Annex 2: Grant application form for technical assistance for public sector

**IDENTITY OF THE PROJECT**

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|  | **Blending facility** | *This section is filled in automatically in MIS when the application is submitted: WBIF.* |  | **Grant code** | *This is the code of the grant and is communicated to the NIPAC at pre-notification.* *This section is filled in automatically in MIS when the application is submitted.]* |
|  | **WBIF approval date** | *This section is filled in automatically in MIS. It is the date on which the WBIF approves the grant.* |  | **Flagship** | *[select flagship]*  *If the Project does not fall under any of the above investment flagships, select “None” from the drop-down list and justify application in the section 21 - Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies.* |
|  | **WBIF intervention area** | *[select intervention area]*  *Select the intervention area addressed by the Project from the drop-down list.* |  | **CRS-code** | *The OECD purpose code (CRS code) relevant to the Project must be entered in this section. The list of CRS codes is available at* [*http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm*](http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm)  *The NIPAC will select the CRS code from the drop-down list available in MIS when it submits the application.* |
|  | **Beneficiary(ies)** | *[select name]*  *For regional projects, select all Beneficiaries are involved.* | | | |
|  | **Project title** | *Enter the name of the Project financed by the WBIF grant. Please ensure that it is short (maximum 250 characters) and includes the key elements of the Project, such as infrastructure concerned and location (e.g. it can be identical to the name of the Project in the feasibility study, strategic documents, SPP). Note that the WBIF may ask you to revise the title, or the WBIF Project Financiers’ Group may amend it.* |  | **Project code** | *This is a code specific to the WBIF MIS database and is selected (for existing WBIF projects) or generated (for new projects) at the pre-notification stage.* |
|  | **Action/Grant Application title** | *Title of the Action/Grant application. The title must include the key elements of the activities foreseen to be financed with the grant. Note that the WBIF PFG may change the title to make it clear and/or adjust it to the activities financed by the grant.* | | | |

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|  | **Lead Financial Institution** | *[select name]* |
|  | **Co-financier(s)** *(if applicable)* | *[select name]* |

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|  | **Type of WBIF contribution** | | **Technical Assistance** | | |
|  | **Total WBIF grant amount (€)**  *These fields are filled in automatically in MIS based on the amounts entered in section 31. All the amounts are rounded down to the next integer.* | | *TA amount excl. fee (€)* | |  |
| *TA fee (€)* | |  |
| ***Total amount requested (€)*** | |  |
|  | **Type of WBIF financing source** | *[select source]* |  | **Implementation of TA activities** | ***[MM/YYYY - MM/YYYY]***  *This field is filled in automatically in MIS based on the information provided in section 33 - Indicative calendar of the Action.* |

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|  | **Responsible authority of the Beneficiary** | *Indicate the Beneficiary's authority (e.g. Ministry of Finance, Ministry of Environment, Ministry of Transport, etc.) and the relevant department(s) within the authority in charge of the Project (e.g. Department for International Financial Cooperation, Department of Water, etc.). The information must be consistent with that provided in section 23 - Institutional framework of the Project.* |
|  | **Implementing entity(ies)** | *Indicate the entity(ies) responsible for implementing the Project (e.g. public transport company, public utility company in cooperation with the Municipality, transmission system operator, etc.) Specify if it is public, mixed (include ownership structure), or private. Ensure consistency with section 23 - Institutional framework of the Project.* |

**DESCRIPTION OF THE PROJECT**

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|  | **Description of the Project**  *This section should be completed in cooperation with the Lead IFI.*  *The following differentiation is made between the Project and the Action in the grant application form:*   * ***Project*** *means the overall investment project, which will be the end result of all project development stages. In most cases, the final stage is the completion of construction works and commissioning.* * ***Action*** *means a part of a Project in relation to which the beneficiary seeks grant financing from the WBIF. An Action is composed of a set of activities proposed for financing in full or in part by the grant from the WBIF.*   *The main focus of this section should be on the Project, not on the activities proposed for WBIF grant financing. A detailed description of the activities proposed for WBIF grant financing (the Action) must be provided in section 30.*  *Provide a clear description of the overall Project. This description should be by component or phase if the Project has more than one component or phase. Ensure that the information is verifiable; therefore, use summary information from the technical documentation developed for the Project (e.g. feasibility study, ESIA study, preliminary/detailed design, etc.) and document sources. The description may be complemented by maps, explanatory graphs, tables or pictures, which can be included in the application form using the MIS "Pictures" and "Tables" functionalities.*  *This section should provide an overview of the context in which the Project will be developed, as well as a broad description of the Project’s scope, including the main outputs envisaged. The current situation and trends in the sector addressed by the Project should be described. This requires describing the needs within the project area in the relevant field/sector. Therefore, the changes to be achieved through the Project should be clear, as well as who is targeted and who will benefit from the Project’s activities. The type of benefit they will enjoy and the number of the final beneficiaries must be quantified as much as possible.*  *(Indicative max 1,000 words)* | | |
| *Icon  Description automatically generated* | * *Present concisely and coherently all the information needed to understand the Project in the sub-sections 19.1, 19.2 and 19.5;* * *Ensure the description focuses on the Project, not on the Action for which WBIF grant financing is requested;* * *Ensure that all target groups are identified and described (those who will benefit from Project’s implementation);* * *Use and quote official sources of information to justify key problems/main deficiencies (see sub-section 19.6)* * *Ensure that a map of the Project’s location is included in sub-section 19.4;* * *Avoid using jargon, acronyms, irrelevant background information.* | |
| **19.1** | | **Background and context of the Project** |
| *Provide a short description of the Project background, which should include at least an overview of the current situation and trends in the sector addressed by the Project.*  *Describe the general context of the Project and any related projects, including phases or components of the Project already constructed and proposed subsequent phases or components in chronological order. Outline the construction components/phases of the Project (one by one in chronological order if applicable).* | | |
| **19.2** | | **Needs/demand analysis** |
| *Using quantitative and qualitative data, describe the problems and needs (including gaps, shortcomings, or deficiencies) targeted by the Project to demonstrate why the Project is needed. It is paramount to summarise key infrastructure deficiencies and needs the Project (or project component/phase) will address and bring to EU standards.*  *Provide a summary of the demand analysis, including the predicted demand growth rate, in line with the results of the Cost-Benefit Analysis (if available). Minimum information required: (i) assumptions and baseline (e.g. traffic in the past, future traffic without the project); (ii) projections and methodology used for selected options (if applicable); (iii) supply-side aspects, including analysis of existing and expected infrastructure developments; and, (iv) network effect (if any).*  *Use and document sources to justify the key issues targeted by the Project and the demand analysis. Avoid using jargon and acronyms.* | | |
| **19.3** | | **Main objectives of the Project** |
| *The Project objectives define what the project aims to achieve (‘what and who will benefit’). Therefore, the information in this subsection should cover: (i) definition of the Project’s socio-economic objectives; (ii) relation to medium and long-term objectives, strategic plans/other relevant strategic documents.*  *Provide a brief description of the main objectives of the Project in terms of outcomes/outputs in coherence with section 26 - Expected results. The objectives of the Project must be realistic (be achievable within the timeframe of the Project with the proposed budget and means), clear (without ambiguity), quantified as far as possible, and linked to the Project. They should directly address the problem(s) addressed by the Project and the needs of the target groups. The link must be clear between identified problems and needs (gaps/shortcomings/deficiencies), project objectives and proposed solution(s).*  *The objectives must be SMART: Specific (linked to the investments proposed for the main components), Measurable (quantified and showing the situation before and after the Project), Achievable (technically, financially and institutionally feasible), Relevant (add value within the context they are set and are aligned with EU policies and national strategies), Time-bound (can be achieved in a specific timeframe).*  *Socio-economic objectives must be identified and quantified as far as possible. For example, the following can be quantified: reduction in vehicle operating cost for international and domestic passenger and freight traffic, reduction in travel time for passenger and freight traffic, improvement in transport safety and security, reduction in emissions, employment opportunities, business development in the project area, improved living conditions in the project area, resource savings, synergies with regional, and/or national programmes, etc.* | | |
| **19.4** | | **Project map** |
| *Include a map that clearly shows the Project area and its context to allow understanding of the location of the various Project facilities). It should be of high quality, preferably in colour, and easy to read. The map should include, as a minimum, title, a clear legend, the background (e.g. main cities, main roads, main rivers, as appropriate).* | | |
| **19.5** | | **Description of the Project** |
| *The description must be structured, concise, clear and focused on key aspects: main characteristics (technical specifications) and components or phases of the Project (if it has more than one component or phase), justification of the Project's scope and size in the context of the demand forecasted, justification of options selected with respect to climate change and natural disasters risk assessment (as applicable), main beneficiaries of the Project (e.g. target population served). All must be listed if the Project covers several sites/sections/phases. Indicate cross-border aspects/impacts (if any).*  *Briefly describe and quantify as far as possible the beneficiaries of the Project, any vulnerable, disadvantaged, disabled and gender-sensitive groups.* | | |
| **19.6** | | **Reference documents** |
| *List all documents used in drafting this section (e.g. studies, statistics, strategies, action plan, etc.) indicating title, author and issue date and URL (if available online).* | | |

