

GUIDELINES FOR GRANT APPLICATION FORM / WBIF INVESTMENT GRANTS

GUIDELINES: HOW TO FILL IN THE GRANT APPLICATION FORM FOR WBIF INVESTMENT GRANTS?

This guidance note accompanies the Grant Application Form (“GAF”) for WBIF Investment Grants and should only be used in conjunction with this application form.

The guidance document follows the structure of the GAF: i.e. the chapter numbers refer to the corresponding section of the GAF.

Its objective is to provide guidance to the interested institutions on the minimum information expected to be provided in the GAF when applying for WBIF Investment Grants. The GAF covers broader ground than the WBIF TA grant application form and this should be factored in the application preparation timetable. To facilitate the verification of the main conditions for investment grants and the filling of the GAF, Annex I “Key requirements checklist” and Annex VII “Assessment grid” respectively have been included.

While ownership of the GAF at the time of submission to WBIF remains with the beneficiary, involvement of the Lead IFI is necessary for filling in certain fields and beneficiaries preparing an application are advised to seek input from the partner Lead IFI as early as possible in the process.

The GAF must be submitted online via the Management Information System (MIS) of WBIF, using the application form generated automatically by the system, and before the deadline communicated at the launching of the call. The GAF must be submitted by the National IPA Coordinator.

Please note that all the sections need to be duly filled in as clearly and concisely as possible, taking account of the maximum limits and avoiding repetitions.

Beneficiaries are encouraged to seek advice from the WBIF Secretariat and/or IFICO if necessary.

The GAF is intended to be a “live document” following the project and complemented and/or updated during the project cycle - the WBIF Secretariat will input data on the outcome of the various stages of the WBIF appraisal and decision-making process while the Lead IFI will keep project implementation data up to date after approval by the WBIF SC.

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List of abbreviations

Abbreviation	Meaning
C	Completed
CC	Climate Change
DD	Detailed Design
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
EC	European Commission
EE	Energy Efficiency
EIA	Environmental Impact Assessment
ERP	Economic Reform Programme
EU	European Union
EWBJF	European Western Balkans Joint Fund
FI	Financial Institution
FIDIC	Fédération Internationale des Ingénieurs-Conseils (International Federation of Consulting Engineers)
FS	Feasibility Study
FTE	Full-time Equivalent
GAF	Grant Application Form
GDP	Gross Domestic Product
GHG	Greenhouse Gas
HRD	Human Resource Development
IFI	International Financial Institution
IFICO	Consultant executing the IFI Coordination Office Project
IG	Investment Grant
IPA	Instrument for Pre-accession Assistance
Lead IFI	Lead Financial Institution
M	Management
MIS	Management Information System
MSME	Micro, Small and Medium Enterprise
NIC	National Investment Committee
NIPAC	National IPA Coordinator
NS	Not Started
OECD	Organisation for Economic Co-operation and Development
P	Procurement
PIU	Project Implementation Unit
PMU	Project Management Unit
S	Supervision of works
SC	Steering Committee
SME	Small and Medium-sized Enterprise
SPP	Single Project Pipeline
TA	Technical Assistance
TD	Tender Documents
ToR	Terms of Reference
VAT	Value Added Tax
WBIF	Western Balkans Investment Framework
WIP	Work in Progress

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1 Blending Facility

Pre-filled information: **Western Balkans Investment Framework (WBIF)**.

2 Grant Number/code

The grant number is generated by the system (MIS) upon pre-registration.

3 Date of Steering Committee

The date of the Steering Committee which will consider the Project for approval is auto completed by the system (MIS).

4 Sector(s) (to be linked to section 5 “DAC-code”)

Choose sector/s from the table below:

Sector name	Examples of most commonly supported types of projects
Energy	renewable energy, interconnection systems, transmission, co-generation, hydro, gas pipelines, energy efficiency and savings.
Environment	water supply, waste water treatment, sewage systems, solid waste and hazardous waste management, emission control, flood mitigation measures.
Transport	railways and inland waterways and further including river ports, roads, seaports, airports, border facilities, inter modal terminals and urban transport
Social	schools and education centres, hospitals and health centres, social housing, employment centres and other facilities promoting employability, reclusion centres and other public buildings.
Other	Other sectors supporting socio-economic development as agreed by the Steering Committee by consensus.

5 CRS-code

For guidance please access: <http://www.oecd.org/dac/stats/dacandcrscodelists.htm>

Select code number and the name from the pre-defined list available in the MIS.

6 Beneficiary country

Insert the name of the beneficiary country (Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo*, Montenegro, and Serbia).

7 Name of Project

Enter a comprehensive Project title. The title should refer to the overall Project which includes the grant component applied for by the beneficiary under the current application form and not just the portion intended to be financed under the grant.

Definitions:

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the IJC Opinion on the Kosovo declaration of Independence.

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Project: means an overall investment project to be presented to the Steering Committee of the WBIF for financing under the WBIF.

Project Background: when the Project is part of a larger endeavour to be implemented in phases, for instance a section of an entire motorway or rail route or energy transmission line, etc. this large endeavour should be described briefly in the Project Context section of the GAF.

Action: means a part of a Project, in relation to which the beneficiary seeks the financing of a Grant for that action from the EWBIF resources.

Activities: activities to be undertaken in the implementation of the Action funded by the grant. They could be construction work, civil engineering and technical assistance, like supervision services, etc.

8 Lead Financial Institution

Provide the name of the Lead Financial Institution (Lead IFI) and attach a letter confirming its interest in financing the project and outlining the indicative timetable for project appraisal and approval.

9 Co-financiers(s)

Provide names of all other co-financiers (if relevant).

10 Type(s) of WBIF contribution

Choose type(s) of WBIF contribution from the list below:

Type(s) of contribution	Abbreviation
Investment Grant	INV
Technical Assistance	TA

Note: For grant co-financing of infrastructure investments, the types of WBIF contribution are defined as follows:

- *Investment Grant (INV): comprises supplies and works;*
- *Technical Assistance (TA): means support and capacity building activities necessary for implementing the Action, in particular preparation of detailed design (DD), management (M) - including tender documents (TD) and procurement (P) -, supervision of works (S), communication and visibility, evaluation and audit activities. Usually some of these services are charged to the loan part, especially for the most profitable investments such as energy and roads.*

11 Grant amount(s) requested (€)

Indicate the grant amount requested in total and per type of contribution.

For multiple activities/types of contribution (e.g. TA and IG) specify the amounts separately and coherently with sections 10 (Type(s) of contribution) and 23 (Calculation of the WBIF Grant for the Action).

