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THE AUTHORIZATION CHECKLISTS FOR VARIABLE RENEWABLE ENERGY

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29 April 2020

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DATA

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ACRONYMS

EIA	Environmental Impact Assessment
EnCT	Energy Community Treaty
GIS	Geographic Information System
GNERC	Georgian National Energy and Water Supply Regulatory Commission
GoG	Government of Georgia
GSE	Georgian State Electrosystem
LEPL	Long-Range Energy Alternatives Planning
MEPA	Ministry of Environmental Protection and Agriculture of Georgia
MoESD	Ministry of Economy and Sustainable Development of Georgia
NASP	National Agency of State Property
PPP	Public Private Partnership
USAID	United States Agency for International Development

CONTENTS

1. INTRODUCTION	5
2. EXECUTIVE SUMMARY	6
Checklist for Submission of Initiative Proposal on Concession in the Energy Sector.....	7
Checklist for submission of Proposal on Concession in the Energy Sector	8
Checklist for Submission of Application to Obtain Environmental Decision	9
Checklist for State Owned Land Privatization Through Auction	12
Checklist for Land Category Change	13
Checklist for Construction Permit.....	14
Checklist for Connection to the Transmission Network	16
Checklist for Electricity Generation License.....	18
3. CONTACT INFORMATION	19

INTRODUCTION

The objective of the USAID Energy Program (“Program”) is to support the Government of Georgia (GoG) to enhance the energy security of the country through promoting the deployment of local energy resources and meeting commitments under the European Energy Community Treaty (EnCT). The investment objective will be achieved through the provision of technical assistance to a variety of stakeholders in the energy sector. The ultimate goal of this Program is to enhance Georgia’s energy security through the improved legal and regulatory framework and increased investments in the energy sector. The expected outcome of this Program is an energy legal and regulatory framework that complies with European requirements and encourages competitive energy trade and private sector investments.

The Program covers five major areas: 1. Energy Market Development in Compliance with European Union (EU) Energy Acquis; 2. Evaluation of the Fiscal and Long-Term Impacts of Regulatory Changes; 3. Energy Investments in Variable Renewable Energy (VRE) Development; 4 Integration of Non-Hydro Renewable Energy into the Power System; and 5. Advisory Services to the GoG to Increase Georgia’s Energy Security.

Under the Task 3, the Program supports the enhancement of enabling environment for small and medium-sized VRE plants, thus promoting the diversification of generating capacity of the country. To that end, the Program provides recommendations to VRE project developers on technical, financial, legal, and environmental issues tailored to project-specific needs. USAID Energy Program under sub-task 3.3., inter alia, shall support selected VRE projects in preparing applications for authorization and license of new generation facilities.

The USAID Energy Program elaborated Authorization Checklists on permits and licenses essential for renewable energy projects development in Georgia. The checklists serve to support project developers by providing profound insight into the requirements for formal authorization to implement certain activities for VRE projects.

EXECUTIVE SUMMARY

The Authorization checklists are proposed to project developers seeking advice on vital information to apply for permits and licenses appropriate to their projects.

The Authorization Checklists were designed for all types of licenses and permits requested prior to commercial commissioning of the VRE project. The Authorization Checklists are prepared for the following applications:

- Initiative Proposal on Concession in Energy Sector;
- Environmental Decision;
- Land Privatization;
- Land Category Change;
- Construction Permit;
- Connection to the Transmission Network;
- Electricity Generation License.

Each checklist provides information on documents, studies, and certificates to be submitted to appropriate institution for obtaining authorization to implement the particular activity.

Furthermore, when necessary the checklist details the issues to be addressed in respective assessments or studies. Thus, ensuring the completeness of information against which the authorizing institution is conducting the administrative procedure. The title and contact information of the authorizing institution are also presented.

CHECKLIST FOR SUBMISSION OF INITIATIVE PROPOSAL ON CONCESSION IN THE ENERGY SECTOR

AGENCY TO BE SUBMITTED TO: The Ministry of Economy and Sustainable Development of Georgia (MoESD)

Copy to the Public Private Partnership Agency (PPP Agency)

Note: Project Proposal should include information with sufficient details to demonstrate compliance with the set of requirements

REQUIREMENTS FOR THE PROJECT PROPOSALS	STATUS		COMMENT
	YES	NO	
Does the project proposal address needs identified in the energy sector by the authorized body?			
Does the project proposal include information on the project's scope, parameters, funding requirements for implementation (i.e., construction, maintenance, and/or operating costs), and the project's ability to generate income?			
Does the goal of the project meet public interests by creating public infrastructure and/or improving existing infrastructure and/or providing public services?			
Is the project expected to produce value added and/or innovation?			
Does the project estimate the potential impact of the entire project on the budgets of both the public and private parties?			
Does the project assess the fiscal risks of the project?			

