial common approach.

At this stage, the support provides community representatives the access to the office, in order to solve further doubts which are raised during the decision process. Finally, an option is chosen, and the ICs continue to be available to support the community during the installation and the maintenance of the installation.

4.5 Analysis of financial schemes for collective actions

The study focuses specifically on the financial instruments and business models used by operational OSSs in order to provide funding for the energy efficiency and RES measures applied by the households. It has been developed using the outcomes and findings of the research made under Task 2.1 (D2.1) and the information about different financial mechanisms taken from the Report “Increasing capacities of Cities for Innovating Financing in Energy Efficiency” within CITYinvest project. Based on D2.1 and the preliminary discussions held with the UPSTAIRS pilot communities (Cork City, Asenovgrad Municipality, Barcelona Metropolitan Area, Upper Austria Region, Brunnthal community), several criteria have been established and applied to make the classification of existing collective financial schemes to be used as examples when defining the specific OSS Business Frameworks in the five UPSTAIRS pilot communities.

Criteria for Collective Financial Schemes Classification

The underlying concept of the BMF (incl. collective financial schemes) for OSSs supporting citizen energy communities in the project proposal and consequently the GA was that of energy communities targeting energy efficiency measures in private residential buildings combined with renewable energy applications in buildings, if proved feasible. However, the

outcomes of the preliminary discussions with the pilot communities show that in some of them (Upper Austria Region, Brunnthäl community) there is specific interest in OSS targeting citizen energy communities for RES electricity production. As the two concepts have major differences especially regarding financial mechanisms and business models, the first criterion applied is related to the sector addressed, i.e. whether the OSS will target energy efficiency in buildings or renewable energy production. Within these two major approaches for the OSS, more detailed criteria for Collective Financial Schemes have been established.

A) OSS targeting Energy efficiency in buildings

Because UPSTAIRS BMF focuses on private residential sector, only the OSSs that target private residential buildings have been taken into account for the present study on financial instruments. The predominant part of studied OSSs (from Deliverable 2.1) focus on energy efficiency in private residential buildings (except SUNSHINE project that includes both public and private buildings), and some of them include also application of renewable energy technologies during building renovations, if proved feasible. For these OSSs, several specific features in the business model have been outlined as follows:

A.1. OSS funding vehicle. It has been found in the research that there are OSSs which indicated that they incorporate a funding vehicle covering the investment costs in different proportions (entirely or partly) within their business model framework. Following are examples of OSSs with incorporated funding vehicle:

- Energies POSIT'IF that incorporate a fund covering all investment costs with capital formed by 85% public shareholding represented by 11 local authorities and 3 energy unions, and 15% private shareholders represented by two financial institutions;
- easyCOPRO (Open book EPC for Brussels' condominiums) incorporate a financing mechanism, co-financed by the citizen's cooperative ENERGIRES. The rest of the funding is provided by public grants through green certificates and public-private partnerships.
- Hauts-de-France Pass Renovation/Picardie provide soft loans from revolving fund, zero rate rate loans, zero rate pre-financing of works. The revolving fund comprise of mixed funding: ELENA-ADEME-FEDER subsidies, public financing from Picardie Region allowance covering initial renovation projects, and European Investment Bank loan (Junker);
- The OSS under the Superhomes/ SuperHomes 2030 Project. It includes a subsidy that can reach up to 50% of the costs of the renovation, provided by the Irish Sustainable Energy Agency (SEAI) within its multi-year program "Deep Retrofit Grant", the other half is secured by homeowner own funding;
- PSEE Alsace: Technical assistance & financing facility for private residential building refurbishment in Alsace Region, France

In some cases when the OSS does not incorporate the funding vehicle, it forms partnerships with the financing institutions to promote their funding to the clients and thus helps the clients to access funding. Notable examples are:

- OSS SUNSHINE in Latvia, established under the auspices of Accelerate SUNSHINE H2020 PDA, partnering with a revolving fund - Baltic Energy Efficiency Facility which is an investment fund with a single purpose: forfeiting receivables from EPC.
- OSS for energy efficient homes (Energieberatung und Wohnbauförderung) in Upper Austria partnering with Regional building programme.
- RenoHub OSS in Budapest, Hungary, featuring trilateral cooperation between the home owners, the existing local “Sparkasse” (building saving society) institutions as well as commercial and development banks;

The study showed that if the OSS does not incorporate a funding vehicle and does not have partnerships with specific funding institutions, it usually provides advice and support for households on different options available for funding and on their requirements and conditions and assists them in administrative procedures to apply and receive the funding.

A.2. Implementation method used

The implementation method is the way by which the projects for energy efficiency and/or renewable energy production are technically and operationally implemented in the field, most often by using contractors or subcontractors. Typical implementation models are Separate Contracting and Energy Performance Contracting (as per the report “Increasing capacities of Cities for Innovating Financing in Energy Efficiency” from CITYinvest project):

- **Separate Contracting (SC)** method is when each step of the process is dealt with by a separate party (energy auditor, engineering company, installer or contractor, maintenance company) and by which individual projects (e.g. boiler replacement, relighting, isolation, etc.) are executed by separate contractors for each technique. This method is typically time consuming and requires a project coordinator to manage the process of getting all of the individual projects executed in a timely manner. It requires also gaining a good knowledge of all the techniques involved in the field of energy efficiency and renewable energy, which is not easy. The method is therefore resources’ and operational tools’ intensive and leads to more long completion times. If this method is used, the OSS will act as facilitator providing advice and assisting access to funding. The OSS can also act as integrator by bundling projects of many owners participating in the energy community. In this model the OSS acts as an intermediary between the housing owners on one hand and the contractors or subcontractors on the other hand. This means that the contract for the delivery of the energy efficiency is signed between the integrator and the beneficiary and that the integrator signs contracts with the (sub)contractors. In the Integration model, the OSS takes on the technical and performance risks of the project, unless it has back-to-back agreements with the

beneficiary on one hand and the ESCO on the other hand (in the case of the EPC/ESCO model).

A major disadvantage of this method is the fact that none of the subcontractors takes responsibility for the result of the measures in terms of energy savings achieved. The housing owner or the OSS in case of integration takes both the technical and the financial risks. Another disadvantage is the relatively high cost of transaction, meaning the cost of project design, procurement and management per euro invested.

- **Energy Performance Contracting (EPC) method**

In the Energy Performance Contracting (EPC) method, there is a private ESCOs (Energy Services Company), or specialized contractors signing of an Energy Performance Contract (EPC) to implement the energy efficiency measures and guarantee the savings from them. This is one project, one contract that includes the whole building (in case of multifamily buildings), with all envisaged measures and technologies. The ESCO/Contractor performs the audits, studies, design and works and then operates and maintains the facilities. The EPC contract is the contractual agreement by which the output-driven results are agreed upon. Performance guarantees are associated with a bonus and penalty scheme. Measurement and Verification (M&V) and Monitoring are key features of successful EPC contracts. EPC contracts can include financing schemes in which the ESCO/Contractor acts as financier or investor, but the beneficiaries can also finance these with own funds or through a financial institution (see below).