12 Project stage

First, fill in the table found in Annex II (Stages under the implementation phase) to the GAF as instructed therein. Second, in section 12 of the GAF provide a short description of the stage of the Project in terms of technical and financial progress and maturity status; indicate the last task/technical documentation reported as completed and comment briefly on any preparatory stage that is outstanding or in progress

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(and indicate the expected date of completion). The following key aspects should be covered in this Section:

- **Technical:** refer to the status of preparation of the feasibility study (FS), environment impact assessment study (EIA), detailed design (DD), tender documents (TD), etc. Provide a short description of the proposed infrastructure and of the work for which assistance is sought specifying its main characteristics and components.
- **Administrative:** indicate the current status of the following: environment permit, land availability, invitations to tender, construction permit, etc.
- **Financial:** refer to the status of the loan agreement (in progress, signed, etc.) with the Lead IFI, other donor(s) grants, allocation from the national budget, etc.

13 Responsible beneficiary country authority

Indicate the beneficiary country authority (e.g. Ministry of Finance, Ministry of Transport, etc.) and specify the relevant department(s) in charge, including the NIPAC.

14 Implementing Entity(ies)

Indicate who is (are) the entity(ies) responsible for the implementation of the Project (e.g. the public transport company), if different from section 13 (see also section 20).

Specify if it is: Public, Mixed (indicate ownership structure) or Private.

15 Short description of the Project

Provide a short description of the Project. The description should include at least: background, location, final beneficiary(ies), estimated results, implementation period and main activities. It is particularly important to summarise key infrastructure deficiencies and needs that the Project (or component/phase) will address and bring to the level required by EU standards. Please annex a map that clearly shows the Project and its context.

(Indicative max 250 words)

16 Main objectives of the Project

Indicate the main objectives of the Project in terms of outcomes/outputs in coherence with section 27. The objectives of the Project should be identified and, to the extent possible, quantified and linked to the investments proposed; a clear link between identified problems – objectives - proposed solution/s must be made.

(Indicative max 250 words)

17 Context of the Project

The aim of this section is to show the context and an overall picture of the Project. Thus, this section should include the following elements:

- Describe the general context of the Project, including the main objectives pursued, and any related project including earlier phase(s)/component(s) and proposed subsequent phases/component(s) as well as distinct projects that may complement the current Action, if applicable.
- Describe the background of the Project. What is the need? How is it justified? Where does the idea come from? If of relevance, indicate any market failures or sub-optimal investment situations that need to be addressed.

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- Compliance with the main national/regional policies for the concerned sector or thematic area; consistency with the National/Regional Development Strategy, including compliance with the relevant sector strategies. Make reference to the Sector strategy/Action Plan/Master Plan in which the project is integrated; list all these documents.
- What is the priority of the Project from the national/regional authorities' point of view (e.g. South East Europe Transport Observatory, Energy Community, similar bodies if relevant)?
- Is the Project coherent with the priorities identified by the National Investment Committee (or equivalent) and the Single Project Pipeline (SPP)?
- Mention any previous WBIF, IPA, or IFI operation(s) related to the Project.
- Any involvement of the Private sector.

(Indicative max 500 words)

18 Coherence with the WBIF objectives and EU Policies

Justify in a concrete way how the Project is coherent with WBIF's objectives, with the priorities of the Instrument of Pre-accession and/or those of other WBIF donors?

Refer to any other related operations of the Project (financed by WBIF, EU funds, or other donors/financiers working on the same Project), indicate how the coordination and complementarity with related operations will be ensured and monitored.

Justify in a concise way how the Project is coherent with and contributes to achieving EU policies and core directives (e.g. environment, state aid, public procurement) and with the EU pre-accession strategy and the Economic Reform Programme (ERP).

Demonstrate how the Project complies with social standards, including promotion of gender equality; specifically, the objective of equality between genders should be ensured.

Provide enough elements to indicate the Project's compliance with the relevant *acquis*: Project background, rationale of the Project (re. to EU Policy and Principles, need for compliance with EU *acquis*).

(Indicative max 250 words)

19 Consultations before submission

Summarise the timing and the conclusions of any consultations carried out with the following stakeholders before submission (e.g.: Have IFIs or other donors been consulted on the Project? When? What was the decision reached?):

- Discussions and meetings within the framework of the National Investment Committees (NICs) or equivalent body (refer to the decision for approval);
- Involvement of IFIs (indicate if a mandate letter or similar does exist and the stage of the loan approval process, if applicable);
- Involvement of the EU Delegations;
- Involvement of DG NEAR Geographical Unit(s);
- Involvement of other donors;
- Involvement of regional organisations;
- Other stakeholders.

(Indicative max 200 words)

20 Institutional Framework of the Project

Describe:

- 1) the entities involved in the implementation;
- 2) the organisational set-up of the Project / Action (adding if possible a graph illustrating the institutional setup - to be annexed).

1. Description of entities involved

Please indicate the following entities involved:

- Beneficiary country(ies) authority(ies) (responsible Ministry(ies) and specific department(s));
- Entity(ies) that is/will be the beneficiary(ies) of the construction permit(s) for the Project;
- Implementing Agency(ies) (or equivalent);
- PMU/PIU (or equivalent);
- In case of involvement of a privately-owned company clarify the contractual structure (concession, private public partnerships).

2. Organisational set-up

- Describe the role (tasks, responsibilities, relations between the different bodies) of the Lead IFI and any other entities involved (including any Sub-delegatees, i.e. entities to which the IFI may sub-delegate part of its activities e.g. PMU/PIU, Development Agency).
- Describe the exact responsibilities of the Lead IFI and the Sub-delegatee, including the tasks which will be sub-delegated. Comment on the capacity and experience of the Sub-delegatee to implement those tasks.
- If applicable, describe, to the extent possible, the setup of the Project Implementation Unit (PIU) and its roles and responsibilities.
- Describe if the WBIF contribution will be pooled in a common project account with funds from the Lead IFI (or any co-financing institution) or if these funds will be kept on a separate account.
- Describe the flow of the WBIF contribution to the entities involved down to the final beneficiaries/recipients (particular attention should be devoted to this matter).

21 Project Budget and Financing Plan

Please complete this section in close cooperation with the Lead IFI.