CHECKLIST FOR SUBMISSION OF PROPOSAL ON CONCESSION IN THE ENERGY SECTOR

AGENCY TO BE SUBMITTED TO: MoESD

Note: Proposals on concession in the energy sector can be submitted only for those entities that successfully passed qualification stage

REQUIREMENTS FOR THE PROJECT PROPOSALS	STATUS		COMMENT
	YES	NO	
Does the technical proposal include technical solution for the public service defined in the Invitation to Submit Proposal?			
Does the technical proposal describe the proposed work?			
Does the technical proposal define a solution for operations?			
Does the technical proposal describe capabilities to achieve the required results in quantitative and qualitative terms?			
Does the technical proposal provide issues related to environmental standards/requirements?			
Does the financial proposal provide costs for construction and project activities?			
Does the financial proposal provide annual operation and maintenance costs and capital expenses?			
Does the financial proposal include a proposed financial solution for ensuring public services?			
Does the financial proposal estimate income to be received from the provision of public services?			
Does the financial proposal provide tariff, service fee, or charge during the contract validity period?			
Does the financial proposal define the amount of financial support, if any expected from the public partner?			
Does the financial proposal provide a profit distribution plan under which the private partner will make payments to the public partner for the right to implement the PPP project?			
Does the financial proposal provide terms and conditions of the contract that define when and how the public partner will fully or partially receive or pay for the project?			
Does the financial proposal provide financial parameters and cash flows expected during the contract validity period?			
Does the legal proposal include a legal form for the selection process candidate?			
Does the legal proposal include a legal form for the private partner?			
Does the legal proposal include legal form for the full project, which may include contracts between multiple parties?			
Does the legal proposal include the compliance of project with active legislation?			
Does the proposal include a guarantee on the proposal?			

CHECKLIST FOR SUBMISSION OF APPLICATION TO OBTAIN ENVIRONMENTAL DECISION

AGENCY TO BE SUBMITTED TO: The Ministry of Environmental Protection and Agriculture of Georgia (MEPA)

REQUIREMENTS FOR THE SCREENING APPLICATION	STATUS		COMMENT
	YES	NO	
Does the screening application provide the name of administrative body the application is meant for?			
Does the screening application provide the identity, address, and signature of the applicant?			
Does the screening application provide the date of application submission?			
Does the screening application list the documents attached to the application?			
Does the screening application include a brief summary of the project?			
Does the screening application provide a report on project characteristics, including location and the nature of potential impacts?			

REQUIREMENTS FOR THE SCOPING APPLICATION	STATUS		COMMENT
	YES	NO	
Does the scoping application provide a name of the administrative body the application is meant for?			
Does the scoping application provide the identity, address, and signature of the applicant?			
Does the scoping application provide the date of application submission?			
Does the scoping application list the documents attached to the application?			
Does the scoping application provide a report			
- with a brief description of the project and possible alternatives?			
- with the location of the project, including Geographic Information System (GIS) coordinates?			
- with the general technical specifications of the project (e.g., capacity, length, area, output)?			
- with the description of types and significance of potential impacts of the project?			
- with the description of potential significant impacts of the project on protected areas if any?			
- with the description of potential transboundary environmental impacts, if applicable?			
- with baseline surveys and investigations that should be carried out?			
- with methods and criteria required in the Environmental Impact Assessment?			
- with mitigation measures to be considered?			
- the potential impact of the planned project on human health, social environment, and cultural heritage?			
Does the scoping application provide documentation required by the Waste Management Code, in case the project involves waste issues?			
Does the scoping application provide concerns expressed by the public?			
Does the scoping application provide public outreach plan for the involvement in the Environmental Impact Assessment (EIA) process?			