A.3 Financial mechanism used

Housing owner financing

In this case the housing owner finances the measures by itself either with own funding or using external funding (bank loans, soft loans, public grants, etc.). In this case the implementation method is Separate Contracting, and the project risks are born by the housing owner (as described above).

Third Party Financing (TPF) and Energy Performance Contracting (EPC) Model

TPF can be either as a direct loan to the owner (see above) or using EPC model and the Energy Service Company (ESCO) scheme. There are variations in EPC/ESCO model as follows:

- The ESCO takes the credit (pure credit or credit with sale of claims) and finances the measures repaying the investment from the achieved savings. In this scheme the ESCO bears the whole project risk, and the client/housing owner does not meet with the source of financing. Repayments are made to the ESCO from the actual savings achieved.

- The housing owners takes the credit while the ESCO guarantee the results of the savings and pays the difference to the owner in case of failure to achieve them. In this case the ESCO bears the technical risk while the housing owner bears the financial risk. Repayments are made by the owner to the funding institution from the achieved savings.
- A combination of the two methods when the ESCO and the housing owner participate with portions in the financing of the measures.

In the research (D2.1) EPC/ESCO scheme has been found to be the most common form of financing of energy efficiency measures in households. In most cases, however, apart from EPC/ESCO the financial mechanism includes a mix of other funding sources in different proportions such as public grants, on-tax financing, green certificates, revolving funds. The mixture of financial sources helps to improve the economic parameters of the investment projects and to make them more attractive business cases for commercial funding. Notable examples of using the EPC model are:

- Energies POSIT'IF where the OSS acts as a public ESCO established as a Public-Private Partnership (société d'économie mixte or SEM) by the Île-de-France region;
- easyCOPRO Open book EPC for Brussels' condominiums where the reimbursement is covered by regional subsidies including green certificates and energy savings achieved following the renovation;
- Hauts-de-France Pass Renovation/Picardie where the reimbursement is made at the end of the work, by monthly instalments which take into account the energy savings estimated during the diagnosis;
- OSS SUNSHINE that uses EPC plus revolving fund (Baltic Energy Efficiency Facility).

On-tax funding

Two of the studied OSSs have been found to use on-tax funding mechanisms. On-tax mechanisms rely on the idea of house owners paying for the upfront costs of energy efficiency measures, which the property owner then pays back to a public authority by increasing property taxes. These are:

- EuroPACE - scalable on-tax financing mechanism to unlock the huge potential for deployment of energy saving and generation technologies to European households. The scheme is inspired by the successful US PACE scheme, which was invented in California in 2008. EuroPACE deploys private capital as up-front financing to homeowners, i.e. reduce reliance on grants and subsidies. De-Risking EE Investment. Loans guaranteed by the municipality (Olot) + Social Guarantee Fund (special conditions for vulnerable consumers), GNE Finance (TPF providing loans) and Olot are developing a pipeline of projects. Innovative financial programme replicable to other local administrations, although the on-tax scheme was not feasible in Spain due to legal constraints of the tax regulation that make the on-tax unfeasible, and another solution was implemented.

- PSEE Alsace. Reimbursements will rely on the perception of a contribution collected through local taxes. For households without repayment capacity, the renovation plan will be adapted so that the contribution may at most equal the expected energy savings. Renovation paid through by local taxes, and those unable to pay for repayment will have a payment plan.

Crowdfunding

Crowdfunding has a special interest for the community projects. In addition to the shareholder model analysed in D2.1 for projects like RESCoop Mecise or Oleada Solar, the online platforms facilitating different crowdfunding types are growing and tend to have a very good acceptance among citizenship. Crowdfunding (collective funding of a specific project) in the energy sector has mainly taken the form of:

- Equity crowdfunding: same principle as the shareholders' scheme (the investors will own a part of the project), but these platforms usually allow for very little investments (sometimes even from 50€) and it can help increasing the grassroots basis of the project. An example is the Fundeen platform, or the Generation kW (Som Energia) in Spain.
- Crowdlending: this scheme is based on collective loans that any citizen can provide to a specific project. Again, these loans can go from very little investments (less than 100€), so it also helps increasing the community impact of a project. Although with this scheme the lenders are not co-owners of the project, it enhances a sense of belonging to the project and helps developing a community around it. An example is the ECrowd! Invest platform, in Spain.

A.4 Associated Risk and Risk Distribution

The associated level of risk and risk distribution among different partners is in direct relation with the implementation method (SC or EPC) and financial mechanism used. As already mentioned, if SC is used then the housing owner or the OSS bear all risks associated with the project. When the EPC/ESCO model is used the ESCO/Contractor delivers a performance guarantee on the energy savings and takes responsibility for the end results (technical and financial). In such case, the level of risk for the owner is lower because the technical risk is born by the ESCO that have sufficient level of knowledge and expertise to ensure the savings and loan repayment from them. In case the ESCO finances the measures on its own, then it bears also the financial risk of the project and the housing owner is risk-free.

A.5 Single family of multifamily buildings

Most of the researched OSS cases are not limited to a specific type of housing. Energies POSIT'IF and easyCOPRO are related specifically to multifamily residential buildings, PSEE Alsace, Superhomes/ SuperHomes 2030 and OSS for energy efficient homes

(Energieberatung und Wohnbauförderung) target single family houses. The distinction has been made as there is a principal difference between energy refurbishment of single-family houses with one owner and multi-family buildings with many co-owners, and the latter pose challenges related to the multiple ownership and the need to persuade many households to form an energy community to apply renovation and RES application to the entire building. However, the distinction is more relevant to the organisational and administrative aspects of the OSS business model rather than to the financial mechanisms. The only consideration is that the funding bodies usually require one single counterpart to negotiate with, so in case of multifamily buildings there is a need to establish a legal body representing all co-owners before the financial institutions and other relevant authorities.

A.6 Level of ambition in targeted savings (35 %, 50 %, 75 % or carbon neutral); The current ambition of the Irish Government is for all houses to achieve nZEB standard by 2050 with 25% of the stock achieving it by 2030.

The level of ambition in energy refurbishment of buildings can be divided as follows (as per the report “Increasing capacities of Cities for Innovating Financing in Energy Efficiency” from CITYinvest project):

- Up to 35% reduction of energy consumption and/or GHG emissions: this level of ambition could be reached with short and middle term contract durations (average 10 years) based on technical installation (HVAC, lighting, electrical...) retrofits and managed energy services. As basic indicator of investment intensity, the price per square meter in case of a building retrofit could be less than 50€. Typically, the ESCO (Energy Services Company) private market-based offer targets this level of ambition and there is at date a large number of EPC/ESC projects implemented in Europe. The private market is also able to offer ESCO and/or Third-Party Financing (TPF) options for this level of ambition.
- Up to 50% reduction of energy consumption and/or GHG emissions: this level of ambition could be reached with middle and long-term contract durations (between 15 and 25 years) based on technical installations (HVAC, lighting, electrical...) retrofits, envelope retrofits (insulation), renewable energy equipment and managed energy services. As basic indicator of investment intensity, the price per square meter in case of a building retrofit could be less than 200 €. There are various examples in Europe of EPC/ESC models that have addressed such a level of ambition. ESCO financing and/or TPF financing will be more challenging for this level of ambition.
- Up to 75% reduction of energy consumption and/or GHG emissions: this level of ambition can only be reached with long- or very long-term contract durations (min. 25 years) based on deep retrofits. In most cases, investments can only be partially financed through the energy savings. In such projects the main driver is often not even the energy savings objective, but a thorough functional renovation. As basic indicator of the investment intensity, the price per square meter in case of a building retrofit could reach 1,200 € or more. There are a few examples in Europe of

EPC/ESC model that have addressed such a level of ambition. This level of ambition requires a mix of financing solutions (own funds, conventional financing, ESCO financing, PDU financing, Investment fund).