Please provide details on the Project's Budget in the form of the Uses and Sources of Funds in the table included in the GAF. For convenience, the table is presented below:

Project Budget and Financing Plan				
Indicative Total Project Budget (Cost Breakdown)				
Component	Cost category (description)	Total costs (€) (A)	Non-eligible costs (€)^(a) (B)	Eligible costs (€)^(a) (C)=(A)-(B)
21	1	Planning/design fees		
	2	Land purchase		
	3	Works (Building and construction)		
	4	Supply (Plant and machinery)		
	5	Technical assistance for project preparation (e.g. master plan, pre-feasibility study, feasibility study,		

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	environmental and social impact assessment, detailed design, tender documents)				
6	Technical assistance for project implementation (e.g. supervision of works, project management)				
7	Communication and visibility ^(b)				
8	Evaluation and Audit ^(c)				
9	Contingencies ^(d)				
10	...				
Total Project Costs					
Financing Plan					
Sources of Funds		Amount (€)	Component(s) financed	% / total	Remarks (i.e. Code/ Ref. of Financing)
National contribution					
IFI Loan 1					
IFI Loan 2					
Grant amount requested ^(e)					
Other WBIF Grant(s)					
Other Grants					
Other Sources					
...					
Total Financing available					
<p>^(a) The categories of non-eligible and eligible costs respectively as listed in the accompanying Guidelines.</p> <p>^(b) Communication and visibility costs will reflect only those measures and actions supposed to accompany the Project, as part of the communication and visibility plan attached to the application.</p> <p>^(c) Eligible are only those costs associated with a special request made by the European Commission, for example with regard to reporting on "costs incurred" or a specific cross-cutting evaluation of a number of projects. They do not include statutory audit and evaluation requirements that fall with the Beneficiary as per national legislation or with the Lead IFI as part of their own due diligence and control for managing the Project.</p> <p>^(d) Contingencies should not exceed 10% of total investment cost (i.e. works and supplies) net of contingencies.</p> <p>^(e) Should be identical to the "Grant amount requested" from section 23.</p>					

In the **Cost categories** section of the table, please provide a description of the main cost items and their value. The proposed Cost Categories in the GAF are indicative only and the final composition / level of itemisation is left to the appreciation of the applying entity bearing in mind that the table should provide a good understanding of the main components of the proposed Project. Identify hard costs (works & supplies) and soft costs (detailed design, preparation of tender documents and procurement, supervision, and management) separately and systematically provide specific information on communication and visibility and evaluation and audit costs, contingencies.

The column "Component" is auto completed by the system when a new cost category is entered.

Note (1):

The categories of cost eligible for WBIF co-financing refer to those costs which, with due regard to the general conditions of eligibility set in the WBIF Rules of Procedure and those communicated at the launching of the call for proposals, are **necessary for implementing the Action in relation to which the financing of the grant is requested**. They must be reasonable, justified, and comply with the principle of sound financial management, in particular regarding economy and efficiency.

The categories of costs eligible for co-financing of infrastructure of projects are the following:

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- Works (building and construction);
- Supply (plant and machinery);
- Technical assistance for preparation of detailed design, tender documentation and procurement, management;
- Works supervision;
- Communication and visibility;
- Evaluation and audit;
- Contingencies.

Non-eligible costs:

- grants may, as a rule, only cover costs incurred after the date on which the Contribution Arrangement is signed between the Commission and the Managers of the Joint Fund. Exceptionally, a grant may be awarded for an Action which has already begun only where the applicants 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 grant application is, as a general 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.
- other expenditure such as:
 - × the cost of purchase of land or buildings, except where justified and necessary for the implementation of the Action and expressly set out in the GAF approved by the Steering Committee of the WBIF;
 - × planning/design fees
 - × 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.

Note (2):

- For infrastructure projects, the cost of detailed design (with final cost estimates and tender documents) is typically around 4–5% of the total estimated project cost. Construction supervision normally adds another 4–5% to the total estimated cost.
- **Contingencies** should not exceed 10% of total investment cost (works and supplies) net of contingencies

In the **Sources of Funds** section, please list all contributions expected (including the source and the type of contribution) and their respective amounts, also expressed as percentage of the total investment costs. Typically, this should include a national contribution, one or more loans from one or more IFIs (list each loan separately, including if a single IFI provides several loans), a WBIF grant and possibly other sources. Please indicate separately any loans provided on a non-sovereign basis as well as funds provided by private sector sources, if any. If other grant(s) or other sources are included in the financing plan, please provide the code/reference number of the financing agreement. In the column "Component(s) financed" select the number of the corresponding cost component.

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The information required to fill-in this section may be indicative at the time of submitting the application. It must be updated and confirmed by the Lead IFI before the approval of the grant by the Steering Committee.

22 Fiscal space and debt sustainability

Please complete this section in close cooperation with the Lead IFI.

Describe the following elements:

- Public debt in absolute terms and relative to GDP, recent trajectory and expected medium term trajectory, public debt levels vs debt ceiling if applicable;
- How the sovereign or sub-sovereign loan/guarantee attached to the Project affects debt sustainability;
- Sovereign credit rating and outlook of the beneficiary country and changes over the past 2 years, if applicable.

23 Calculation of the WBIF Grant for the Action

Please complete this section in close cooperation with the Lead IFI.

Please detail the costs to be funded from the WBIF grant under the Action in the table included in this section. Please crosscheck the information with the information provided in the financial table in section 21. For convenience, the table is presented below:

Calculation of the WBIF Grant for the Action				
Type of activity	TOTAL COSTS (€) <i>(A)</i>	CO-FINANCING RATE (%) <i>(B) = (C) / (A)</i>	MAXIMUM CO-FINANCING (€) <i>(C)</i>	
23	(1) Works and supplies, including contingencies ^(a)	<i>Project specific co-financing rate%</i>		
	(2) Technical assistance ^(b)	<i>Up to 100%</i>		
	(3) Communication and visibility ^(c)	100%		
	(4) Special evaluation/audit ^(d)	100%		
	Grant amount requested	<i>SUM(1:4)</i>		<i>SUM(1:4)</i>
	(5) Implementation fee for the INV component of this application ^(e)			<i>2% of (1)</i>
	(6) Implementation fee for the TA component of this application ^(f)			<i>4% of SUM(2:3)</i>
	TOTAL WBIF GRANT AMOUNT			<i>SUM(1:6)</i>

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- (a) May include the following cost categories listed in section 21 above: works (building and construction), supplies (plant and machinery), and contingencies. Contingencies should not exceed 10% of total investment cost (i.e. works and supplies) net of contingencies. These contingencies may be included in the total investment costs used to calculate the planned WBIF co-financing contribution.*
- (b) May include the following cost categories listed in section 21 above: technical assistance for project preparation (detailed design, tender documents, and procurement), and technical assistance for project implementation (supervision of works, project management.*
- (c) Communication and visibility costs will reflect only those measures and actions supposed to accompany the Project, as part of the communication and visibility plan attached to the application.*
- (d) May cover only costs associated with a special request made by the European Commission, for example with regard to reporting on "costs incurred" or a specific cross cutting evaluation of a number of projects. It does not include statutory audit and evaluation requirements that fall with the Beneficiary as per national legislation or with the Lead IFI as part of their own due diligence and control for managing the Project.*
- (e) 2% (two per cent) of the total co-financing amount of the investment component of this application ('Works and supplies, including contingencies).*
- (f) 4% (four per cent) of the total amount of the technical assistance component of this application ('Technical assistance' and 'Communication and visibility').*

The Project specific co-financing rate applies to the total costs for works and supplies, including contingencies, (i.e. investment cost) and it may not exceed the maximum percentage applicable to the relevant sub-sector as listed in table '*Maximum level of WBIF contribution to total investment costs per sub-sector*' below. It must be determined by the applicant and be justified in section 24.