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|  | **Indicative project status and planning**  *Complete this section in cooperation with the Lead IFI and ensure that the current stage of the Project and the implementation planning are clear. The duration, status and specific information about completed, ongoing and future activities must be included. Indicate the last task/technical documentation completed and briefly comment on any preparatory stage outstanding or in progress and indicate the expected date of completion), in line with the instructions provided below.*  *The most common activities are pre-listed. Where relevant, add activities to the list. In case of activities that are not relevant, state ‘n/a’.*  *The following key aspects need to be covered:*   * ***Technical****: status of/planning for preparation of the masterplan, pre-feasibility study, feasibility study and cost-benefit analysis, environmental and social impact assessment, preliminary and detailed designs, tender documents, etc.;* * ***Administrative****: status of/planning for urban planning, environmental permit, land availability, construction permit, invitation to tender, etc.;* * ***Financial****: status of/planning for loan agreement(s) with the Lead IFI and other IFIs financing the Project (e.g. under negation, signed, etc.), other donor(s) grants, allocation from the national budget, etc.*   *The estimated duration for each activity and the total period must be realistic, considering all relevant factors that may affect the implementation timetable.* *It is recommended to consider the following planning principles:*   * *Activities must follow the sequential/logical order of Project development;* * *The duration of relevant procedures (e.g. review and public consultation, obtaining of permits) should be in line with the periods defined in relevant regulations;* * *The estimated duration of each activity must include a reserve and should not be estimated as the shortest (theoretical) possible duration;* * *The impact of foreseeable periods when the Project will be on hold, as well as excessively busy periods, should be considered;* * *Periods when institutions involved operate under a different regime (e.g. vacations, public holidays, etc.) or target groups are engaged in other activities (e.g. election campaign, intensive activity season in agriculture, etc.) should be considered;* * *Sequential activities should not overlap;* * *Key stages in the development of a Project may also consider, e.g. securing internal approvals for the Project, securing funding, securing ownership/control of sites, planning approval, completion of design works, procurement launch, appointment of contractors, start on site, completion of works, handover and official opening.* | | | | | |
| *Icon  Description automatically generated* | * *Ensure that the stage of the Project reflects its current status: e.g. Previous stages/phases of the Project are completed, and all conclusions have been drawn and endorsed;* * *Planned activities can realistically be implemented within the foreseen period and are logically sequenced; each activity is designed to be implemented within a suitable period;* * *Preparatory time is adequately planned for each activity; where possible, activities can be executed (partly) in parallel (e.g. preparation of tender documents or launch of pre-qualification stage could start during the first months of a design activity);* * *Ensure consistency with sections 19 - Description of the Project, 20 - Indicative project status and planning and 33- Indicative calendar of the Action.* | | | | |
| *Note:*  *(a) If already complete, provide the exact date; if only planned, indicate month and year at least.*  *(b) Select one of the following options for the status:*   * *Completed (C)* * *Work in progress (WIP)* * *Not started (NS)* * *Not applicable (N/A).*   *(c) Describe the current stage and/or planning for each activity following the guidance included in the table.]*  *Additional activities specific to the Project can be added as separate entries in the table (i.e. in separate rows).* | | | | | |
| **Activity** | | **Duration(a)** | | **Status(b)** | **Comments(c)** |
| **Start date [MM/YYYY]** | **Completion date**  **[MM/YYYY]** |
| Masterplan, other relevant spatial planning document(s) | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, results, main conclusions, outstanding issues and/or conditions. Include title, author and issue date.* |
| Definition of the investment Project | | *[insert date]* | *[insert date]* | *[select status]* | *Describe how the Project is a priority for the national authority. E.g. Project’s position and scoring in the SPP. Justify application if the Project is not ranked or has a low score in the SPP.* |
| Strategic Environmental Assessment  (if applicable) | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, results, main conclusions, outstanding issues and/or conditions. Include title, author and issue date.* |
| Pre-feasibility Study | | *[insert date]* | *[insert date]* | *[select status]* | *As above* |
| Conceptual Design | | *[insert date]* | *[insert date]* | *[select status]* | *As above* |
| Feasibility Study (including Cost-Benefit Analysis) | | *[insert date]* | *[insert date]* | *[select status]* | *As above* |
| Environmental and Social Impact Assessment | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, milestones, decisions stemming from the ESIA procedure leading to development consent (e.g. ESIA screening decision, environmental consent decision). Indicate if the ESIA Study meets the requirements for the Project’s appraisal and the implementation procedures of the Lead IFI.*  *Start date: outset of the application for environmental consent.*  *Completion date: end of the ESIA procedure, including appeals and final decision.* |
| Preliminary Design | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, results/main conclusions, outstanding issues and/or conditions. Include title, author and issue date.* |
| Land ownership | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of the legal ownership of the project site(s) and of the land for the new investments, land use planning decision(s) concerning the project sites(s), major risks of delay and/or pending decisions on land purchase (e.g. expropriations).*  *It should be noted that land availability is critical for infrastructure development; historically, it has delayed many investment projects. During the design phase, the availability of the land needs to be fully acknowledged, and any issues need to be identified, including estimation of costs for acquisition and time required for expropriation procedures (if any).*  *It is common and good practice to consider that a project is mature for co-financing only if the land is already acquired and available, because the likelihood of delays in the acquisition plan can be significant, which, in turn, will delay the overall construction period. Such a situation can be avoided only if the land acquisition program is significantly advanced or if the government has committed to provide unencumbered land.* |
| Detailed Design | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, results/main conclusions, outstanding issues and/or conditions. Include title, author and issue date.* |
| Construction and other statutory permits | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, development consent decision(s) - i.e. construction permit - or expected decisions, renewals/updates of authorisations/approvals. If authorisations have not been issued, indicate the estimated timeframe for their obtainment.* |
| Loan(s) negotiation and signing | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of the status of loan agreements with the IFIs financing the Project, e.g. under negotiation, terms agreed, signed, etc.* |
| Preparation of tender dossier(s) | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, type of contract for construction (e.g. FIDIC Pink/Red Book, FIDIC Yellow Book, etc.* |
| Procurement for works (per phase/component) | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status, potential delays (e.g. appeals, retendering), contract(s) signature, type of contract (e.g. FIDIC Red/Pink Book or Yellow Book). If the Project has more than one component and/or phase, describe the status of procurement procedures for each component and/or phase.* |
| Construction of works (per phase/component) | | *[insert date]* | *[insert date]* | *[select status]* | *Short description of status. If the Project is divided into phases or components, list each phase and/or component separately.*  *If, for any reason, the Project or the activities financed by the WBIF grant (i.e. the Action) are not ready to start, briefly describe the issues.]*  *If the Project has already started, indicate the current status of implementation of each phase and/or component, describe executed works and percentage completed.* |