- Carbon neutral: this level of ambition can only be reached with combined deep retrofit and large-scale renewable energy generation projects. Also, here the driver will be essentially functional and not only energetic. Substantial amounts of own funding are most often required. There are very few examples in Europe of projects or models that have addressed carbon neutrality. This level of ambition will require a broader mix of financing solutions (own funds, conventional financing, ESCO financing, PDU financing, Investment fund).

The level of ambition has not always been specified in the researched OSS cases (D2.1). However, where it has been specified, the most OSS cases are focused on the first two categories (up to 35% and up to 50% savings). These are the least investment intensive renovations involving mature technologies and proven technical solutions, and therefore these are the easiest to fund and get repaid through savings. However, there are more ambitious OSS e.g. Energies POSIT'IF aiming at 75 % reduction; SuperHomes Accelerate SUNSHINE and REFURB referring to “deep retrofits” which means 75 % and more savings. The specification of the targeted energy savings by the OSS is important when defining the business model as increasing the targets increase the investment needed which in turn increase the risk and tightens the requirements to get funded. It is usually offset by combining commercial funding from the financial markets with some type of public support – grants, green certificates, tax exemptions, etc. Therefore, it is important for the five UPSTAIRS pilot communities to define this parameter in their OSS business model. As deep renovation helps municipalities and regions more quickly to comply with EPBD requirements and achieve their sustainability targets, and thus contribute to the EU wide policy on energy efficiency in buildings, they can opt for higher energy efficiency targets and include in the OSSs services a mix of private and public funding.

B) OSS targeting Renewable Energy Communities

The outcomes of the preliminary discussions with the UPSTAIRS pilot communities show that in some of them (Upper Austria Region, Brunntal community, Barcelona Metropolitan Area) there is specific interest on Renewable Energy Communities enabled by the new legislation based on CEP/REDII. Therefore, mostly relevant for these pilot communities are the findings from D 2.1 that relate to the cases of OSSs focusing mainly on RES production. The examples are REScoop Mecise/REScoop Plus, ECOPOWER, PAJOPOWER, Brixton Energy Co-op, and Oleada Solar (specifically focused on PV). The financial instrument that has been found to be used by energy communities for RES-e production is citizen cooperatives and crowdfunding. Following are their main characteristics:

- REScoop Mecise/REScoop Plus (one project with two subsequent phases) is referring to RES cooperatives in Belgium that support citizens wanting to realise innovative projects such as district heating, smart grids, offshore wind – projects

where, traditionally, citizens were not taken seriously as market players. The main aim is to speed up the development of renewable energy projects in a number of communities while experimenting with innovative business models enabling investments in complex projects that traditional investors did not dare to tackle because of the comparatively low returns and helping citizens and municipalities to initiate energy efficiency measures and save energy in their homes or buildings. The project created a dedicated financing tool to help local energy cooperatives finance their renewable energy and energy efficiency projects, aggregating funds from the cooperatives, municipalities and institutional investors.

- Examples of citizen cooperative business models have been found in the study made under CITYinvest Project and a summary factsheet has been developed for three cooperative cases, ECOPOWER a Belgian renewable energy sources cooperative (with 48,000 members), PAJOPOWER, a renewable energy sources cooperative based in Flanders, Belgium, and Brixton Energy Co-op in London, UK, for solar energy production. The three cases share similar characteristics and principles in the business model that are presented below:
 - The cooperative issues shares and invests in renewable energy production installations such as wind turbines and solar PV;
 - All local citizens are eligible to join the cooperative: after purchasing a share they become a co-owner of the installations and thus share in the profits;
 - Members are also given the opportunity to buy green electricity from local sources at a fair price;
 - The cooperatives use part of their income to invest also in energy efficiency in the households in their area;
 - For Brixton Energy Co-op also important is to improve the resilience of a local community by educating and training young people in the community with the aim is to get members of the community involved to learn the trade.
- Oleada Solar is a private collective project created to promote PV panels, taking advantage of all the benefits of self-consumption and the “crowdsourcing” through energy coops and collective purchases. The main aim is collective purchase of photovoltaic installations for homes. One of the strongest features of Oleada Solar is the network building in terms of community, engagement, etc. They have a social-activist profile and communication strategy that helps them to have a strong community.

4.6 Guidelines for preparing the Internal Rules for Operation

The present guidelines aim to set the rules for the operation of the OSSs in the five pilot regions, the responsibilities of the involved staff including the Implementation Champions, and their interaction with citizens. Under these rules citizens are both physical persons (individual citizens) and legal persons (association of owners, citizen cooperatives, etc.) These rules should ensure timely and due quality performing of the tasks for servicing of the

citizens in compliance with the local regulatory framework and reflecting the specifics of each pilot community OSS in terms of legal and organizational structure and subordination.

The Internal Rules of Operation should cover the following main topics:

General Provisions

This section refers to setting the overall goal and specific objectives of the Internal rules which should define the type of relationships between the experts (including IC), as well as their responsibilities for fulfilling their commitments under the project. Other goals of the Internal Rules include: setting up the distribution and definition of the activities of involved experts during each of the stages of the administrative services of the citizens under the project; the establishment of rules for control and ways for seeking responsibility; establishment of the way of involving experts outside the project management team, including ICs, to take part in project activities and contribute to achieving the project targets. All these aspects should be in compliance with principles established with the respective national laws and regulations in the five pilot communities relevant to the administrative services.

Organisation of the administrative service of OSS

This section defines the scope of the services provided by the OSSs and the ways the services will be performed (on-line, in person, etc.), the working hours and other administrative matters.

Provision of information related to the administrative service of OSS

This section presents the ways to inform the citizens about the services provided by the experts involved, including the IC, in order to ensure their active participation and use of the available resources to establish energy communities for energy efficiency and renewable energy applications.

Main requirements for the staff involved in the project related to the administrative service of OSS, including ICs

This section defines the roles, responsibilities and interactions of the staff of each pilot community involved in the OSS operation, including the ICs.

Interaction with customers of OSS services

This section postulates the ways in which the staff of OSS including the ICs will interact with the citizens that are clients to the OSS services reflecting the local conditions and requirements in each of the five pilot regions.

Organisation of Control of Activities and Compliance with Deadlines

This section contains provisions on how the checks and control over the quality and timing of the services will be done. Here are presented the main levels of control as well as the persons that will be authorized to control the activities of the staff involved in the OSSs including the ICs.