Whereas the co-financing rate is applied to the total costs for works and supplies, the actual amount of the WBIF contribution (e.g. 50% of the total cost for works and supplies for a railway project) may only be used for eligible expenditure.

Technical assistance costs that are linked to the Project's preparation and implementation (only categories listed above) may be financed up to 100% of their total cost and be added to the maximum co-financed amount (i.e. investment component of the application).

Communication and visibility costs will reflect the measures and actions that are supposed to accompany the project concerned by the application, as part of the communication and visibility plan attached to the to the application.

Special evaluation/audit may cover only the cost associated with a special request made by the European Commission with regard to, for example, reporting on "costs incurred" or a specific cross cutting evaluation of a number of projects. It may not cover statutory and evaluation requirements that fall with the Beneficiary as per national legislation or with the Lead IFI as part of their own due diligence and control strategy when managing the Project. Where the relevant amount is not known at the time of submission, the columns "Total costs" and "Maximum co-financing" will be "0".

The following implementation fees apply to the grant:

- 2% (two per cent) of the total co-financing amount of the investment component of the application ('Works and supplies, including contingencies') will be included in the total amount of the WBIF grant;
- 4% (four per cent) of the total amount of the technical assistance component of the application ('Technical assistance' and 'Communication and visibility') will be included in the total amount of the WBIF grant.

Concerning the maximum percentages of the WBIF contribution to infrastructure investments where Financial Institutions (FIs) co-finance with loans, the determination of the exact percentage for grant co-financing infrastructure investment will depend on the results of the cost-benefit analysis for each project, as well on the consultations between the European Commission (DG NEAR), the beneficiary country and the concerned FI. The below table intends to give the maximum percentage/ceiling per sub-sector for co-financing of infrastructure projects.

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MAXIMUM LEVEL OF WBIF CONTRIBUTION TO TOTAL INVESTMENT COSTS PER SUB-SECTOR

Sub-sector	Co-financing rate (%)
Energy supply - renewables	20
Energy supply (generation) (non-renewable)	0
Energy transmission, distribution, electrification of urban and rural areas	20
Energy efficiency, district heating, EE in public buildings, urban metering systems	50
Gas pipelines, gasification of urban and rural areas	20
Water supply, waste water treatment, sewerage systems	50
Waste management, landfills, incinerators	70
Flood protection infrastructure, river basin and water management	70
Management of natural resources	70
Public universities, schools, HRD, research sport and cultural centres	50
Prisons and judiciary facilities	50
Social housing, hospitals and health centres	70
Roads construction and re-construction, bypass	20
Railways (new, rehabilitation, track renewal, signalling, communication)	50
Urban transport systems	30
Inland waterways transport and infrastructure	50
Airport infrastructure	10

24 WBIF grant amount justification

Your attention is particularly drawn to the importance of this section, which should be completed in close cooperation with the Lead IFI. Explain thoroughly how the grant amount and the Project specific co-financing rate were determined /calculated. This should refer to the needs of the macro-economic situation of the partner country, the economic and financial viability of the Project, the additionality of the WBIF grant, the envisaged impacts presented in the respective sections of the GAF, affordability concerns as well as the impact on tariffs (for projects generating revenue through user charges).

25 Additionality of the WBIF grant

Please 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 the additionality of the Project or the Action. 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 scarce grant funding is only justified when significant additionality is demonstrated.

Some types of additionality are quantifiable, and every effort should be made by the beneficiaries to do this. Other types may not be quantifiable and these should be addressed in a qualitative manner. Where a qualitative method is chosen, the reasons for this choice should be properly explained and substantiated. Evidence should be provided to support claims of additionality where possible.

Identify among the following categories of additionality which one(s) is/are applicable and comment accordingly. Detail only categories where additionality is relevant and applicable.

Type of Additionality	Questions
Economic and Financial	What are the economic benefits of the grant funding proposed? Why is the proposed grant funding necessary for the operation?
Project Scale	How will the grant funding increase the scale of the Project? Will it widen the results of the operation; 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 operation and/or the benefits it is expected to deliver?

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Project quality and Standards	How will the grant funding improve the quality of the outcomes expected from the operation? How will the grant funding improve the Project's chances of success? How will the grant enable promotion of higher standards (including social and environmental) and more substantial social or global public good returns than would otherwise be possible?
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 changes to legislation, regulation or policy? Does the grant finance enable demonstration effects to other participants in the market place?
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. Does the grant funding contribute to gender equality? Are there any significant benefits outside of the main / primary objectives of the loan operation that grant funding could bring?

26 Financial Leverage of the Project

Please complete this section in close cooperation with the Lead IFI. Three different standard leverage indicators are to be used, and the respective elements of calculation to be stated in the GAF:

- 1) **Investment leverage ratio** = value of investment (total project cost as per section 21) divided by total amount of WBIF grant(s) relating to this investment.
- 2) **Total eligible Financial Institution leverage ratio** = amount of IFI financing divided by total amount of WBIF grant(s) relating to this investment. Eligible Financial Institution financing can come in the form of non-concessional, concessional or grant funding.
- 3) **Private loans/equity leverage ratio** (if applicable) = amount of private sector (non-grant) financing mobilised as a financial input into the investment project divided by amount of WBIF grant(s)

27 Expected Results

This section should be completed in cooperation with the Lead IFI.

Introduce the values for result indicators that reflect expected outputs and intended outcomes of Project. The term "Project" is meant to cover the overall project / action for which support from WBIF is sought, regardless of which finance institutions and/or donors are involved in the financing plan and of the co-financing arrangement foreseen (joint co-financing, parallel co-financing). In the case of funds, credit lines and some intermediated operations, finance institutions may report on a prorata basis related to the part which is being financed to avoid overestimation of the results.

Values for these indicators will be presented in the GAF based on the following principles:

- Baseline value (X) refers to the value of the indicator without the blended project. Baseline values will reflect the status of the blended project and its indicators as observed normally before the project has started. Baseline values may be "0" at WBIF Steering Committee decision stage because they are related to the activities of the blended project (e.g. new water distribution pipelines), while in other cases, baseline values can be values in existence before the blended project, which may change because of 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 a predefined 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. In case of Projects for which a ramping up phase is expected after Project

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completion, the representative year should be after that ramping up phase and a timeline with expected values at various points over the ramping up phase may be given.

- 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 expected result should equal expected value after the Project.
- Comments should include information on methodologies, data sources, assumptions and time frames used to calculate the figures presented.

Responses such as “not available at this stage” or “will be known only at the end of the Project” should be avoided as much as possible, although they may not be completely excluded due to the intrinsic nature of certain projects (e.g. large programs where all components are not yet pre-identified or intermediated operations without pre-identified final beneficiaries or reasons related to the local context).