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|  | **Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies**  *Provide a structured, concise, and clear description of how the Project (i) meets the WBIF investment priorities in line with the* [***Economic and Investment Plan for the Western Balkans***](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/communication_on_wb_economic_and_investment_plan_october_2020_en.pdf) *(EIP) and the* [***Guidelines for the Implementation of the Green Agenda for the Western Balkans***](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/green_agenda_for_the_western_balkans_en.pdf)*, (ii) is coherent with and contributes to the fulfilment of EU policies and core directives; and (iii) complies with the adopted national sectoral strategy, relevant national and regional development plans and strategies, in particular those pertaining to the sector addressed by the Project.*  *In preparing this section, the relevance of the Project to the implementation of pertaining strategic frameworks should be addressed, including:*   * *The* [*Economic and Investment Plan for the Western Balkans and the Guidelines for the implementation of the Green Agenda for the Western Balkans*](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/green_agenda_for_the_western_balkans_en.pdf)*;* * [*EU Enlargement Strategy*](https://ec.europa.eu/commission/sites/beta-political/files/communication-credible-enlargement-perspective-western-balkans_en.pdf)*;* * [*Multiannual Action Plan for a Regional Economic Area*](https://www.rcc.int/priority_areas/39/map-rea)*;* * [*Common Regional Market*](https://www.rcc.int/pages/143/common-regional-market) * *Energy Community Treaty;* * *Transport Community Treaty;* * [*Digital Agenda for the Western Balkans*](https://wbif.eu/storage/app/media/Library/11.Funding/Digital%20connectivity%20under%20the%20WBIF.pdf)*;* * [*South-East Europe (SEE) Strategy*](https://www.rcc.int/pages/86/south-east-europe-2020-strategy)*;* * *Indicative Strategy Papers (ISPs);* * *Economic Reform Programmes (ERPs);* * *Macro-regional strategies (e.g.* [*EU Strategy for the Danube Region*](https://danube-region.eu/)*,* [*EU Strategy for the Adriatic-Ionian Region*](https://www.adriatic-ionian.eu/)*,* [*Framework Agreement on the Sava River Basin*](http://www.savacommission.org/basic_docs)*, etc.)* | |
| *Icon  Description automatically generated* | * *Ensure that the strategic justification of the Project is reliable and relevant;* * *Ensure the Project’s compliance with relevant national legislation, EU acquis and policies and other donors’ strategies is demonstrated;* * *Clearly explain where the Project comes from and why it is a priority for the Beneficiary and region;* * *Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact;* * *Ensure correlation between the information included in the SSP and the grant application form (e.g. Project title, total project cost).* |
| *(Indicative max 250 words* | |
| **21.1** | **Alignment with the Economic and Investment Plan for the Western Balkans** |
| *Describe how the Project addresses the WBIF intervention areas, policy objectives and investment flagships of the* [*Economic and Investment Plan for the Western Balkans*](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/communication_on_wb_economic_and_investment_plan_october_2020_en.pdf)*. The description should consider the relevant WBIF investment priorities, notably sustainable transport, clean energy, environment & climate, digital future, and human capital development, as well as the investment flagships identified in the Annex to the Plan.* | |
| **21.2** | **Alignment with Green Agenda objectives** |
| *Describe how the Project is consistent with the* [*Guidelines for the implementation of the Green Agenda for the Western Balkans*](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/green_agenda_for_the_western_balkans_en.pdf)*.*  *For* ***all projects*** *specify positive and negative impacts in relation to the five pillars of the Green Agenda (e.g. decarbonisation, depollution, circular economy, sustainable food systems and rural areas, and biodiversity).*  *For* ***energy projects*** *specify contribution to decarbonise energy production and/or consumption.*  *For* ***transport projects*** *describe the matching with the Smart and Sustainable Transport Strategy (SSTS) priorities (decarbonisation, digitalisation, modal shift, safety, etc.) and demonstrate alignment with the ‘do no significant harm’ principles and the Paris Agreement.* | |
| **22.3** | **Coherence with the EU policies and core directives** |
| *Explain how the Project is coherent with and contributes to the fulfilment of EU policies and core directives (e.g. environment, climate change, state aid, public procurement), the EU pre-accession strategy and the Economic Reform Programme (ERP).*  *Describe how the Project will contribute to the principle of equal opportunities and prevent discrimination on any ground (e.g. gender, race, ethnicity or social origin, religion or belief, disability, age, etc.) during its development, implementation and operation.* | |
| **22.4** | **Compliance with adopted national/sectoral strategies** |
| *Describe the Project’s priority from national and regional institutions’ point of view (e.g. Transport Community, Energy Community, similar bodies).*  *Refer to the national/regional development strategy/ sector strategy/ action plan/ masterplan in which the project is integrated and list all these documents.*  *Indicate the Project's position in the Single Project Pipeline (SPP) and justify application if the Project is ranked low in the SPP (if applicable).*  *Refer to all related operations of the Project (financed by WBIF, EU funds, or other donors/ financiers), indicate how coordination and complementarity with these operations will be ensured and monitored. If the application follows on earlier WBIF applications for grants for the same Project, ensure that text reflects the Project’s current stage.*  *Refer to any involvement of the private sector, if applicable.* | |

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|  | **Consultations before submission**:   * NIC * IFIs * EU Delegation(s) * Donors * Regional/international organisations * Other stakeholders | *Provide information on the status of such consultations/negotiations and indicate (preliminary) decisions reached on the Project's financing. Have IFIs or other donors been consulted on the Project? When? What was their judgement?*  *Summarise the conclusions of consultations/negotiations carried out with the following stakeholders before submission (as relevant); specify the date(s) of the meeting(s) and key decisions:*   * *National Investment Committee (NIC) (or equivalent body)* 🡪 *Decision for approval;* * *IFIs (indicate if a mandate letter or similar does exist and the stage of the loan approval process, if applicable);* * *EU Delegation(s);* * *DG NEAR Geographical Team(s);* * *Other donors;* * *International and regional organisations;* * *Other relevant stakeholders.*   *Confirm that the Ministry of Finance endorsed the underlying investment project.*  *(Indicative max 200 words)* |

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|  | **Institutional framework of the Project** | | |
| **23.1** | **Description of entities involved** | |
| *Complete this section in cooperation with the Lead IFI. Describe the institutional aspects pertinent to the implementation of the Project and the Action (proposed activities for WBIF grant financing): Who and how will ensure the implementation of the Project and the Action? What is the role of these entities?*  *Indicate the following entities involved:*   * *Beneficiary(ies) authority(ies) (responsible Ministry(ies) and specific department(s));* * *Entity that is/will be the beneficiary of the construction permit(s) for the Project;* * *Implementing agency (or equivalent);* * *Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent;* * *Private company (if applicable) and clarify the contractual structure (e.g. concession, private-public partnerships);* * *Other entities.* | | |
| **23.2** | **Organisational set-up** | |
| *Complete this section in cooperation with the Lead IFI. Provide a comprehensive description of the organisational structure put in place for implementing the Project and the Action. Especially for the Action, this should be detailed. A clear description must be provided of how the proposed activities for WBIF grant financing will be managed, which institutions will provide the required input and support, and which institutions will be responsible for monitoring and approval of the deliverables.*  *Describe the role (tasks, responsibilities, relations between the different bodies) of the Lead IFI (local/regional offices, sector manager in the Beneficiary) and all other entities involved (institutions/authorities of the Beneficiary, project promoter, other donors, etc.) as proof of exiting capacity to implement the Project and the Action effectively. If applicable, describe as far as possible the setup, roles, and responsibilities of the Project Management Unit (PIU) or equivalent structures.*  *Indicate if the beneficiary/PIU has reasonable capacity to define the investment plan, procure and implement the Project, or additional technical assistance is needed.*  *If applicable, provide a comprehensive description of the organisational structure for operating the investment in the Project area; include information about existing institutional operation of services (e.g. ownership of infrastructures, contractual obligations to the new infrastructure, the evolution of tariffs, etc.).*  *Explain whether the WBIF contribution will be pooled in a common Project account with funds from the Lead IFI, other co-financing institutions or the grant will be kept on a separate account.*  *Describe the flow of the WBIF contribution to involved entities, down to the final beneficiaries/recipients (particular attention should be devoted to this matter).*  *Add a chart illustrating the institutional framework of the Project.* | | |
| *Icon  Description automatically generated* | | * *Clearly define the specific roles of the institutions involved in the Project;* * *Ensure the institutional aspects related to the Project implementation are duly described;* * *Include a chart illustrating the institutional framework of the Project.* |