REQUIREMENTS FOR THE ENVIRONMENTAL DECISION APPLICATION	STATUS		COMMENT
	YES	NO	
Does the application for the environmental decision include the name of the administrative body the application is meant for?			
Does the application for the environmental decision include the identity, address, and signature of the applicant?			
Does the application for the environmental decision provide a date of application submission?			
Does the application for the environmental decision list the documents attached to the application?			
Does the application for the environmental decision include EIA report that provides project features detailing on			
- GIS coordinates of the project location (with shape files);			
- Justification of alternative project locations and technologies;			
- Technological process, including the capacity of installations;			
- Current environmental state and the natural changes from this baseline;			
- Scenario that may occur if the project is not implemented, based on scientific knowledge;			
- Likely positive and negative effects (i.e., direct, indirect, secondary, cumulative, transboundary, short term, midterm, long term, temporary, and permanent) on: population, human health and safety, biodiversity, soil, land, water, air, climate, cultural heritage			
- Probability and possible consequences of accidents that could occur due to the project;			
- Measures envisaged in both the construction and operational phases of the project;			
- to avoid, prevent, reduce, or offset significant adverse effects on the environment;			
- Assessment of the project's irreversible impact on the environment and justification of its necessity, including comparative analyses of the losses and benefits based on environmental, cultural, economic, and social contexts;			
- Assessment of project-related risks during the construction and operational phases, including the nature and possibility of the risks and an assessment of expected results;			
- Means to inform the public, assess public opinion, and invite public comments during the scoping procedure;			
- Description of methods and sources of environmental information;			
- Identified uncertainties and lack of knowledge encountered in compiling the EIA report;			
- Nontechnical summary of this information to inform the public and ensure participation;			
- Detailed list of methods and sources used during the preparation of the EIA report			
Does the application for the environmental decision include an action plan for environmental impact mitigation measures?			
Does the application for the environmental decision include an Emergency response plan?			
Does the application for the environmental decision provide name and address of the consultant who helped prepare the EIA report, if any?			
Does the application for the environmental decision provide a project implementation master plan, including project location (i.e., GIS coordinates), temporary installations, utility systems, and other components that may be affected?			
Does the application for the environmental decision provide an extract from the State Register for a private developer, whether the			

REQUIREMENTS FOR THE ENVIRONMENTAL DECISION APPLICATION	STATUS		COMMENT
	YES	NO	
legal entity of private law, or individual entrepreneur; identification for a natural person, per existing legislation; or certified copy of founding documents in case of the Legal Entity of Public Law?			
Does the application for the environmental decision provide an estimation of limits for the emission of harmful substances into the atmosphere, as well as discharge of polluting substances into surface waters and waste waters?			
Does the application for the environmental decision provide notification about a confidential part of the submitted application, if applicable?			
Does the application for the environmental decision provide a fee payment receipt in accordance with existing legislation?			
Does the application for the environmental decision provide hard copies and electronic versions of the EIA report and all other documents listed above?			

CHECKLIST FOR STATE OWNED LAND PRIVATIZATION THROUGH AUCTION

AGENCY TO BE SUBMITTED TO: Legal Entity of Public Law (LEPL) – National Agency of State Property (NASP) of the MoESD

REQUIREMENTS TO APPLY FOR AND PARTICIPATE IN STATE OWNED LAND PRIVATIZATION THROUGH AUCTION AND GET AUTHORIZATION TO OWN THE AGRICULTURAL LAND	STATUS		COMMENT
	YES	NO	
Does the package include filled in application form on an intention to initiate privatization through auction addressed to the National Agency of State Property? (the application is available at http://nasp.gov.ge/pages/?services=&page_id=27&lang=en)			
Does the package include information on Address, area and cadastral code of selected unleased agricultural land plot?			
The land plot parcels of at least three hectares each, in case the selected land plot is more than 3 hectares?			
Detailed cadastral surveys and planning drawings of the land plot parcels?			
Category and quality of the land plot parcels?			
Has the applicant obtained an unconditional and irreversible bank guarantee to participate in the auction?			
Has the applicant, if selected as a winner, obtained certificate of payment of the fee for the privatization of auctioned land plot?			