As some of the outcomes proposed evolve over time in the project cycle, measured at the end of the construction period (start of operation) these would not fully reflect the annual increase or final expected benefits. It is therefore requested to include a timeline reference for the baseline and expected value. This can be explained in the comments box.

Standard outputs and outcomes

Values for standard output and outcome indicators to be measured should be provided whenever possible. The relevant indicators corresponding to the selected sector (4) should be listed here. Standard indicators can be found in Annex V and cover the following sectors: Energy, Transport, Environment (including Water and Sanitation, Waste management, Flood prevention, protection and mitigation), Social sector and Private Sector Development.

Outputs are specific, direct deliverables of the Project (i.e. goods and services delivered or to be delivered) which 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.

The applicant together with the financial institution are particularly encouraged to introduce indicators in this section relating to indirect employment benefits and gender if they are able to do so.

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.

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Definitions applicable to the indicators are provided below. Due to differences among FIs in the methodology used to calculate the indicators, the applicant and the FIs should indicate the methodology used, providing the necessary explanation on the definition and measurement methodology being applied, including underlying assumptions.

Definitions and remarks on cross sector indicators:

Total number of beneficiaries:

Definition: estimated number of people with improved access to services (financial services, social and economic infrastructure, etc.)

The “number of beneficiaries” remains the most common denominator to highlight the overall outreach of the WBIF interventions across all sectors. Being a key design parameter for most interventions, data on the number of beneficiaries should be readily available, at least for infrastructure projects - ex-ante from Feasibility Studies, etc. as well as ex-post from the implementing partners and operators. A particular case can be made to allow for distinguishing between individuals and MSMEs, the latter being highly relevant for certain credit lines, etc. (unless this is already being captured by the respective standard sector indicators).

Direct employment - Construction phase

Definition: Number of full-time equivalent construction workers employed during the construction phase. This indicator will only be measured whenever possible, and in line with the different FI 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 the information is not available, the rule-of-thumb is two part-time jobs equal a full-time job. Note: employment for the client company's operations and maintenance is not to be included in this indicator. For such jobs, use the indicator Direct Employment - Operations and Maintenance.

Direct employment - Operations and maintenance:

Definition: 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 whenever possible, and in line with the different FI 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. Also, this 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 that was 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 the information is not available, the rule-of-thumb is two part-time jobs equal a full-time job. Note: employment for the construction of the client company's hard assets is not to be included in this indicator. For such jobs, use the indicator Direct Employment - Construction Phase.

Both employment indicators may also be reported subject to current practices and methodologies applied by finance institutions (*methodology used to be made transparent*).

Expected impact

Expected impact should be described in a narrative manner, based on assumptions about the link between outcomes and impact. One key impact expected is socio economic development. Impact is

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meant as the long-term effects produced by WBIF projects. It is the broader, longer term change, which a WBIF project can (directly or indirectly) bring. Impact indicators are more difficult to measure and collect, because of the time lag between project implementation and impact, or because of the difficulty of tracking the effect of the blended project into the impact indicator.

Indicate if the Project is directly or indirectly promoting substantial social returns or global public goods returns, gender equality, poverty alleviation and any cross-border impacts of the Project.

The applicant and its partner FI will not be required to attempt to measure impacts on a systematic basis, since it is widely agreed that impacts usually only materialise (well) after the end of a project and are typically difficult and expensive to monitor and measure. However, these will have to clearly state the impact assumptions they are making when they formulate a project proposal.

28 Project Sustainability

This section should be completed 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. In case of TA assistance also refers 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:

- **Environmental aspects:** Has the Project considered environmental implications so that negative impacts on environment are either avoided or mitigated during the life of the Project? Has a public consultation process taken place?
- **Economic/Financial viability:** Does the Project guarantee an acceptable level of economic (and financial where applicable) return? Describe future revenue flows expected from the Project as well as ongoing operation and maintenance costs and expected sources of funding for those.
- **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., please describe the affordability approach used.
- **Institutional aspects:** Has the Project received the necessary support (both budgetary and institutional) to enable it to maintain and operate the facilities over their lifetime?

29 Risk Assessment Categories

Identify the project related risks and the way these risks will be mitigated. Assess how seriously the identified risk might 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 country and EU legislation/standards and pace of convergence; policy changes; administrative changes;
- Economic risks: describe how changes in macroeconomic conditions or policies may affect the Project;
- Financial risks: for financial risks description focus on the following elements: credit and currency risk of the beneficiaries; risks linked to partner financial institutions (intermediaries), notably the percentage of the expected and unexpected losses covered by WBIF funds ; the period covered by the risk sharing operations, WBIF guarantees, first losses, equity or quasi-equity; the link between the size and use of WBIF grant requested and expected and unexpected losses or other risks taken;
- Social and gender risks: inadequate communication between all actors involved in the Project; public opposition, affordability issues, etc.;
- Environmental risks: impacts on air pollution, noise, and climate change (Climate risk issues addressed in section 30), etc.;
- Implementation risks: delays in project implementation (delays in task execution); site unavailability; delays in procurement, etc., and risks related to project outputs not leading to intended outcomes and impact;
- Other risks: describe any other risks identified.

(Indicative max 500 words)

30 Issues to be clarified before submission to the WBIF Steering Committee

Describe all issues, if any, that remain open and need to be assessed before the Project reaches the WBIF Steering Committee for final decision.

Provide information about any horizontal conditionalities associated with IPA (e.g. adopted national sector strategy) (if applicable) and/or specific commitments associated with the implementation of the Project (e.g. land planning issues).

31 Climate Mitigation and Adaptation aspects

Describe steps taken in project design and implementation to minimise impact on the environment whilst ensuring project resilience to climate change. The Lead IFI is to provide information on issues such as project potential contribution to GHG emission reduction, any climate risk assessments carried out or considerations and measures to improve the Project's resilience to current and future climate risks. The type of information to be provided and the level of detail required will depend on the sector. For reference, the Rio Markers methodology will be employed to determine whether climate change is the principle objective of the Project, one of the objectives (significant) or it is not an objective. The Lead IFI may propose a specific percentage of project budget which contributes to climate change based on its own methodology.

See Annex VI for some sample checklists that can assist beneficiaries to determine what information is required. It is important to note that these initial assessments should be done in consultation with the proposed Lead IFI as all FIs have standard methodologies and tools to identify and assess the

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information. The Lead IFI can further elaborate the climate risks and resilience measures in the assessment phase when allocating Rio Markers.

32 Indicative Project Calendar

This section is intended to summarise the key milestones expected for the Project. Include information that relates to operational milestones (implementation phase) as well as institutional milestones (necessary procedures, including Parliamentary ratification of loans, if applicable). Provide dates on specific milestones of the Project in the form of the year and the quarter of the year during which the milestone is expected to be reached, for instance Q1 2017. Please note that this section is expected to be updated before contracting and/or in case there are material changes in the project calendar. The milestones included in the template must be mandatorily filled. Any additional relevant milestone specific to a project or action can be added without limitations in MIS.