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|  | **Project budget and financing plan**  *Complete this section in cooperation with the Lead IFI. This section should summarise the financial structure of the Project, providing a budget breakdown for the Project and an overview of the financing plan. Include the main cost components of the Project, their description and the corresponding amount in the budget. Provide the financing sources of the Project in the Financing plan. This section should reflect all the cost components and financing sources of the Project.*  *All costs must be exclusive of VAT. VAT is not considered a cost, should not be listed as a separate cost item, and should not be covered by any of the sources in the Financing Plan.*  *The costs for works and supplies excluding contingencies must be listed separately from those for TA (for project preparation and project implementation). Costs for communication and visibility, evaluation and audit, contingencies should also be included in the budget. If the Project has more than one component/phase, the costs must be presented by project component/phase.*  *For infrastructure projects, the feasibility study and preliminary design costs are usually about 1–2% of the total investment (project) costs (i.e. works, supplies and contingencies), while the detailed design cost (with final cost estimates and tender documents) is typically around 4–5% of the total estimated project costs. Construction supervision normally adds another 4–5% to the total estimated investment.*  *When calculating the eligible costs of the Project, the rules and procedures of the European Commission and the European Western Balkans Joint Fund apply.*  *To be* ***eligible*** *for EU funding, costs must be:*   * *necessary for the implementation of the Action, be included in the estimated budget attached to the Contribution Arrangement, be reasonable and justified and consistent with the principles of sound financial management, in particular in terms of value for money and cost-effectiveness;* * *generated during the lifetime of the project (i.e. during the period of eligibility for EU funding as will be specified in the Contribution Arrangement);*   *identifiable and verifiable.*  *Beneficiaries must avoid any unnecessary or unjustifiable high expenditure.*  *As a rule, the following costs related to any Action are* ***not eligible****:*   * *Costs incurred before the date on which the Contribution Arrangement is signed between the Commission and the Managers of the European Western Balkans Joint Fund. Exceptionally, the grant may be awarded for an Action which has already begun only if the applicant can demonstrate and justify the need to start the Action before the Contribution Arrangement is signed. In this case, expenditure incurred before the submission of the grant application is, as a rule, not eligible for financing. Retroactive financing (cost incurred before the grant agreement is signed with the Beneficiary) is an exception, and such a request will be assessed on a case-by-case basis.* * *Expenditure outside the eligibility period;* * *Expenditure ineligible under national rules;* * *Purchase of land or buildings, except where justified and necessary for the implementation of the Action and expressly set out in the* *grant application form;* * *Planning/design (permits) fees;* * *Technical review, check and verification of project design(s) as per national legislation and other activities specific to urban planning and/or land ownership, e.g. preparation of urban plans, documentation for land expropriation;* * *Evaluation and audit;* * *Value-added tax (VAT) to the extent that VAT is recoverable;* * *Customs and import duties, or any other charges;* * *Fines, financial penalties, and expenses of litigation;* * *Second-hand equipment;* * *Bank charges, cost of guarantees and similar charges;* * *Conversion costs, charges and exchange losses associated with any of the component-specific euro accounts, as well as purely financial expenses;* * *Contributions in kind.*   *List all contributions in the Financing plan of the Project (source, type of contribution, amount). Typically, these include a national contribution, one or more loans from IFIs, the WBIF investment grant requested, other WBIF grants, grants from other donors, and other types of finance. Create separate entries for each loan and funds from the private sector, irrespective if an IFI provides several loans, and differentiate between sovereign and non-sovereign loans.*  *The cost components are predefined in MIS, and separate entries can be created for the same cost component by Project phase/component. The values of the "Total project cost" in the budget and the "Total financing available" in the Financing plan must be identical in order to be able to submit the application.*  *The information provided in this section may be indicative at the time of submission. It must be updated and confirmed by the Lead IFI before the approval of the grant.* | | | | | | | | |
| *Icon  Description automatically generated* | * *Include all cost components of the Project in the budget;* * *Ensure a clear distinction between the different components/phases of the Project in the budget;* * *Duly budget all cost components and keep with thresholds;* * *Ensure that national sources have been secured to cover all non-eligible costs required for timely completion of the technical documentation (e.g. planning/design (permits) fees, the cost for project design review/checks/verification by the revision committee, etc.);* * *Ensure correlation between cost breakdown and financing sources.* | | | | | | | |
| **Indicative total project budget (cost breakdown)** | | | | | | | | |
| **Cost component number** | | **Cost component**  **description** | | **Total costs  (€)**  *(A)* | | **Non-eligible costs (€)(a)**  *(B)* | | **Eligible  costs (€)(a)** *(C)=(A)-(B)* |
| **1** | | **Planning/design (permits) fees** | | *[insert amount]* | | *[insert amount]* | | *[filled automatically in MIS]* |
| **2** | | **Land purchase** | | *[as above]* | | *[as above]* | | *[as above]* |
| **3** | | **Technical assistance for project preparation** (*e.g. masterplan, pre-feasibility study, feasibility study, environmental and social impact assessment, detailed design, tender documents, procurement procedures)* | | *[as above]* | | *[as above]* | | *[as above]* |
| **4** | | **Technical assistance for project implementation** *(e.g. supervision of works, project management)* | | *[as above]* | | *[as above]* | | *[as above]* |
| **5** | | **Works (Building & construction) (b)** | | *[as above]* | | *[as above]* | | *[as above]* |
| *5.1.* | | *Works – Component/Phase 1* | | *[as above]* | | *[as above]* | | *[as above]* |
| *5.2.* | | *Works – Component/ Phase 2* | | *[as above]* | | *[as above]* | | *[as above]* |
| 5.n | | *Works – Component/ Phase n* | | *[as above]* | | *[as above]* | | *[as above]* |
| **6** | | **Supply (Plant & machinery) (b)** | | *[as above]* | | *[as above]* | | *[as above]* |
| *6.1.* | | *Supply – Component/Phase 1* | | *[as above]* | | *[as above]* | | *[as above]* |
| *6.2.* | | *Supply – Component/Phase 2* | | *[as above]* | | *[as above]* | | *[as above]* |
| *6.n* | | *Supply – Component/Phase n* | | *[as above]* | | *[as above]* | | *[as above]* |
| **7** | | **Communication and visibility(c)** | | *[as above]* | | *[as above]* | | *[as above]* |
| **8** | | **Evaluation and Audit(d)** | | *[as above]* | | *[as above]* | | *[as above]* |
| **9** | | **Contingencies(e)** | | *[as above]* | | *[as above]* | | *[as above]* |
| **10** | | **Other** (e.g. project design review/ verification by review committee)**(f)** | | *[as above]* | | *[as above]* | | *[as above]* |
| **Total Project Costs** | | | | *[filled in automatically in MIS]* | | *[filled in automatically in MIS]* | | *[filled in automatically in MIS]* |
| **Financing plan** | | | | | | | | |
| **Sources of funds** | | | **Cost component(s) financed** | **Amount (€)** | **% / total** | | **Remarks**  (i.e. Code/ Ref. of financing) | |
| National contribution | | | *[insert the number of cost component(s) financed]* | *[insert amount]* | *[filled in automatically in MIS]* | | *[indicate the budget in which the Project is included]* | |
| IFI Loan 1 *[insert IFI name]* | | | *[as above]* | *[as above]* | *[as above]* | | *[indicate if the loan is sovereign or non-sovereign and its status, e.g. estimated, terms agreed, signed, etc.]* | |
| IFI Loan 2 *[insert IFI name]* | | | *[as above]* | *[as above]* | *[as above]* | | *[as above]* | |
| Grant amount requested *excluding implementation fee* (g)  *[insert the code of the investment grant]* | | | *[as above]* | *[as above]* | *[as above]* | | *[current grant request]* | |
| Other WBIF grant(s) (h)  *[insert grant code]* | | | *[as above]* | *[as above]* | *[as above]* | | *[code/reference number of the financing agreement, financed activities]* | |
| Other grants *[insert donor name]* | | | *[as above]* | *[as above]* | *[as above]* | | *[as above]* | |
| Other sources *[insert source name]* | | | *[as above]* | *[as above]* | *[as above]* | | *[as above]* | |
| … | | | *…* | *..* | *…* | | **…** | |
| **Total Financing available** | | | | *[filled in automatically in MIS]* | *[filled automatically in MIS]* | |  | |
| *(a) Eligible and non-eligible cost categories are listed above.*  *(b) Excluding contingencies. The costs for works and supplies must be broken down by project component/phase if the Project has more than one component or phase.*  *(c) Should reflect only measures and actions accompanying the Project as part of the communication and visibility plan annexed to the application.*  *(d) Costs for statutory audit and evaluation that fall with the Beneficiary under the national legislation or with the Lead IFI as part of their own due diligence and control for managing the Project. These costs are not eligible for WBIF grant support.*  *(e) Should be taken from the technical documentation developed for the Project and not exceed 10% of total investment cost (i.e. works and supplies net of contingencies).*  *(f) Costs that cannot be included under the cost components 1-9 should be listed here, e.g. project design review/check/verification by the revision committee. Technical review, check and verification of project design(s) as per the national legislation and other activities specific to urban planning and/or land ownership (e.g. preparation of urban plans, documentation for land expropriation, etc.) fall under the Beneficiary’s responsibility for due diligence and control for project management. These costs are not eligible for WBIF grant support.*  *(g) Must be identical to the “Grant amount requested” (i.e. grant amount without implementation fees) from section 31 “WBIF grant amount calculation and justification”.*  *(h) Other WBIF grants must be listed as separate entries (i.e. in separate rows) by code. Grants from other donors and funds from other sources must be presented as separate entries (i.e. in separate rows) by donor and source.* | | | | | | | | | |