Personal data protection

This section is to assure that the main local provisions about personal data protection will be complied with and how it will be done.

Closing Provisions

This section provides for the obligation of the experts involved in OSS operation, including ICs, to know and observe the Internal Rules of Operation and stipulates the moment of their coming into force.

In order to give the pilot communities a concrete example, Asenovgrad Municipality as Task 2.5 Leader have prepared their own Internal Rules (see Annex 3). The rest of the pilot communities will modify and adapt them to match the specific local conditions and the type of organizations that are hosting the OSS, e.g., local authority, energy agency, NGO or other. As the conditions may vary, the pilot communities can also add more specific provisions if deemed important, or delete certain provisions, if they are viewed as unnecessary for the OSS operation in any particular pilot region.

5. Summary of the UP-STAIRS Energy Service OSS framework

KEY PILLARS OF THE UPSTAIRS OSS COMMON FRAMEWORK	
END-USERS TARGETED	<ul style="list-style-type: none"> The framework can be adapted either for multifamily buildings or for single houses, depending on the regional particularities and the market analysis in the region. The initial strategy to tackle end-users would be to target: <ul style="list-style-type: none"> Early adopters and sensitized citizens to recruit them as multipliers/ambassadors for reaching out other citizen profiles (including vulnerable ones). Communication strategy, early adopters, and Implementation Champions to reach the other profiles of citizens. The market gap and the demand for an integrated support service are shared between different contexts. However, a strong promotion strategy is needed to reach the end-users and generate traffic to the OSS.
STRUCTURE	<ul style="list-style-type: none"> The activities should include both consultancy services and capacity building at the delivery organization and at the community levels. Key stakeholders need to be reached out and synergies built with them, from the public administration at different levels and departments, and with key market actors. Resources needed are mostly based on building knowledge on several aspects for providing the support on collective actions (technical, financial and legal). The access of the end-users to the OSS can be physical (with one or several front offices, or the staff going to specific on-site visits) or not, but digitalization tools and the digitalization of the OSS services is seen as necessary in all cases.
VALUE PROPOSITION	<ul style="list-style-type: none"> To provide all the elements of a collective action in one place. Present, promote and facilitate financial schemes to implement the collective actions. Aggregate and help citizens networking to build new LECs. Act as a neutral mediator for LECs conflict management. Coordinate with providers and define quality standards for the external contractors.
FINANCIAL ASPECTS	<ul style="list-style-type: none"> To provide integrated advice to the end-users, considering a mix of available options at the pilot region, and including the support in the economic analysis and budgeting of the different solutions. To facilitate information and access to public funding, soft loans and tax incentives. To collaborate with local stakeholders, like ESCOs, revolving funds, crowdlending or equity crowdfunding services, and other specific financial instruments available in each pilot. To foster collective strategies to optimize costs, like collective buying schemes to achieve economies of scale. To support in accessing all these financial resources through the

	accompaniment in the administrative and bureaucratic process.
COMMON ASPECTS OF THE DIFFERENT PHASES FOR THE UPSTAIRS OSS	
PRE-SERVICE	<p>Market analysis</p> <ul style="list-style-type: none"> • Identify the opportunities in the region to fulfil market gaps and thus offer an attractive service to citizens. • Narrow down the scope of end-users targeted and the services to be provided through the OSS. <p>Analysis and definition of the available resource</p> <ul style="list-style-type: none"> • Tailor the defined services to the existing resources. • Design an OSS adapted to the resources available in the region. <p>Staff capacities</p> <ul style="list-style-type: none"> • Identify training needs. • Develop a capacity building program to adapt the staff capacities to the market needs. <p>Promotion of the OSS service</p> <ul style="list-style-type: none"> • Tailor messages, channels and materials to the target groups. • A marketing campaign is launched on social medias, while marketing content is shared amongst affiliated actors and institutions • Reach end-user during all the implementation phase. • Keep target groups engaged.
SERVICE	<p>Potential categories of services to be provided are:</p> <p>Organizational advice and support</p> <ul style="list-style-type: none"> • Support materials and advice to set up a legal entity. • Support/intermediation for putting non-organised citizens in contact to launch a collective action. • Aggregation of similar individual projects, economies of scale. • Interlocution with providers for negotiating collective prices. <p>Legal advice and support</p> <ul style="list-style-type: none"> • Define if internal staff or external support is necessary. • Provision of general information. • Provision of legal standardized templates for legal documents. • Tailored advice to each energy community. <p>Financial advice and support</p> <ul style="list-style-type: none"> • Negotiate specific conditions with financial institutions to facilitate the access to financial products. • Develop specific financial instruments (e.g. loans) if the resources are available in the delivery organization. • Identify the best financial instruments for different types of projects to provide tailored advice.

	<ul style="list-style-type: none"> • Economic analysis for the projects fostered through the OSS. • Certify economic studies to facilitate third party finance. • Budgeting with providers, market-neutral comparison. <p>Information and technical advice</p> <ul style="list-style-type: none"> • Provision of unbiased and comparative information. • Support of the process of getting the necessary licenses. • Support with the administrative documentation. • Developing templates for the elaboration of technical projects. • Certification of providers that follow high quality standards. • Elaboration of the technical project. <p>Arbitration and mediation</p> <ul style="list-style-type: none"> • Facilitator of the process, being the reference persons to lead the process, setting up milestones and activities to help the communities move forward on their goals. • Develop and offer different resources or training for empowering citizens and local energy communities in these collective processes to help managing internal conflicts.
POST-SERVICE	<p>Potential services to be provided after the main goals are achieved:</p> <ul style="list-style-type: none"> • Technical maintenance of the installations (with or without a fee). • Mediation or arbitration in conflicts. • Third party certification of energy savings if the projects involved EPC contracting. • Others
CONTINUOUS IMPROVEMENT	<ul style="list-style-type: none"> • Continuous training/upskilling of advisory staff • Continuous promotion of the service • Keep commercial independence • Quality control and monitoring of impacts • Gain public support and keep a long-term vision

FINANCIAL MECHANISMS TO SUPPORT COLLECTIVE ACTIONS	
OSS funding vehicle	<ul style="list-style-type: none"> • Own vehicle of the OSS. • Cooperation/specific agreements with financial institutions. • The OSS does not offer a financial vehicle to their end-users.
Implementation method used	<ul style="list-style-type: none"> • Separate contracting • EPC (integrated contracting)
Financial mechanism used	<ul style="list-style-type: none"> • Homeowner own funds • Third party finance • On-tax mechanisms • Crowdfunding
Risk distribution	Which levels of financial risk are taking on the OSS, the owner and the contractors?
Single or	Consider if the counterpart s a physical person or a legal entity.

multifamily buildings	
Level of ambition of the targeted savings	<p>This will have an impact on the financial instruments that can be considered, as the targeted savings are directly related to the investment size, and this also impacts the payback times.</p>

6. Conclusions

Although setting up an OSS targeting citizens highly rely on local and regional particularities (different political, market and social aspects), and on the delivery organisation background, resources and objectives, many common aspects can be taken into account to guide the first steps of designing an OSS of this kind. These aspects have been defined to be the common basis to build on the UPSTAIRS local and regional pilots, and also to set up some guidance for any other institution willing to deploy an OSS for promoting collective actions.