The field on payment schedules relates only to payments to be made into the EWBJF by donors funding the proposed grant and it should be filled in with the assistance of the Lead IFI, as payments need to agree with the project implementation modalities followed by each Lead IFI. As a principle, payments from the European Commission into the EWBJF should be made at the latest possible date.

The final date of operational implementation of the Action refers to the completion date of all contracts implementing the Action as per GAF (e.g. works have been performed, supplies have been delivered, serviced have been provided). In case of grants funded by the European Commission, **the final date of operational implementation** will feature on the annual Financing Decision of the European Commission which provides the funds for the WBIF grant and no disbursement will be possible past that date. As a rule, the European Commission will allow for 7 to 8 years of operational implementation.

The period of execution of the Action is generally longer than the operational implementation period as it includes payments, audits, and final report due under the grant.

Where the final date of operational implementation and/or execution of the Action do(es) not correspond with the equivalent dates for the Project, indicate both these dates for the Action and for the Project.

33 Description of procurement procedure

This section should be completed in cooperation with the Lead IFI.

Provide an overview of the planned tendering process for the Project, including the name(s) of the contracting authority(ies) (e.g. local authority(ies), lead IFI) and the applicable procurement rules.

Fill in the indicative procurement calendar found in section 32 of the GAF to provide an overview of the procurement procedures.

34	Description of procurement procedure	
	Procurement calendar:	
	Period	Type of contract

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	Technical Assistance for Management Support	Technical Assistance for Supervision of Construction	Evaluation and Audit	Communication and visibility	Supply Contract (if applicable)	Works Contract
Q1 [year]						
Q2 [year]						
Q3 [year]						
Q4 [year]						
Q1 [year]						
Q2 [year]						
Q3 [year]						
...						

- Indicate all (if several different ones will be used) the procurement procedures applicable to the implementation of all the Project's components.
- Indicate if any WBIF-financed project component will be tendered separately.
- Indicate when (e.g. Q4 2017) and where the tender(s) details, including tender(s) documents, will be published.

This section should be completed to the greatest possible extent at the time of submission and later finalised prior to signing of the grant agreement between the IFI and the Beneficiary.

34 Monitoring, reporting and evaluation

➤ **Monitoring and Reporting set up**

- This section should include key information on project monitoring and reporting as well as evaluation cycle;
- Describe, when relevant, the *modus operandi* for the implementation of the monitoring process;
- For reporting, the template attached as Annex III to the GAF will be used.

➤ **Audit**

Audit should be carried out in accordance with the WBIF Joint Fund general conditions.

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➤ Main pre-conditions

If identified, indicate pre-conditions and conditions that would apply to the WBIF contribution to the Project (generally about the loan conditions if they impact the project implementation/ schedule/ payments; sometimes conditions to implementation/ pre-financing disbursement if requested by the Steering Committee).

35 Communication and visibility

Please provide a summary of the communication and visibility plan considering the guidelines of Annex III. Provide details of the proposed visibility measures for the Project and Action (e.g. type of measure, short description, estimated costs, duration, etc.). The communication budget should be sufficient to have a real impact and reflect the size and the likely impact of the Action.

36 Contacts

Please provide contact details of the project manager in your institution, the reference person in the EU Delegation (national projects) / the representative of the Partner Country Authority or the Private partner (whenever possible), taking into account eventual restrictions imposed by banking regulations, confidentiality and compliance issues etc.

37 Date of submission and NIPAC details

No specific comment.

ANNEXES TO THE GRANT APPLICATION FORM TEMPLATE

Annex I: Key requirements checklist

Ensure that this annex is as complete as possible.

Annex II: Stages under the implementation phase

To be filled in and used in section 12.

No.	Project Stage	Status	Comments
1.	Master plan or any other relevant spatial plan		
2.	Definition of the individual investment project		
3.	Pre-feasibility study		
4.	Feasibility study and Cost-benefit analysis		
5.	Land ownership		
6.	Preliminary design		
7.	Detailed design		
8.	Environmental (and social) impact assessment		
9.	Loan and grant negotiations for the investments		
10.	Signing of loan and grant for the investments		
11.	Procurement		
12.	Contracting of works		
13.	Construction and supervision		

In the “Status” column, please indicate the current stage using the following codes:

Status	Abbreviation
Not Started	NS
Work In Progress	WIP
Completed	C

Use the “Comments” column to supply relevant summary information, such as:

- Refer to the status of preparation or readiness of the task (expected date of start/ completion/ the date of approval) - *this applies to all rows of the table;*
- Indicate how the project is a priority for the national authority (NIC/SPP)– *this applies to row 2 of the table;*
- Succinctly refer to the site and the legal status of the land related to the new investments (if applicable) – *this applies to row 5 of the table;*
- Refer (if possible) to the type of works contract (e.g. Yellow FIDIC Book/ Red FIDIC Book) – *this applies to row 12 of the table;*
- If for any reason the project is not ready to start, briefly indicate the issues – *this applies to row 13 of the table.*

Annex III: Communication and Visibility template

Please refer to detailed guidance provided within the template annexed to the GAF.

Annex IV: Reporting template

Please refer to detailed guidance provided within the template annexed to the GAF.

ANNEXES TO THE GRANT APPLICATION FORM GUIDELINES

Annex V: Indicators

Please refer to guidance provided in the corresponding section.

Annex VI: Climate Mitigation and Adaptation Aspects

Please refer to guidance provided in the corresponding section.

Annex VII: WBIF Screening and Assessment Grid

Not to be filled in by applicants. It generally reflects the assessment carried out by the WBIF and aims to help the applicants to double check that all relevant information has been provided.

Annex V: Indicators

Transport

	OUTPUT INDICATORS	UNIT	DEFINITION
1.1	Length of new or upgraded roads	Km	Total length of the road built or upgraded through the project. This indicator will refer to paved roads and in general cover motorways, highways, main or national roads, secondary or regional roads.
1.2	Length of new or upgraded railways	Km	Total length of railroad tracks built or upgraded.
1.3	Length of new or upgraded urban transport lanes.	Km	Total length of urban transport lanes including bus lane, tramline or metro tracks built or upgraded.
1.4	Port terminal capacity (passenger, container or cargo)	Million passenger per annum "mppa" (passenger); million TEU/year (container); million tons/year (cargo)	The indicator is the future capacity of the container terminal(s). In case of a terminal expansion, it includes the total capacity of the terminal(s) (current terminal(s) + expansion). The baseline is the current capacity of the container terminal(s). Depending on the type of terminal (container, passenger or cargo), the units used will be different.
1.5	Airport terminal capacity	Million Passengers per annum – "mppa" or million tons /year (cargo)	The indicator is the increase in passenger terminal capacity of the airport. It is calculated as the difference between the assessed total passenger terminal capacity of the existing airport prior to the project being implemented and the assessed total passenger terminal capacity of the airport after the project has been implemented.
	OUTCOME INDICATORS	UNIT	DEFINITION
1.6	Users of new or upgraded roads	Average Annual Daily Traffic "AADT"	Average Annual Daily Traffic. All vehicle will be counted, including those of traffic that existed before upgrading, diverted traffic, traffic generated as a result of road improvement, as well as growth in each of these categories.
1.7	Rail use	Million Passengers /year or tons /year (cargo)	Total of passengers or freight using rail service.
1.8	Urban transport users	Million passengers per annum	Total urban transport passengers indicating those shifted from other transport modes as a result of the project.
1.9	Ports: Terminal(s) user traffic (passenger, container, or cargo)	Million passengers per annum "mppa" (passenger); million TEU/year (container); million tons/year (cargo)	Total of passengers, containers or cargo using port services. Depending on the type of terminal (container, passenger or cargo), the units used will be different.
1.10	Airport use	Million Passengers per annum – "mppa" or million tons/year (cargo)	Passenger or freight traffic handled at the airport.