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|  | **Fiscal space and debt sustainability** | *Complete this section in close cooperation with the Lead IFI and the Ministry of Finance (MoF).*   * *Comment on the status of discussions regarding the availability of budget funds and borrowing capacity for the Project;* * *Indicate how the sovereign or sub-sovereign loan/guarantee attached to the Project will affect debt sustainability;* * *Explain the impact of the Project on public debt levels and the link to the medium-term budgetary programme to demonstrate sustainability. Invite the MoF to comment on the proposal and consider its input in this section.* |

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|  | **Expected results**  *Complete this section in cooperation with the Lead IFI. Provide the main results and impacts expected at the end of the Project. In this section, the baseline of the Project must be quantified (what would happen without the Project?) and the estimated change must be quantified. The requested information is twofold: (i) expected results and outputs of the Project; (ii) long-term benefits produced by the Project (expected impact).*   * *Provide the values of result indicators that reflect the expected outputs and intended outcomes of the Project. Relevant indicators to the sector of the Project are included in Annex 5 to these Guidelines.* * *The expected impact should be described in a narrative manner, based on assumptions about the link between outcomes and impact. Specify foreseen results and indicate the economic, social, and environmental benefits of the Project, as well as the estimated number of direct beneficiaries.* * *Ensure consistency with section 19 - Description of the Project.*   *Include indicators relating to indirect employment benefits and gender equality if possible. Indicate if the Project directly or indirectly promotes substantial social returns or global public goods returns, gender equality, non-discrimination and equal opportunity, poverty alleviation and any cross-border impacts of the Project.*  *Document sources (e.g. studies, statistics, etc.) by indicating title, author and issue date, online address.*  *The values of the indicators must be presented according to the following principles:*   * ***Baseline value (X)*** *refers to the value of the indicator without the Project. Baseline values will reflect the status of the Project and its indicators as observed normally before the Project has started. Baseline values may be “0” at the approval of the WBIF grant if they relate to activities of the Project (e.g. new water distribution pipelines), or values before the Project, which may change due to the Project (e.g. number of passengers). This is especially the case for brown-field developments and rehabilitation projects.* * ***Expected value after the project (Y)*** *or* ***“target value”*** *is the specific, planned level of result to be achieved within an explicit timeframe in relation to the baseline. This is usually the value at the time of Project completion or after construction for a representative year during the Project’s operational phase.* * ***Expected result (Y-X)*** *is the result to which the Project has contributed, simply the expected value after the Project minus the baseline. If the baseline value is zero, then the expected result should equal the expected value after the Project.* * ***Comments*** *should include methodologies, data sources, assumptions and time frames used in the calculation of indicators.*   *Responses such as “not available at this stage” or “will be known only at the end of the Project” should be avoided. As some of the proposed outcomes evolve over time in the Project cycle or are measured at the end of the construction period (start of operation), they would not fully reflect the annual increase or final expected benefits. Therefore, a reference timeline must be included for the baseline and expected value., which can be explained under “Comments”.*  *Standard outputs and outcomes*  *Values for standard output and outcome indicators should be provided. Standard indicators are defined in Annex 5 to these Guidelines.*  *Outputs are specific, direct deliverables of the Project (i.e. goods and services delivered or delivered) that will provide the conditions necessary to achieve the Outcome. They refer to the "physical" Project itself.*  *Outcomes are the uptake or use of the Project by beneficiaries after completion, implying a quantification of performance. They refer to the effects of the Project.*  *An output typically is a change in the supply of goods and services (supply side), whereas an outcome reflects changes in the utilisation of goods and services (demand side).*  *Project-specific indicators*  *Project-specific indicators can be introduced at both output and outcome level to complement the standard indicators in providing an overall view of the major results of the Project. There is a certain degree of flexibility in adopting alternative indicators which may be available at any time during the Project cycle and will be treated as “project-specific indicators”. The initial aim of the Project-specific indicators is to reflect the specific elements of each Project and not an overall aggregation.*  *Indicators relating to indirect employment benefits, gender equality, non-discrimination and equal opportunity should be included in this section if possible.*  *Cross-sector indicators*  *Values for each of the cross-sector indicators are to be provided, although they may not apply to every WBIF project in light of the diverse nature of (i) interventions; (ii) policy objectives of the WBIF; and (iii) mandates of participating financial institutions.*  ***Total number of beneficiaries****: estimated number of people with improved access to services (financial services, social and economic infrastructure, etc.)*  *The number of beneficiaries is the most common denominator for highlighting the overall outreach of WBIF interventions in all sectors. Being a key design parameter for most interventions, the number of beneficiaries should be readily available, at least for infrastructure projects (ex-ante from feasibility studies and other technical documentation, ex-post from the implementing partners and operators).*  ***Direct employment - Construction phase:*** *number of full-time equivalent construction workers employed during the construction phase.*  *This indicator will only be measured when possible and follow the IFIs’ methodologies. It should not include indirect employment during construction.*  *Part-time jobs for construction are converted to full-time equivalent jobs on a pro-rata basis, based on local definition (e.g., if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job; a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If information is not available, the rule-of-thumb is that two part-time jobs equal a full-time job.*  *Note: Employment for the client company's operations and maintenance should not be included in this indicator. For such jobs, use the indicator Direct Employment - Operations and Maintenance.*  ***Direct employment - Operations and maintenance:*** *number of full-time equivalent employees, as per local definition, working for the client, company or Project during the Project’s operation phase.*  *This indicator will only be measured when possible and follow IFIs’ methodologies. This indicator includes directly hired individuals and individuals hired through third party agencies if those individuals provide on-site services related to the operations of the client company. It should not include indirect employment related to the Project’s operation. It also includes full-time equivalent worked by seasonal, contractual and part-time employees.*  *Part-time jobs are converted to full-time equivalent jobs on a pro-rata basis, based on local definition (e.g., if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job).*  *Seasonal or short-term jobs are prorated based on the portion of the reporting period worked (e.g., a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If information is not available, the rule-of-thumb is that two part-time jobs equal a full-time job.*  *Note: Employment for the construction of the client company's hard assets should not be included in this indicator. For such jobs, use the indicator Direct Employment - Construction.*  *Both employment indicators may also be reported subject to current practices and methodologies applied by finance institutions (methodology used to be made transparent).*  ***Number of beneficiaries living below the poverty line****: people at risk of poverty or social exclusion whose living conditions are improved by the Project; this indicator is intended to demonstrate the Project’s contribution to poverty alleviation.*  *In line with overall EU policy objectives, this indicator aims to report on the poverty level of beneficiaries and, therefore, reflect the socio-economic benefits achieved through blending. Data on the poverty incidence among the beneficiaries should be available from national or international statistics, tariff studies, demand assessments, etc.*  *This indicator will only be measured whenever possible in line with the IFIs’ methodology. The preferred method for calculating this indicator is to multiply the total number of beneficiaries by the known incidence of poverty among beneficiaries (expressed as a percentage). The methodology and data sources should be detailed in the “Comments” column.*  *Further categorisation of the target group at the level of cross-sector indicators (e.g. by gender, age, income/poverty level) should be done whenever possible.*  ***Women in decision making positions:*** *number and percentage of women in decision making positions during the implementation period of the Project (e.g. women in management positions within the project promoter’s organisation and/or the Project Implementation Unit, etc.)*  ***Women and men participating equitably in decision-making during the preparation and implementation periods of the Project:*** *number and percentage of women and men attending consultation meetings on the planning, design, construction, management and maintenance of the new infrastructure, or pricing of services.*  ***Women and men benefiting equitably from project-related training****: number and percentage of women and men who receive training provided by the Project, by type of training (e.g. engineers, technicians, operators for the new infrastructure facilities, etc.)*  ***Number of awareness raising campaigns carried out:*** *numbers of the awareness raising campaigns to be carried out during the project’s implementation period.*  *Due to differences among IFIs in the methodology for calculating the indicators, the Beneficiary and the Lead IFI should specify the methodology used, definitions and measurement methodology in the application.* | | | | | | |
| *Icon  Description automatically generated* | * *Provide indicators specific to the Project, which closely relate to Project and Action activities and outputs;* * *Ensure the indicators are quantified and timebound;* * *Ensure the indicators are reliable and allow for comparability of results;* * *Document the sources of verification;* * *Ensure consistency with section 19.3 - Main objectives of the Project.* | | | | | |
| **Indicator** | | **Units** | **Baseline value**  **(X)** | **Expected value after the project**  **(Y)** | **Expected result**  **(=Y-X)** | **Comments** |
| *[indicate year]* | *[indicate year]* |  |
| **Standard outputs** | | | | | | |
| - Output Indicator 1 | |  |  |  |  |  |
| - Output Indicator 2 | |  |  |  |  |  |
| … | |  |  |  |  |  |
| **Standard outcomes** | | | | | | |
| - Outcome Indicator 1 | |  |  |  |  |  |
| - Outcome Indicator 2 | |  |  |  |  |  |
| … | |  |  |  |  |  |
| **Cross sector indictors** | | | | | | |
| Total number of beneficiaries | | *No.* |  |  |  |  |
| Direct employment: Construction | | # (FTE) |  |  |  |  |
| Direct employment: Operation and maintenance | | # (FTE) |  |  |  |  |
| Women in decision-making positions | | No. (%) |  |  |  |  |
|  | **Expected impact** | | *The expected impact should be described in a narrative manner, based on assumptions on the link between outcomes and impact.*  *One key expected impact is socio-economic development. This impact refers to the long-term effects produced by the Project. It is the broader, longer-term change which the Project can directly or indirectly bring. Impact indicators are more difficult to measure and collect, due to the time lag between project implementation and impact, or difficulty in tracking the effect of the blended project in the impact indicator.*  *It is recommended to indicate if the Project directly or indirectly promotes substantial social returns or global public goods returns, gender equality, non-discrimination and equal opportunities, poverty alleviation, or has cross-border impacts.*  *The applicant and the Lead IFI are not required to systematically measure the impact of the Project, as it is widely agreed that the impacts usually materialise (well) after the end of the Project and are typically difficult and expensive to monitor and measure. However, they will have to clearly describe the impact assumptions in the application.* | | | | |