Note: Pasturelands are not subject to privatization

CHECKLIST FOR LAND CATEGORY CHANGE

AGENCY TO BE SUBMITTED TO: LEPL National Agency of Public Registry of The Ministry of Justice

REQUIREMENTS TO APPLY FOR LAND CATEGORY CHANGE FORM AGRICULTURAL TO NON-AGRICULTURAL	STATUS		COMMENT
	YES	NO	
Does the application include name of the administrative body the application is meant for?			
Does the application include identity, address, and signature of the applicant?			
Does the application provide date of application submission?			
Does the application provide list of the annexed documents?			
Does the package include details on the location, area, agricultural land category and ownership of the land plot subject to category change?			
Does the package include land ownership certificate?			
Does the package include statement of reason for the land category change request?			
Does the package include Identification documents for the initiator of the land change request?			
Does the package include statement on the public need for the land category change, with accompanying documentation, substantiated individual administrative legal acts?			
Does the package include Confirmation of fee payment for the land category change?			
Does the package include confirmation of service fee payment?			

CHECKLIST FOR CONSTRUCTION PERMIT

AGENCY TO BE SUBMITTED TO: MoESD, Executive Bodies of Municipalities

REQUIREMENTS TO APPLY FOR OBTAINING CONSTRUCTION PERMIT	STATUS		COMMENT
	YES	NO	
Stage I Approval of Terms and Conditions of the Use of Land Plot for Construction			
Does the application include the name of the administrative body the application is meant for?			
Does the application include the identity, address, and signature of the applicant?			
Does the application provide a date of application submission?			
Does the application provide a list of the annexed documents?			
Does the package include copy of the identity certificate of the applicant?			
Does the package include cadastre data and extract from the Public Registry?			
Does the package include the request on the developments or construction of buildings on the land plot?			
Does the package include actual topographic plan of the land plot (with the resolution of 1:500 or 1:1000)?			
Does the topographic plan provide information on the absolute horizontal and vertical benchmarks of the measured land plot?			
Does the topographic plan provide information on all features of the terrain, all buildings/constructions including under/above ground and air engineering communications and cadastral boundaries of the land plot?			
Does the topographic plan provide descriptions of the signs used in the plan?			
Does the package include a cadastre plan of the land plot?			
Does the package include a report on the study of the physical conditions and measurements of buildings on the land plot? (if applicable)			
Does the package include a local development study that includes photos of the study area and location plan, types and main parameters of developments and study on the environmental aspects of the area (groundwater, air and soil pollution, contamination sources if any)?			
Does the package include a study about the impacts on the adjacent buildings / constructions?			
Does the package include photos depicting actual state of the land plot?			
Does the package include a photo confirming that the information board (banner) has been put up in a conspicuous place?			
Does the application and all other documentation have signatures of the applicant on them?			
Stage II Agreement on the Architectural Project			
Does the application include the name of the administrative body the application is meant for?			
Does the application include the identity, address, and signature of the applicant?			
Does the application provide date of application submission?			
Does the application provide a list of the annexed documents?			
Does the package include the project design?			
Does the package include the act on approval of terms and conditions of the use of the land plot for construction?			
Does the package include pre-design study results?			
Does the package include preliminary decision? (if any)			
Does the package include conclusion of the certified expert and /or accredited inspection entity on the architectural design, engineering -geological study, construction scheme/design and if deemed necessary on the technological scheme? (if applicable)			
Stage III Issuance of Construction Permit			

REQUIREMENTS TO APPLY FOR OBTAINING CONSTRUCTION PERMIT	STATUS		COMMENT
	YES	NO	
Does the application include the name of the administrative body the application is meant for?			
Does the application include the identity, address, and signature of the applicant?			
Does the application provide a date of application submission?			
Does the application provide a list of the annexed documents?			
Does the application state the standards, technical regulations applied in the studies?			
Does each page of each document in the package provide names of the authors including responsible persons for the performed assignment?			
Does the package include information on the ownership of the land plot and buildings (if any)?			
Does the package include an architectural project?			
Does the package include a plan on organization of construction that provides information on organization of construction ground and description of preliminary works, description of sequence, stages and length of the construction works, list of tests to be conducted in the process of construction, description of safety measures and methods, design of the construction ground and timeframes of construction works?			
Does the package include an engineering-geological study that specifies on land plot plan indicating points where study was conducted and physical-chemical characteristics and specifications of the land plot ground?			
Does the package include a constructional scheme / design consisting of text and drawings?			
Does the package include a technological scheme / design providing technical characteristics of the technologies / systems and drawing of those technologies systems and calculations on their stability, resistance and deformation?			
Does the package include the document certifying payment of permit fee?			
Does the package include a photo of the information board that provides contact information of the applicant, address of the land plot, type and aim of development, dimension of construction, the name and address of the state body issuing permit and timeframes of application review?			
Does the package include an administrative act on the acceptance of the architectural project?			
Does the package include an environmental decision? (Only for those projects implementation of which require environmental decision)			