The main elements to be further developed locally or regionally for the implementation of the OSS are:

- The market analysis, identifying the specific added value and current market gaps that the OSS will cover in their region.
- The end-users / target groups definition that the OSS service will primarily target.
- The definition of the communication and Collective Engagement Strategy that each pilot will follow in order to reach the defined targets.
- The specific services to be provided, defining which level of involvement will be provided by the OSS in each service category defined, according to their own goals and available resources.
- The specific staff and resources to be allocated, including also the available infrastructure, and the digitalisation aspects of the service.

Annexes

Annex 1 – Factsheets with the pilots’ preliminary ideas

PILOT 1 – CITY OF CORK (IRELAND)

- Size and covered territory:**

City of Cork, 187 sq km, 210,000 population.

- Will you target single-family buildings, multi-family buildings or both?**

Both, but only a small percentage of buildings are multi-family buildings

- Elements of the value chain you intend to cover**

Element	Some Internal knowledge	External Training Reqcd.
Budgeting	Yes	Yes
Competitive Advantage	Yes	Yes
Social Responsibility	Yes	Yes
Customer needs	Yes	Yes
External Resources	Yes	Yes
Options (idea generation)	Yes	Yes
Information management	Yes	Yes
OSS infrastructure	No	Yes
Technical considerations	Yes	Yes
Financing	Yes	Yes

- Potential partnerships with financial institutions to deliver a financial instrument (or internal financial instruments that could be used) to also offer financial services to the end-users:**

Cork City Council is not currently in a position to offer financial services. – Currently the Credit Unions and AnPost are offering loans. Cork City Council will point users towards the financial instruments available on the Irish Market.

- Key delivery organisation**

Not finalized yet. Most likely Cork City Council but it may also be operated through one or more local energy agencies (e.g. energy cork)

- Key sectors and topics addressed**

Improving energy efficiency in the home. Achieving the nZEB standard in your home

- Main delivery structure**

Mainly a new online service. There is a possibility of a front office.

- **Main funding sources of the OSS**

Up-Stairs project

- **Training needs for the OSS team**

- Customer relationship management
- Elements to deep retrofitting a home
- Building Energy Ratings
- Levels/types of retrofit
- Available grants
- Knowledge of Paris accord, nZEB (and all its variants), passive housing and relevant building regulations especially parts F(ventilation), L (Conservation of fuel and energy) and B (Fire safety)
- Cold Bridging – Mould, Dampness

- **How do expect to attract "end-users" for the services**

Using social media, radio (possibly TV) and printed press, Implementation Champions, community leaders, advocates, ambassadors.

PILOT 2– BARCELONA METROPOLITAN AREA (SPAIN)

- **Size and covered territory:**

36 municipalities, 3,2M people (20,000 citizens reached; 3,000 registered users on UP-STAIRS Platform)

- **Will you target single-family buildings, multi-family buildings or both?**

Both

- **Elements of the value chain you intend to cover**

- Internal knowledge: technical advice, managing providers
- Need of training or externalizing: Communication skills and strategies to reach citizens, legal counselling, financial instruments

- **Potential partnerships with financial institutions to deliver a financial instrument (or internal financial instruments that could be used) to also offer financial services to the end-users:**

- IDAE – The Spanish energy agency, that at this time is very active on financing innovative projects. We have a close contact with its General Manager

-
- ICF – Public Catalan Bank, also aiming to finance energy projects

- **Key delivery organisation**

Public authority through the Office of Energy Transition that belongs to the Department of Climate Emergency and Environmental Education

- **Key sectors and topics addressed**

Solar PV installations to share the energy in the community. EE could be considered although some internal difficulties should arise, depending on the OSS final shape

- **Main delivery structure**

Online services and existing front offices from metropolitan municipalities (Energy advisory offices) seem the best options. The creation of a AMB front office could be studied.

- **Main funding sources of the OSS**

To be defined, with internal human resources from AMB. But limited

- **Training needs for the OSS team**

Communication skills, strategies to reach citizens, technical knowledge and business model overview.

- **How do expect to attract "end-users" for the services**

Through the collaboration of the municipalities in the Metropolitan Area of Barcelona to analyse and gather the most potential energy communities within the area. And also through the Environmental Education program that reaches 40.000 people at the end of the year.

PILOT 3 – UPPER AUSTRIA (AUSTRIA)

- **Size and covered territory:**

The OSS will cover Upper Austria, one of Austria's nine regions, with an area of almost 12,000 km² and 1.5 million inhabitants.

- **Will you target single-family buildings, multi-family buildings or both?**

We will target supporting the establishment of the new "renewable energy communities" (REC), acc. to Art. 22 REDII, especially regarding enabling citizens to participate in these new RECs.

- **Elements of the value chain you intend to cover**

We will provide support on the technical, regulatory, financial and organisational aspects of energy communities. ESV already has a significant level of expertise in these subjects, also building upon its OSSs for building renovation and energy contracting.

A key activity in preparing and operating the OSS will be to follow very closely all developments of the emerging regulatory framework and ensure that this information is made available rapidly both internally and externally. Also, emerging technical and business model solutions will need to be monitored and evaluated constantly. If these are of interest, the information and know-how will have to be distributed rapidly. All this will entail significant internal training. At the moment, no externalising is foreseen to be necessary.

- **Potential partnerships with financial institutions to deliver a financial instrument** (or internal financial instruments that could be used) to also offer financial services to the end-users:

For the moment, no specific new partnerships are planned. However, the ESV has excellent working relationships with the key public funding bodies on regional and national levels and will be in close contact with them. This will include collecting information from them to deliver to market actors as well as giving inputs and guidance for new funding initiatives.

- **Key delivery organisation**

ESV as a public organisation will be the service provider. We will add a new "energy community support service" (cool name still to be found) to our existing service portfolio.

- **Key sectors and topics addressed**

We will support the creation and implementation of renewable energy communities. The focus of these energy communities is likely to be on PV but could also include other renewables as well as energy efficiency actions.

- **Main delivery structure**

We plan on providing the OSS services through a range of communication channels: via phone, e-mail, video conferences as well as in our offices, onsite (at the energy communities) and in the context of events (when covid rules allow this again).

- **Main funding sources of the OSS**

The setting-up and initial operation of the OSS will take place using the Upstairs budget. ESV will aim to include the OSS in its general budget after the project end.

- **Training needs for the OSS team**

See above "Elements of the value chain you intend to cover".

- **How do expect to attract "end-users" for the services**

A key partner for attracting end-users are the 440 municipalities (to which we have very good contacts). Especially in rural areas, this is a very effective approach. Additionally, a range of promotional activities for direct communication with end-users is planned (e.g. newspaper articles, social media posts etc.)