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|  | **Project sustainability**  *Complete this section in cooperation with the Lead IFI. Describe under which conditions the Project will be sustainable when the grant support expires. Describe any incentives that could be necessary to enhance the sustainability of the Project. Refer to how the Project leads to an investment, as well as whether its results can be transferred or replicated to other sectors or geographical areas.*  *Describe the Project's sustainability in relation to economic/financial viability, environmental aspects, social aspects, and institutional aspects.* | | |
| *Icon  Description automatically generated* | *Ensure that this section addresses the following sustainability aspects:*   * *The economic viability of the Project is confirmed with reasonable certainty, i.e. the net benefits are expected to be positive, there are no better ways of achieving the Project’s purpose, and the public financial resources used for the Project are unlikely to be employed better elsewhere;* * *The Project proves to be accessible, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation;* * *Environmental and social impacts are acceptable, or if negative impacts are foreseen, appropriate mitigation measures are proposed;* * *Satisfactory project management arrangements will be put in place for delivering the Project to specifications, on time and budget.* * *Organisational arrangements for the operation of the Project will be adequate for the sustainable delivery of the proposed services.* | |
| Economic/ Financial viability | | *Does the Project guarantee an acceptable economic (and financial where applicable) return level? Describe future revenue flows expected from the Project, as well as ongoing operation and maintenance costs and expected sources of funding for those. 🡪 The Project's economic viability is confirmed with reasonable certainty (i.e. net benefits are expected to be positive; there are no better ways of achieving the Project's purpose; the public financial resources used for the Project are unlikely to be better employed elsewhere).* |
| Environmental aspects | | *Has the Project considered environmental implications so that negative impacts on the environment are either avoided or mitigated during the life of the Project? Has a public consultation process taken place? 🡪 Environmental and social impacts are acceptable, or, where negative impacts are foreseen, appropriate mitigation measures are proposed.* |
| Social aspects | | *Has the Project incorporated mechanisms that guarantee equitable access to and distribution of Project benefits on a continuous basis? If the Project will generate revenue through tariffs, etc., describe the affordability approach used. 🡪 The Project proves to be accessible, meaning that all financing sources are secured; the Project will be financially and fiscally sustainable once in operation.* |
| Institutional aspects | | *Has the Project received the necessary support (both budgetary and institutional) to maintain and operate the facilities over their lifetime? 🡪 Satisfactory project management arrangements will be put in place to deliver the Project to specifications, on time and budget; organisational arrangements for the operation of the Project will allow for sustainable delivery of the proposed services.* |

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| **28** | **Risk assessment categories**  *Complete this section in cooperation with the Lead IFI. The project promoters should understand the risks of Project implementation from the outset (e.g. potential changes to project planning, delays in delivery due to external factors influencing project implementation, difficulties in decision-making, need for additional expertise, etc.) To be able to mitigate the risks to the successful delivery of the Project, the applicants must provide an assessment of the main potential risks.*  *Identify the Project related risks and the way these risks will be mitigated. Assess how seriously the identified risks can influence the Project:* ***High (H), Medium (M)*** *or* ***Low (L).***  *Provide information about each of the following risk categories:*   * *Political risks: including but not limited to the gap between the Beneficiary and EU legislation/standards and pace of convergence; changes policy and/or administration structure; lack of political commitment to promote the Project;* * *Economic and financial risks: describe how changes in macroeconomic conditions or policies may affect the Project; energy poverty; lack of funds for co-financing; improper handling of financing requests; payment delays; credit and currency risk of the beneficiaries; risks linked to partner financial institutions (intermediaries); the risk-sharing operations; risks related to (lack of) financial access, inclusion and literacy, notably for vulnerable groups and with a gender-sensitive approach;* * *Socio-economic, equality/gender, minority/vulnerable group risks: inadequate communication between all actors involved in the Project; public opposition, affordability issues, discriminatory reasons, evictions, etc.;* * *Environmental risks: impacts on air pollution, noise, and climate change (climate risks addressed in section 28), environmental injustice towards minority/vulnerable groups, strong likelihood of objection from the general public, etc.;* * *Implementation risks: (i) Planning risks (e.g. the implementation of a Project fails to adhere to the terms of planning permission, or that detailed planning cannot be obtained, or if obtained, can only be implemented at costs greater than in the original budget); (ii) Technical/design risks (e.g. where the quality of the project designs/site investigation are likely to impact on the likelihood of unforeseen problems occurring; the use of non-optimal/obsolete technologies determine the provision of inadequate services, etc.); (iii) Procurement risks (e.g. delay in procurement procedures, possible re-tendering, appeals, contractual disputes, etc.); and, (iv) Construction risks (e.g. site unavailability, the construction of physical assets is not completed on time, to budget and specification, etc.);* * *Operation risks: operating costs inconsistent with those budgeted, performance standards slip, or services cannot be provided; demand for a service does not match levels planned, projected or assumed; etc.* * *Other risks: specific risks that do not fit in the above classification should be described in this sub-section (e.g. force majeure, adverse publicity regarding the construction or operation of the new infrastructure, etc.)*   *(Indicative max 250 words)* | | | | | |
| Risk assessment categories | Description | Mitigation | Risk severity | | |
| H | M | L |
| Political risks |  |  |  |  |  |
| Economic risks |  |  |  |  |  |
| Financial risks |  |  |  |  |  |
| Socio-economic, equality/gender, minority/vulnerable groups risks |  |  |  |  |  |
| Environmental risks |  |  |  |  |  |
| Implementation risks |  |  |  |  |  |
| Operation risks |  |  |  |  |  |
| Other risks |  |  |  |  |  |