Environment (water and sanitation)

	OUTPUT INDICATORS	UNIT	DEFINITION
2.1	Length of new or rehabilitated water supply pipes	Km	Length of water mains and distribution pipes installed/ upgraded. All sizes of pipes intended to transport water for urban water use expressed in their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes.
2.2	Length of new or rehabilitated sewer pipes installed	Km	Length of collectors and sewers installed or upgraded. All sizes of sewer pipes expressed in their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes.
2.3	New connections to water supply	No.	Number of new connections to the water network. Only new connections resulting from a project are counted; those already connected to the network and receiving improved services through a project are not counted.
2.4	Water treatment capacity	M3/day	Maximum amount of water that the new or improved treatment plant can process. This indicator reflects the total new or additional capacity of treatment plant independently of its production during operation.
2.5	Wastewater treatment capacity	M3/day	Maximum amount of waste water that the new or improved treatment plant can process. This indicator reflects the total new or additional capacity of treatment plant independently of its production during operation.
	OUTCOME INDICATORS	UNIT	DEFINITION
2.6	Population benefitting from safe drinking water	No. of households	Urban or rural population using a safe drinking water supply, as defined by international standards.
2.7	Population benefitting from improved sanitation services	No. of households	Urban or rural population with access to improved sanitation services, as defined by international standards.
2.8	Potable Water Produced	M3/day	Amount of potable water produced, independently of the maximum capacity of the network.
2.9	Wastewater Treated	Population equivalent "p.e."	Amount of wastewater treated, independently of the maximum capacity of the treatment plant.

Environment (waste management)

	OUTPUT INDICATORS	UNIT	DEFINITION
3.1	No and volume of containers for separate waste collection	No. and m ³	Number and volume of the containers for separate collection purchased within the project.
3.2	No and capacity of transfer stations	No. and tone/year	Number and capacity of the new transfer stations made under the project.

3.3	No and capacity of sorting plants	No. and tone/year	Number and capacity of the new sorting plants made under the project.
3.4	Total diversion rate for biodegradable waste not disposed of in landfills	% and tone/year	Quantity of biodegradable waste treated and deviated from landfilling related to the total quantity of biodegradable waste generated.
3.5	No and capacity of treatment plants	No. and tone/year	Number and capacity of the new treatment plants made under the project (e.g. mechanical and biological treatment plants, composting plants, incinerators, etc).
3.6	Amount of waste disposed of in compliant landfills	tone/year	Quantity of waste annually landfilled according to the EU regulations.
3.7	No and capacity of landfills compliant with EU standards	No. and m ³	Number and capacity of the new landfills built under the project which are compliant with the EU standards.
3.8	No and volume of environmentally closed urban landfills	No. and m ³	Number and capacity of non-compliant landfills closed under the project in compliance with the EU standards.
OUTCOME INDICATORS		UNIT	DEFINITION
3.9	Total population served by improved the sanitation services	Inhabitants	Urban or rural population using a sanitation service, as defined by EU standards.
3.10	Percent of population connected to collection services in total and in urban, rural areas	%	Urban or rural population with access to improved sanitation services, as defined by EU standards.
3.11	Percent of population connected to separate collection services in total and in urban, rural areas	%	Percent of the population connected to the separate collection system implemented through the project.
3.12	Total generated municipal waste	tone/year	Annual quantity of municipal waste generated at the project area.

Environment (Flood prevention, protection and mitigation)

	OUTPUT INDICATORS	UNIT	DEFINITION
4.1	Length of river dikes constructed	Km and custom	Length of river dikes constructed within the project
4.2	Length of river embankments/dikes rehabilitated and improved	Km and custom	Length of river embankments/dikes rehabilitated and improved within the project
OUTCOME INDICATORS		UNIT	DEFINITION
4.3	Population benefiting from flood protection measures	Inhabitants	Number of people exposed to flood risk where vulnerability decreased as a direct consequence of a supported project
4.4	Semi-urban and urban area protected from floods in project locations baseline	Ha / Custom	Semi-urban and/or urban areas protected from floods within the project.

4.5	Rural/Agricultural land protected from floods in project locations baseline	Ha / Custom	Area of agricultural lands protected from floods within the project.
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Energy

	OUTPUT INDICATORS	UNIT	DEFINITION
5.1	Transmission and distribution lines installed or upgraded	Km	The indicator covers power transmission and distribution lines. It is the measure of the ground distance traversed, in kilometres.
5.2	New connections to electricity	No.	Number of new connections to the grid. Only new connections resulting from a project are counted; those already connected to the grid and receiving improved services through a project are not counted.
5.3	Additional capacity from conventional electricity production	MW	Gross generating capacity of a power generation project from conventional energy sources. A project may involve construction of a new power plant or refurbishment of an existing plant.
5.4	Additional capacity from renewable energy sources	MW	Gross generating capacity of a power generation project from renewable energy sources. A project may involve construction of a new power plant or refurbishment of an existing plant.
	OUTCOME INDICATORS	UNIT	DEFINITION
5.5	Population benefitting from electricity production	No. of households	The number of households which are estimated to benefit from new electricity supply from the project.
5.6	Power production	GWh/year	Total net annual average electricity generated by project, independently of its maximum capacity.
5.7	Energy efficiencies	GWh/year	Energy savings as a result of project against no project or most likely alternative (e.g. loss reduction in generation, distribution, etc.)

Social (social housing, health and education)

	OUTPUT INDICATORS	UNIT	DEFINITION
6.1	New and/or refurbished habitable floor area	Square meter	Square meters of new and/or refurbished social housing.
6.2	New and/or refurbished health facilities	No.	Number of new and/or refurbished health facilities of any type (hospitals, clinics, health centres etc.).
6.3	New and/or refurbished educational facility	No.	Number of new and/or refurbished educational facility of any type (schools, universities etc.).
	OUTCOME INDICATORS	UNIT	DEFINITION
6.4	Population benefitting from improved housing conditions	No. of households	Number of households benefitting from improved housing conditions.