CHECKLIST FOR CONNECTION TO THE TRANSMISSION NETWORK

AGENCY TO BE SUBMITTED TO: Transmission Licensee – Georgian State Electrosystem (GSE)
Dispatch Licensee

REQUIREMENTS TO APPLY FOR CONNECTION TO TRANSMISSION NETWORK	STATUS		COMMENT
	YES	NO	
Stage I – Submission of Application to Obtain Connection Offer			
Does the application include the name of the administrative body the application is meant for?			
Does the application include the name of an applicant, organizational form, bank details, address, telephone number and e-mail?			
Does the application provide a contact person responsible for receiving technical information?			
Does the application provide the name, location and Global Positioning System coordinates of a unit to be connected?			
Does the application provide the field of activity of a unit to be connected?			
Does the application provide types of equipment-installation of a new connection?			
Does the application provide presumable date for the connection of an applicant's unit to the electricity transmission network?			
Does the application provide presumable level of nominal voltage of a facility to be connected?			
Does the application provide designed capacity or active capacity and reactive capacity or coefficient of active capacity			
Does the application provide the necessity of alternative electricity supply in order to prevent interruption of electricity supply?			
Does the application provide a signature of an authorized person?			
Does the package include the location of a facility to be connected, including cadastral map and disposition plan?			
Does the package include daily (hourly) schedule of a facility to be connected – generation facility of any capacity and/or the connection of a user to the transmission network, whose requested capacity exceeds 1000kWh?			
Stage II Signature of the Connection Agreement, Agreement of the Technical Project and Preparation for Operation			
Does the package provide technical project prepared based on issued technical conditions and connection agreement for the submission to Dispatch Licensee?			
Does the package provide agreed connection point drawings and charts prepared for each electrical equipment-installation annexed to the technical project?			
Does the stamp of connection point drawings entail name and surname of authorized persons, dates and signatures?			
Does the package include document certifying payment of the second stage connection fee or agreement on the distribution of the second stage connection fee?			
Does the package include written notification to the respective transmission licensee on being ready for connection after the successful completion of preliminary testing?			
Does the package include precise specifications, drawings and charts of the basic equipment?			
Does the package include information on technological, relay protection and automation equipment?			
Does the package include copies of security rules and instructions of Declarant's electrical equipment/ installations and list of responsible staff?			
Does the package include information on contact persons who are fully authorized to make decisions on behalf of the applicant?			

REQUIREMENTS TO APPLY FOR CONNECTION TO TRANSMISSION NETWORK	STATUS		COMMENT
	YES	NO	
Does the package include a technical service plan offered by the applicant?			
Does the package include information on testing procedures of connection point and applicant's electrical equipment/installations?			
Does the package include reports on testing readiness of electrical equipment/installations for connecting to the transmission network?			

CHECKLIST FOR ELECTRICITY GENERATION LICENSE

AGENCY TO BE SUBMITTED TO: Georgian National Energy and Water Supply Regulatory Commission (GNERC)

REQUIREMENTS TO APPLY FOR ELECTRICITY GENERATION LICENSE	STATUS		COMMENT
	YES	NO	
Does the application include the name of the administrative body the application is meant for?			
Does the application include the identity, address, and signature of the applicant?			
Does the application provide date of application submission?			
Does the application provide a list of the annexed documents and defines the type of license the applicant is applying for?			
Does the package include an extract from the Public Registry on the legal entity or individual entrepreneur?			
Does the package include an extract from the Public Registry on ownership and use of generation facilities and cadastral map?			
Does the package include the conclusion on the conformity with state standards and norms of the technical condition of the generation facility issued by State Inspection of Technical Supervision of Georgia?			
Does the package include a list of assets and the conclusion of audit of the enterprise?			
Does the package include the technical condition issued by the relevant transmission and distribution licensee?			
Does the package include an electric network scheme relevant to the requested license?			
Does the package include an environmental decision issued by Ministry of Environmental Protection and Agriculture and permit conditions?			

CONTACT INFORMATION

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