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| **29** | **Addressing climate mitigation and adaptation** | | *Complete this section in cooperation with the Lead IFI; the assessment of climate finance contributions (mitigation and adaptation) is done by the Lead IFI. Address the Project’s potential contribution to GHG emissions reduction and/or climate adaption, climate risk assessments carried out, considerations and measures for improving the Project’s resilience to current and future climate risks. Elaborate on the Project’s alignment with the Paris Agreement and the Beneficiary’s Nationally Determined Contribution (NDC). Include project specific climate markers (main/secondary dimension, reduced emissions /carbon footprint).*  *Describe the climate finance components of the Project (if any) for adaptation and/or mitigation. The Rio Markers methodology should be used to determine whether climate change is the principal objective, one of the objectives (significant), or not an objective of the Project. The Lead IFI may propose a specific percentage of the project budget as climate change contribution based on its own methodology.*  *The information for this section must be adapted to the sector and the maturity of the Project (e.g. pre-feasibility, feasibility study, detailed design, supervision of works, etc.)* | | | |
| **Rio Markers** | ***Mitigation*** | | | ***Adaptation*** | |
| **Project**  **[M€]** | | **WBIF co-financing grant** | ***Project***  **[M€]** | **WBIF co-financing grant** |
| RM0 (no objectives) |  | | □ |  | □ |
| RM1 (significant objective) |  | | □ |  | □ |
| RM2 (the principal objective) |  | | □ |  | □ |

**DESCRIPTION OF THE ACTION**

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| **30** | **Scope of work and results for TA grant activities (the Action)** | *Provide a detailed and clear description of the TA activities financed by the WBIF grant request and the foreseen outcomes of these activities: What activities will be done, what are the required (human) resources, what is the foreseen timeframe? The following key aspects need to be covered:*   * *Indicate why the activities financed by the grant request are necessary and how they will contribute to reaching the Project's objectives;* * *Present the core team, matching required expertise with the activities financed by the grant, as well as the indicative number of working days for carrying out these activities;* * *Describe key risks that should be considered in implementing the activities;* * *List all deliverables of the activities financed by the grant request and summarise their contents:* * *Specify standards, norms, regulations and guidelines applicable to the activities financed by the grant request. Include requirements of the national regulations, as well as from the Financial Institutions. Provide a brief description of differences between national standards/legal provisions and EU/IFIs rules.*   *The justification of the Action’s necessity must closely relate to the fulfilment of the eligibility criteria. Technical review, check and verification of project design(s) as per national legislation and/or other activities specific to urban planning and/or land ownership (e.g. preparation of Urban Plan(s), documentation for land expropriation, etc.) are not eligible. These fall under the Beneficiary's responsibility as part of his own due diligence and control for project management.*  *Document sources (e.g. studies, statistics, etc.) by indicating title, author and issue date, online address (if available online).* | |
| *Icon  Description automatically generated* | * *The goal, concrete deliverables, duration and completion date, resources (e.g. human and material resources), etc., must be specified and sufficiently detailed for each activity finance by the grant request;* * *Human resources must be clearly indicated;* * *All activities financed by the grant request must be properly budgeted and duly justified in section 31;* * *Grants can be used exclusively for the Project and the activities for which they are approved.* |

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| **31** | **WBIF grant amount calculation and justification**  *List the activities (cost categories) and their corresponding amounts that will be funded by the WBIF grant.*  *Provide detailed information on the assumptions made in calculating the WBIF grant to ensure that all the activities are feasible in terms of scope, timing and cost-effectiveness (human and material resources employed).*  *All costs must be duly detailed, eligible and appropriate for the purpose of the Action.*  *Demonstrate that own funding sources are properly allocated and secured in order to cover all non-eligible costs required for timely completion of technical documentation (e.g. planning/design (permits) fees, costs of technical design review and approval (for example, the state revision committee(s), etc.)*  *All cost estimates should be based on those of similar projects (financed by IFI loan(s) or donor grants). Specify indicative working days used in estimates.*  *In justifying the grant amount, please consider the needs of the macro-economic situation of the Beneficiary, the economic and financial viability of the Project, the additionality of the WBIF grant, the envisaged impacts included in the relevant sections of the applications, affordability concerns as well as the impact on tariffs (e.g. for projects generating revenue through user charges).* | | |
| **Type of activity/cost categories** | | **Grant amount requested [€]** |
| (1) Technical documentation (preparatory studies, such as masterplan, investigations/surveys, etc.) | |  |
| (2) Pre-feasibility Study | |  |
| (3) Feasibility Study including Cost-Benefit Analysis | |  |
| (4) Environmental and Social Impact Assessment Study | |  |
| (5) Preliminary Design | |  |
| (6) Detailed Design | |  |
| (7) Preparation of tender dossiers | |  |
| (8) Project management assistance (support to PIU) | |  |
| (9) …. | |  |
| (10) …. | |  |
| **Total amount requested** | | *[filled in automatically in MIS]* |
|  | | *[Description – justification of the grant amount]* | |

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| **32** | **Additionality of WBIF grant**  *Complete this section in close cooperation with the Lead IFI.*  *The focus of this section is on the additionality of the WBIF grant, and not on that of the Project. It refers to what the grant will achieve, in terms of benefits or positive results, over and above what would be achieved without the grant. The use of grant funding is justified only when significant additionality is demonstrated.*  *In the list below, detail only the relevant and applicable additionality. Some types of additionalities are quantifiable, and project promoters should endeavour to do so. Other types may not be quantifiable and should be addressed qualitatively. Where a qualitative method is chosen, the reasons for should be properly explained. Evidence should be provided to support claims of additionality where possible.*  *The project promoter should include elements that will lead to additional benefits related to cross-cutting aspects, such as the environment, gender equality and equal opportunities, the needs of disabled people, the rights of minorities and/or vulnerable groups, innovation and best practices, etc. whenever possible.* | |
| Economic and financial | *What are the economic benefits of the grant funding proposed? Why is the proposed grant funding necessary for the Project? What are the financial benefits of the WBIF's contribution to the Project? How will this impact the end beneficiaries? E.g. through broadening access to finance to target groups, lowering end-user tariffs, thereby increasing affordability of the services etc.* |
| Project scale | *How will the grant funding increase the scale of the Project? Will it widen the results of the Project; or extend the benefits to more people?* |
| Project timing | *In what way does the grant element have a positive effect on the timing of the Project and/or the benefits it is expected to deliver?* |
| Project quality and standards | *How will the grant funding improve the quality of the Project's expected outcomes? How will the grant funding improve the Project's chances of success? How will the grant enable the promotion of higher standards (socio-environmental standards, including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible? Does the grant funding contribute to gender equality and equal opportunities, the needs of disabled people, the rights of minorities and/or vulnerable groups?* |
| Innovation | *What are the innovative aspects of the Project that could not be generated by or within the target environment without grant support? Why is the proposed innovation important?* |
| Sustainability | *Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Project? For example, does the grant funding contribute to structural reforms, support legislative, regulatory and/or or policy changes? Does the grant finance enable demonstration effects to other participants in the marketplace?* |
| Other benefits | *Other benefits/positive externalities may be realised by the Project (or negative externalities avoided), which would not happen without the presence of the grant component. Can the grant funding bring any significant benefits outside the main/primary objectives of the loan operation?* |

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| **33** | **Indicative calendar of the Action**  *This section should be completed in cooperation with the Lead IFI. Summarise the key milestones of the Action in the form of year and month of the year during which the milestone is expected to be reached, e.g. instance, 06/2022. The milestones listed in grant application form are mandatory. Additional milestones specific to the Action can be added without limitations in MIS. Please note that this section is expected to be updated before contracting, and/or in case there are material changes in the calendar of the Action.*  *For the ToR drafting process, ensure that preparatory time is adequately planned for this activity. Note that deadlines for beneficiaries were introduced at the 21st WBIF Steering Committee. These are: two months following kick-off meeting for provision of input data, two months following submission of the first draft ToR for comments or approval, and one month following submission of the final ToR for comments or approval. Therefore, the implementation of TA activities cannot start earlier than six to nine months after the approval of the grant. Furthermore, if the preparation of the ToR does not commence within six months of the grant’s approval it signals significant delays, and the grant is flagged for consideration at the next WBIF meeting (within one year of the approval date).*  *Ensure that planned activities are realistically implementable within the foreseen period and logically sequenced; each activity is designed to be implemented within a suitable period.*  *Ensure that preparatory time is adequately planned for each activity. Consider key stages in the development of the Project, such as securing internal management approvals for the Project, securing funding, ownership/control of sites and planning approvals, completing design works, launching procurement, appointing contractors, and starting activities on-site, etc.* | | | |
| *Icon  Description automatically generated* | * *Ensure that the planned activities associated with the Action are realistically implementable within the foreseen period and logically sequenced; each activity is designed to be implemented within a suitable period* | | |
| **Indicative calendar of the Action** | | **Expected start date [MM/YYYY]** | **Expected completion date**  **[MM/YYYY]** |
| TA grant signature | |  |  |
| Preparation of Terms of Reference (ToR) | |  |  |
| Implementation of TA activities | |  |  |