PILOT 4 – ASENOVGRAD MUNICIPALITY (BULGARIA)

- **Size and covered territory:**

Municipality of Asenovgrad has about 67 000 inhabitants and occupies 615 sq.km. territory. The focus of OSS operation will be the whole territory of the municipality.

- **Will you target single-family buildings, multi-family buildings or both?**

The main target is multifamily residential buildings.

- **Elements of the value chain you intend to cover**

- All elements of value chain (except funding which will be outside the OSS structure) will be covered to provide easy access to information, providers and adapted solutions incl. financial solutions. This means:
- Marketing, consultation, facilitation, aggregation, financial advisory, assessment, monitoring of works.
- Training of the Implementation Champions will be needed for all of the above elements.

- **Potential partnerships with financial institutions to deliver a financial instrument (or internal financial instruments that could be used) to also offer financial services to the end-users:**

Asenovgrad municipality is not currently in a position to offer funding for renovation of homes. It plans to have partnerships with national funding vehicles and financial institutions /banks/ which are offering grants or loans.

- **Key delivery organisation**

Not finalized yet but most probably the OSS Implementation Champions will be employees of Asenovgrad municipality.

- **Key sectors and topics addressed**

Improving energy efficiency in multifamily buildings consisting of privately owned apartments with many different owners which require collective action and legal establishment of an energy community to undertake energy renovation of the whole building.

Renewable energy to be implemented in multifamily buildings during renovation – e.g. rooftop PV panels or biomass boilers for the building that will serve the energy communities established.

- **Main delivery structure**

The initial plan was to have physical and services but given the circumstances with COVID-19 it will be mainly on-line services. After passing the danger of coronavirus, the possibility of opening a front office will be considered.

- **Main funding sources of the OSS**

Up-Stairs project

- **Training needs for the OSS team**

- Marketing – value proposition and how to promote it;
- Consultation – on legal aspects, technical solutions and other benefits, funding options;
- Facilitation – assistance with legal issues of collective actions, gathering necessary documents, filling applications for funding and choosing contractor after approved funding depending on the programs options;
- Aggregation of projects of many apartment owners in the same building to provide an overall solution for the entire building
- Financial advisory on energy efficiency feasibility assessment and possible funding sources;
- Monitoring of works.

- **How do expect to attract "end-users" for the services**

Promote the project, its on-line platform and OSS structure using municipal internet site, social media, local printed press and promotional materials. Organizing events – on-line or in presence if possible.

PILOT 5 – BRUNTHAL MUNICIPALITY (GERMANY)

- **Size and covered territory:**

- 2,400 households, 5,000 citizens, 27 km², Municipality of Brunthal, Bavaria, Germany
- Depending on the local authority/energy agency/municipality we are engaging with, we might be able to increase the territory to 490.000 citizens, covering 1220 km².
- In the following, only the situation and requirements for the municipality of Brunthal are included.

- **Will you target single-family buildings, multi-family buildings or both?**

- Both but with a focus on single-family buildings as this is the majority in the covered territory of Brunenthal
- In Germany it is not foreseeable, if and when supporting legislation for the "renewable energy communities" (REC), acc. to Art. 22 REDII, will be available. We are in discussions with different energy agencies on local and national level to get clarification on this topic

- **Elements of the value chain you intend to cover**

Depending on the kind of partnership(s) with local authorities (which will be either the municipality or the local energy agency or a combination of them), we plan to provide technical, regulatory, financial and organizational support in setting up Energy Communities by citizens. The current energy consultants working at the energy agency have decent knowledge in the fields of technology and finance. Training on these topics will only be needed in relation to REC's and CEC's and their provision through an OSS.

Additional training on the regulatory and organizational setup of Energy Communities will need training efforts.

For the setup of an energy community in the sense of a renewable energy community exchanging energy and doing joint investments in renewable energy technologies, the following elements might apply:

- Technical advice (external), e.g.
 - o Evaluation if household is suitable for participation
 - o Evaluation which (additional) assets are suitable for the participating household
 - o Evaluation which assets are suitable for joint investments in assets of a larger scale (wind power plants, ground-mounted PV)
- Legal counselling (external), e.g.
 - o Evaluation of joint investments in larger-scale assets
- Financial instruments (external), e.g.
 - o Evaluation of joint investments in larger-scale assets
- Operational support (external)
 - o Evaluation of potential technical implementation partners (installers, electricians, ...)
 - o Evaluation of Energy service providers or utilities eligible to set up such renewable energy communities

- **Potential partnerships with financial institutions to deliver a financial instrument (or internal financial instruments that could be used) to also offer financial services to the end-users:**

Most/All local, regional and national agencies and municipalities work with the KfW (KfW is one of the world's leading promotional banks and is committed to improve economic, social and environmental living conditions), which offers a very good, structured set of financial tools to enable sustainability and energy efficiency projects.

- **Key delivery organization**

The pilot will either be set up by a local energy agency or from the municipality of Brunnthäl.

The energy agency has several different lines of business and delivers its services with approx. 25 employees. The municipality has one employee responsible for climate activities.

• **Key sectors and topics addressed**

As written above, in Germany it is not foreseeable now, if and when supporting legislation for the "renewable energy communities" (REC), acc. to Art. 22 REDII, will be available.

The target for the pilot of Brunnthäl is still to enable the setup of renewable energy communities, which will be based on combining energy production through PV-systems with local consumption and eventually storage. Investments in energy generation (and storage) assets might also be a topic to be addressed.

• **Main delivery structure**

The local partner(s) will make use of the digital platform to promote the OSS but will eventually add other kinds of marketing activities such as online-webinars, their website, provision of materials in their shops / the main hall (2) and others. If the Covid situation allows that, participation in or setting up own events might be able.

• **Main funding sources of the OSS**

The online version of the OSS will be set up and initially operated by Upstairs budget and after that transferred to the local partners (energy agency and/or municipality). The ICs are employed by the energy agency and/or the municipality.

• **Training needs for the OSS team**

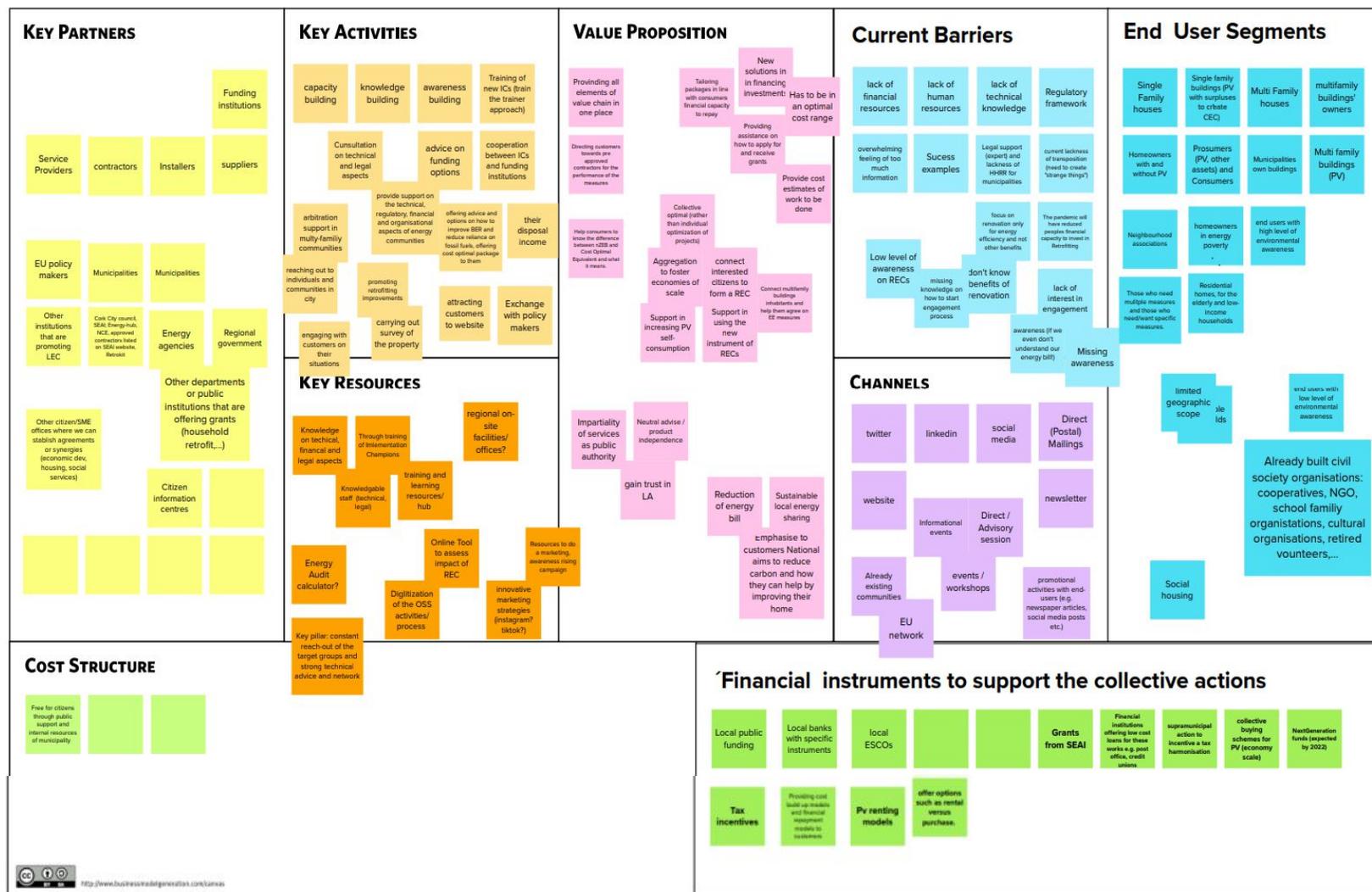
Depends largely on the OSS and the pre-qualification of the energy advisors within the municipality or the energy agency. But after all, training should be made available in order to be able to use the UP-STAIRS platform properly.

• **How do expect to attract "end-users" for the services**

Initially, the new regulation/legislation of the REC's / CEC's should enable very attractive "business models"/ offerings for the end-customers in the sense of savings for energy shared amongst each other. On top of this pre-requisite, we might use the following activities to share the news around the program:

- Local marketing campaigns, local events, local newspapers
- Online campaigns
- Mouth-to-mouth
- Website of energy agency

Annex 2 – Overview of the Business Model Canvas results during the first focus group session



Annex 3 – Internal Rules for the Organization of Administrative Services of Citizens within OSS for EE and REC for the City of Asenovgrad

APPROVED by (*signature*) - Mayor or Deputy Mayor

Municipality of Asenovgrad

INTERNAL RULES FOR THE ORGANISATION OF ADMINISTRATIVE SERVICES OF CITIZENS WITHIN ONE-STOP-SHOP FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY COMMUNITIES IN THE FRAMEWORK OF PROJECT

„UP-lifting Communities: Structuring collective Action of Sustainable local Transition
and Identifying Regulatory Solutions for adopting frontier technologies and disruptive
business models (UP-STAIRS)”

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SECTION I. GENERAL PROVISIONS

Article 1.(1) The present Internal Rules are developed for the experts (including ICs) involved in the establishment and operation of One-Stop-Shop for energy efficiency and renewable energy communities in Asenovgrad Municipality (OSS Asenovgrad) under the project „UP-lifting Communities: Structuring collective Action of Sustainable local Transition and Identifying Regulatory Solutions for adopting frontier technologies and disruptive business models (UP-STAIRS)”, Contract № 892037, financed by „Horizon 2020” of the European Commission, Executive Agency for Small and Medium Enterprises (EASME).

(2) The overall goal of the present internal rules for organization, called „internal rules” hereinafter, is to settle the relationships between the experts involved in OSS Asenovgrad as well as their responsibilities for fulfilling their commitments under the project.

(3) The main objectives of the internal rules are:

- 1.To achieve optimal distribution and definition of the activities of involved experts (incl. IC) during each of the stages of the administrative services of the citizens under the project.
- 2.To create adequate rules for control and ways for seeking responsibility.
- 3.To establish the way of involving experts (outside the project management team) to take part in project activities and contribute to achieving project targets.

Article 2. The administrative servicing of OSS Asenovgrad under the project is done in compliance with principles established with the respective national laws and regulations in Republic of Bulgaria relevant to the administrative services.

Article 3.(1) „Administrative service” is each service related to performing administrative servicing by the involved project experts incl. ICs such as provision of consultations, information and guidance of legitimate interest to citizens (physical and legal persons) within project activities.

(2) Citizens under the project are both physical persons (individual citizens) and legal persons (association of owners, citizen cooperatives, etc.)

Article 4. The present internal rules regulate the interactions of the involved project experts while performing the administrative service and the consecutiveness of their actions.

SECTION II. ORGANISATION OF THE ADMINISTRATIVE SERVICE OF OSS ASENOVGRAD

Article 5. The administrative service of OSS Asenovgrad under the project is done through:

1. Project internet platform: <https://www.h2020-upstairs.eu/>.
2. Electronic administrative service of Asenovgrad Municipality at www.asenovgrad.bg, heading
3. OSS Asenovgrad at the address: Asenovgrad, “Acad. Nikolay Haytov” Square № 9.

Article 6./1/ The working hours with clients are from 8.00 a.m. till 5.00 p.m.

/2/ the internet site www.assenovgrad.com and the UPSTAIRS project portal are available 24/7.

SECTION III. PROVISION OF INFORMATION RELATED TO THE ADMINISTRATIVE SERVICE OF OSS ASENOVGRAD

Article 7./1/ The OSS Asenovgrad provide information about the way, organization and types of services performed.

/2/ The information about administrative service should be:

1. Clear, concrete, reliable, easy to understand, systematic and complete;
2. Accessible for disabled people;
3. Without abbreviations and references.