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| **34** | **Monitoring, reporting and evaluation** | *This section should include key information on the monitoring and reporting, as well as the evaluation cycle of the Action. Describe, when relevant, how the monitoring will be carried out.*  *Audit should be carried out in accordance with the EWBJF General Conditions or the respective IPF conditions of the contract.* |

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| **35** | **Communication and visibility** | *Communication is an integral part of projects and requires careful planning, as well as adequate resources (human and financial). Project communication shall be planned at the same time with the other activities. This activity should be planned and budgeted for from the start of the Project to ensure the smooth running of the Project.*  *Detail proposed visibility measures for the Project and Action (e.g. type of measures, short description, estimated costs, duration, etc.). Explain the choice of the dissemination channels and how the visibility measures will reach the target groups, the relevant stakeholders, policymakers, and the general public. Specify the budget envisaged for communication and visibility. The communication budget needs to be properly elaborated and justified, as well as sufficient to have a real impact and reflect the size and the likely impact of the Action.*  *The roles and responsibilities for communication and visibility requirements/measures of the main WBIF stakeholders, as well as related tools, can be found in the* [*WBIF Communication and Visibility Guidelines*](https://wbif.eu/storage/app/media/Library/12.Meetings/2.%20Project%20Financiers%20Group/31st%20PFG/wbif-cv-plan-and-guidelines-2021-2022.pdf)*.* | |
| *Icon  Description automatically generated* | * *Ensure communication and visibility measures are tailored to stakeholder groups;* * *Ensure that the communication budget is properly elaborated and justified;* * *Use standardised project communication practices, which, although standardised, must be adaptable and suitable for all stakeholders.* |

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| **36** | **Issues to be clarified before WBIF grant approval** | *Describe any open issues that must be addressed before the WBIF approves the Project. Provide information on any horizontal conditionalities related to IPA (e.g. adopted national sector strategy) and/or specific commitments associated with the implementation of the Project (e.g. site availability/ land ownership/ land planning issues).* |

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| **37** | **Contacts**  *Provide contact details for the Lead IFI, representative of the Beneficiary’s authority, reference person in the EU Delegation, co-financier(s), private partner (if applicable), considering confidentiality restrictions, etc.* | **Contact person** | **Function** | **Phone** | **Email** |
| Lead Financial Institution |  |  |  |  |
| Beneficiary authority |  |  |  |  |
| EU Delegation |  |  |  |  |
| Co-financier(s) |  |  |  |  |
| Private partner(s) |  |  |  |  |

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| **38** | **Date of submission by the NIPAC** | *This section is filled in automatically in MIS.* | **NIPAC Details** | *This section is filled in automatically in MIS.* |

**Annex I: Key requirements checklist**

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| --- | --- | --- | --- |
| *Ensure that this annex is as complete as possible* | | | |
| **Main requirements**: | | **Yes** | **No** |
|  | Operations covered by the WBIF benefit one or more of the following Beneficiaries: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, and Serbia. |  |  |
|  | The Project belongs to one of the WBIF intervention areas: Sustainable transport | Clean energy | Environment & climate | Digital future | Human capital development. |  |  |
|  | The grant application form is submitted by the NIPAC and is endorsed by all relevant stakeholders. |  |  |
|  | The Project is listed in the SPP. |  |  |
|  | All the elements of the Project activities covered by the WBIF grant are in principle eligible for grant financing. |  |  |
|  | The Project is consistent with the Economic and Investment Plan for the Western Balkans, Green Agenda for the Western Balkans, EU Pre-Accession Strategy, Economic Reform Programme, core directives, relevant sector policies and strategies, and national investment plans. |  |  |
|  | The activities do not duplicate or overlap with other operations. |  |  |
|  | A Lead IFI supports this application and has been consulted during the preparation of the grant application form. |  |  |
|  | The WBIF grant requested, as well as its calculation and justification, are clearly explained. |  |  |
|  | The information provided in each section of the grant application form is consistent and coherent throughout the application. |  |  |
|  | All sections of the grant application form are filled in with the information requested therein. |  |  |
|  | All relevant stakeholders have been consulted during the preparation of the grant application form. |  |  |
|  | The description of the institutional framework clearly demonstrates the capacity of the beneficiary to define the investment and implement the Project. |  |  |
|  | The values of the result indicators reflect the expected outputs and intended outcomes of the Project. |  |  |
|  | The risks associated with the Project have been identified, and the corresponding mitigation measures have been determined. |  |  |
|  | Indicative Project and Action calendars are proposed, and the Lead IFI has been consulted in their preparation. |  |  |
|  | The Lead IFI has been consulted on the Project’s contribution to climate change mitigation/adaptation and resilience. |  |  |

**ASSESSMENT**

**RESULT OF THE SCREENING PHASE**

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| --- | --- | --- |
|  | To be filled by the Commission/ task manager after screening |  |

**RESULT OF THE ASSESSMENT PHASE**

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| --- | --- | --- |
|  | To be filled by the Lead IFI after the assessment process |  |

**RECOMMENDATIONS OF THE WBIF PROJECT FINANCIERS GROUP**

|  |  |  |
| --- | --- | --- |
|  | To be filled by the WBIF Secretariat after PFG meeting |  |

**FINAL ENDORSEMENT BY THE LEAD IFI**

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| --- | --- | --- |
|  | To be filled by the Lead IFI before the application is recommended for approval, confirming the readiness of the Action for submission to the WBIF Operational Board and EWBJF Assembly of Contributors |  |

**DECISION ON THE APPROVAL OF THE GRANT**

|  |  |  |
| --- | --- | --- |
|  | To be filled by the WBIF Secretariat, specifying WBIF decision on approval, relevant comments on the substance of the grant, and conditions on approval. |  |

**PAYMENT OF THE GRANT FROM THE JOINT FUND**

**SIGNATORY OF THE LEAD IFI**

|  |  |  |  |  |  |  |
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|  | To be filled by the Lead IFI and specifying Name, Title and Date, and the terms for the transfer of the grant by the EBRD in accordance with Art 5.03 of the General Conditions of the EWBJF. |  | | | | |
| Grant amount approved by WBIF |  | | | Insert the final grant amount approved by WBIF. |
| Start date of grant activities |  | | |  |
| Final date for contracting |  | | | Insert the date by which all legal commitments between (i) the Lead IFI and contractors or (ii) between the Lead IFI and the relevant Grant beneficiary, as applicable, will be entered into. |
| Final date of operational implementation of the Action [as per Financing Decision] |  | | | Insert the completion date of all activities financed by the grant funds. |
| Payment schedule | Payment | Amount EUR | Date (month/year) | The first payment will be made from the EWBJF within 60 days of receipt of a compliant payment request. Please indicate the amount of first payment as well as subsequent payments, if paid in instalments. Any changes to the payment schedule should be communicated to the EBRD. |
| 1st payment |  |  |
| 2nd payment |  |  |
| 3rd payment |  |  |
| … |  |  |

**SELECTION BY THE WBIF OPERATIONAL BOARD AND CONFIRMATION BY THE EWBJF ASSEMBLY OF CONTRIBUTORS**

**CONFIRMATION BY THE EUROPEAN COMMISSION**

|  |  |  |
| --- | --- | --- |
| Date of advisory opinion by the WBIF Operational Board | |  |
| Date of confirmation of the decision to mobilise resources by the EWBJF Assembly of Contributors | |  |
| Name | Date | Signature |
|  |  |  |

**AMENDMENTS TO THE APPROVED GAF**

|  |  |  |
| --- | --- | --- |
| Addendum / Written Procedure / Notification | Description of amendment | Rationale for the change |
|  |  |  |
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