Article 8./1/ Information about the services provided by OSS Asenovgrad under the UPSTAIRS project can be obtained also at:

1. UPSTAIRS internet platform: <https://www.h2020-upstairs.eu/>
2. Telephone,
3. Asenovgrad Municipality site www.asenovgrad.bg, heading:

SECTION IV. MAIN REQUIREMENTS FOR THE STAFF INVOLVED IN THE PROJECT RELATED TO THE ADMINISTRATIVE SERVICE OF OSS ASENOVGRAD, INCL. ICs

Article 9./1/ The OSS Asenovgrad staff involved in the project (incl. ICs) accept documents related to performing the administrative service and submit prepared documents for to citizens (physical and legal persons).

/2/ The OSS Asenovgrad staff involved in the project, incl. ICs

1. Provide information for the administrative service and easy to understand language;
2. Answer to general questions and forward specific questions according to competences
3. Clarify the requirements for the application for administrative service according to the established order;

-
4. Accept and register applications for administrative service;
 7. Give information about the developments in the applications;
 8. Perform the connection with other experts within their competences related to the administrative service provided;
 9. Submit to the citizens the prepared answers to their questions.

/3/ The staff appointed in written to perform concrete activity related to concrete administrative service are obliged to:

1. To process the materials immediately after receiving them and to submit the result in the due deadline;
2. After providing the service or issuing a justified refusal to provide, to keep the documentation until submitted to the archives;
3. To forward files/documents towards respective officials according to competences.
4. To inform their direct supervisor or the recipient of the service about the reasons for deadline extension;
5. Upon absence (annual leave, sick leave, business trip) and quitting the job to submit the working documents to their appointed successor, who should continue the work and comply with the deadlines;
6. Upon quitting the job to submit all documents to their direct supervisor with a protocol;
7. To submit the outgoing documentation in the Information centre/ document storage service with:
 - Precise and full address;
 - Incoming number of the file to answer.

Article 10.(1) The deputy mayor and the UPSAIRS Asenovgrad project manager, as the person to control the work of the staff involved in the project, performs the control by:

1. Watch for compliance with the obligations and deadlines of the staff involved in the project;
2. Controls the movement of the documents;
3. Upon necessity and at his discretion requires statement on the rightfulness and expediency of any of the prepared elements of the administrative servicing;
4. Upon emergence of objective hurdles, beyond the will of the staff involved in the project and leading to slow-down the work, to prolong the deadlines and inform about this the concerned citizens.

Article 11./1/ The deputy mayor and the UPSAIRS Asenovgrad project manager browses incoming documents and puts a note on them to appoint the staff member(s) (note of appointment) with relevant competences and involved in the project.

/2/ The note of appointment is placed on the document and states the staff member who should process the request, the task and the deadline, as well as the date and the signature of the person doing the forwarding.

/3/ Each note of appointment is related to a concrete document.

Article 12./1/ The administrative servicing of Asenovgrad OSS is done through coordination of responsibilities and obligations of the involved project experts that are responsible for the concrete service. The direct responsibility falls upon the staff member to whom the task has been appointed.

/2/ Staff members who have been appointed to perform the respective task, should perform the task in time and with due quality. Immediately after performing the task, the staff members should report its fulfilment

/3/ When a task cannot be performed due to objective reasons, the staff member:

a. Registers in written the fact regarding the fulfilment

b. Puts a note to inform the competent officer.

/4/ When there are more than one staff members appointed, the responsibility for fulfilling the task falls upon all of them.

Article 13. The outgoing correspondence is signed by the Deputy Mayor and of the project manager of Asenovgrad participation in UPSTAIRS project

Article 14./1/ The outgoing and the internal correspondence are submitted to the Information Centre/document storage service for outgoing and stamping with the stamp of the Municipality of Asenovgrad. They should be signed, properly processed and addressed, with respective annexes, in as many copies as the number of recipients plus a copy for the archives and a copy for the file at the responsible staff member.

/2/ After signing and stamping the documents, they cannot be altered in any way.

SECTION V. INTERACTION WITH CUSTOMERS OF OSS ASENOVGRAD SERVICES

Article 15./1/ The OSS of Asenovgrad Municipality accepts requests for information and consultations in written and in oral form.

/2/ When citizens chose the communication to be done by phone, internet or in person at the OSS Asenovgrad premises, the necessary information is provided in oral form.

/3/ The customers of administrative services can be represented by other citizens and organizations with written letters of attorney with notary approval of signatures

/4/ The written requests, received by the staff at the OSS Asenovgrad are registered according to the general order stipulated by the Internal Rules of Functioning of Asenovgrad Municipality Administration.

/5/ The date for commencing of the activities for administrative servicing is the date of receiving of the request in Asenovgrad Municipality.

/6/ The requested for administrative servicing signed by valid electronic signature are equivalent to written and oral requests.

Article 16./1/ All documents received and accepted on paper, should be scanned and digitalized.

/2/ The digital image of the paper documents under item 1 are inserted in the Administrative Information System. It should be in format allowing for its viewing.

Article 17/1/ The experts involved in the project perform the administrative servicing within the duly accepted deadlines.

/2/ The deadlines can be stated on the same document with the proper text.

/3/ When there is no deadline stated on the document, in the note of appointment or according to the normative documents, the requested by the document tasks should be fulfilled within 30 days.

/4/ When the term is states in days without a fixed deadline, the term is calculated in calendar days and the counting starts from the first day after he document was given a note of appointment. The term ends on the last day inclusive. In case the last day is a non-working day, the term ends on the first working day after it.

/5/ Upon objective circumstances hampering processing on time, the responsible staff member can prolong it while informing the recipient of the service and reflecting it in the electronic system. The prolonging cannot be more than one month.

/6/ When there are more than one responsible person with connected competences appointed, the leading organizational and control person is the one stated on the first place.

/1/ The provided administrative servicing is free of charge.

Article 18. When working with clients, the staff should observe the norms and internal standards of servicing of Asenovgrad Municipality introduce with respective Clients Charter and Ethic Code of servants in the municipal administration.

SECTION VI. ORGANISATION OF CONTROL OF ACTIVITIES AND COMPLIANCE WITH DEADLINES

Article 19. The control in relation to the administrative servicing comprises of checks about strict compliance with deadlines and quality of provided services.

Article 20. /1/ The control is performed by the Deputy Mayor and UPSTAIRS Asenovgrad project manager who have done the note of appointment at the following levels:

1. Mayor;
2. Deputy Mayor.

/2/ Control can be performed also by the client requesting the services, physical and legal person, by means of looking up the status of the concrete file in the electronic system, in person in the OSS Asenovgrad, on the site of the municipal administration or by filing a complaint against the quality of the perform administrative services.

Article 21. The UPSTAIRS Asenovgrad project manager executes continuous control on performing the works by following the state of readiness of the created documents containing intermediate or final results related to performing the works.

SECTION VII. PERSONAL DATA PROTECTION

Article 22. /1/ All activities related to incoming documents pursuant to the present Internal Rules and containing personal data as well as and all works related to document storage service registration of the electronic documents, if they contain personal data, are done and compliance with the requirements of Personal Data Protection Law.

SECTION VIII. CLOSING PROVISIONS

§1. The involved staff members are obliged to know and comply with the current Internal Rules.

§2. The present Internal Rules come into force from the date of their approval