6.5	Bed occupancy rate	%	Percentage of beds occupied at the hospital.
6.6	Inpatients	No. per year	Number of patients per year that are admitted and stay at least one night at the hospital.
6.7	Outpatient Consultations	No. per year	Number of patients per year that are diagnosed or treated at but do not stay overnight at the hospital from the project.
6.8	Students benefitting from new and/or refurbished educational facility	No. per year	Students per year benefitting from new and/or refurbished educational facility.
6.9	Students enrolled	No. per year	Total aggregate of pre-primary, primary, secondary, and tertiary, further, vocational as required.

Cross Sector Indicators

	INDICATORS ^{a)}	UNIT	DEFINITION ^{b)}
7.1	Total number of beneficiaries	#	Estimated number of people with improved access to services (financial services, social and economic infrastructure, etc.).
7.2	Direct employment: Construction phase	# (FTE)	Number of full-time equivalent construction workers employed for the construction of the company or project's hard assets during the reporting period.
		No. (%)	Number and percentage of women and men employed in the construction phase
7.3	Direct employment: Operations and maintenance	# (FTE)	Number of full-time equivalent employees as per local definition working for the client company or project at the end of the reporting period.
		No. (%)	Number and percentage of women and men employed in the operation and maintenance phase
7.4.	Women in decision making positions	No. (%)	Number and percentage of women in decision making positions during the preparation and implementation periods of the project.

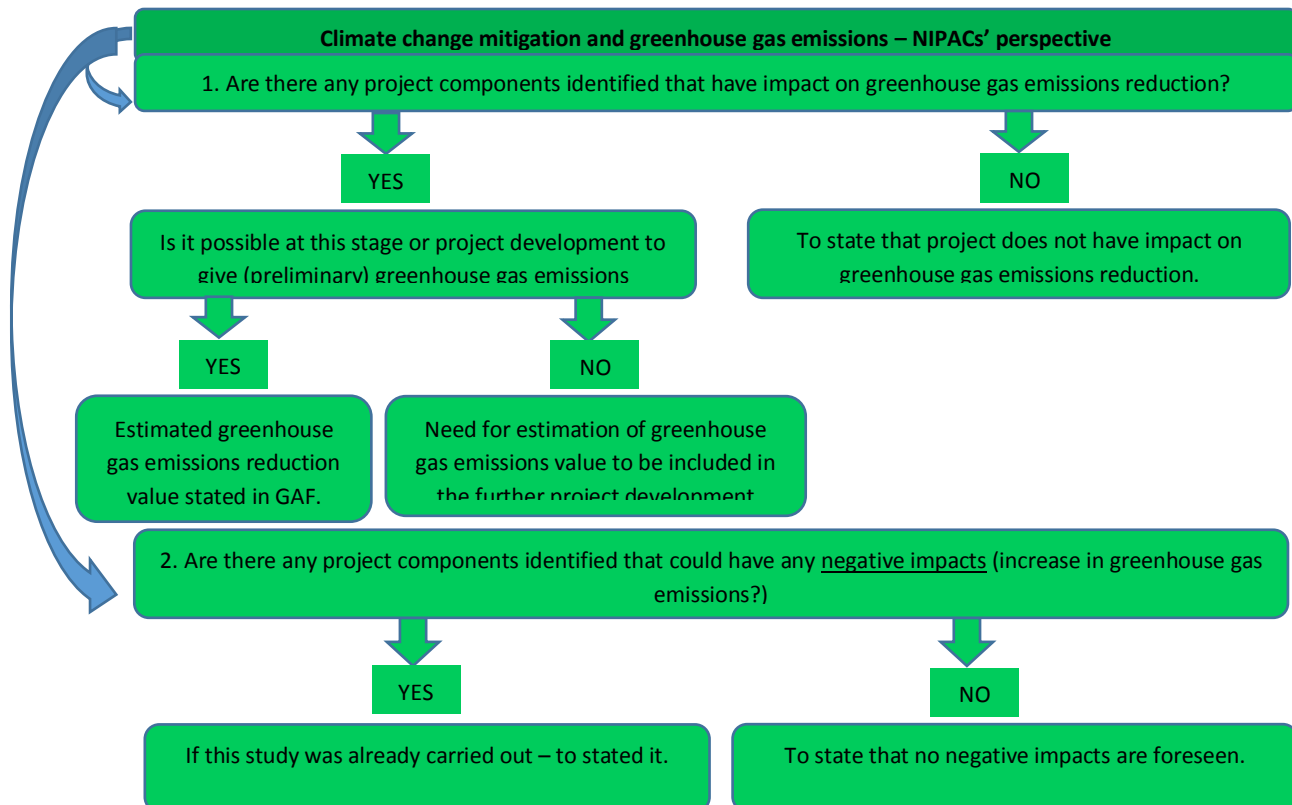
Annex VI Climate Mitigation and Adaptation Aspects

This annex provides guidelines to the beneficiaries providing information on climate change issues in the application form. The beneficiaries are requested to provide information on climate change in section 31 Climate Mitigation and Adaptation aspects.

The beneficiaries should provide information on potential contribution/contributions of the project to climate change mitigation/adaptation and on potential climate risks which can influence the project and measures to ensure the projects make project climate resilient. For some projects climate change aspects might not be that relevant (e.g. assistance to private sector development). If climate change aspects are not relevant for the project this should be stated after consulting with the Lead FI.

Only projects at an advanced preparation stage can seek investment grants and it is assumed that preparation studies analysed the relevant information on climate change aspects. A summary of key facts from the project preparation studies such as: project expected impact on GHG emissions; identified climate change risks and measures to make project climate resilient should be stated in the application

The graph below outlines the type of information to be provided on potential GHG emissions:



The following check lists can assist the beneficiaries in identification of potential climate change impacts on the project:

Checklist to identify climate – influenced projects²
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² Adapted from Guidelines for Project managers: Making vulnerable investments climate resilient (Non paper, EC 2012)

Questions	If yes, insert 'y'
Is the lifetime of the project 20 years or more? (It is on these timescales that climate change impacts will increasingly be felt.)	
Are the project options in climatically-exposed locations? (As detailed in the next table)?	
Is water an integral part of operations, products or services? (Integral part refers to the use of water as major component of the operation (e.g. cooling water in the production/manufacturing process, hydropower generation.)	
Are there problems due to disruption of energy supply for the project?	
Do project components depend on other supplies or services which are sensitive to climate conditions or weather events? Are transport routes for the project options vulnerable to weather disruption (e.g. by storms, floods, landslides, etc.)?	
Are the project facilities or operations negatively affected by higher temperatures? Can this lead to reduced productivity, higher costs, or equipment failure?	
Will the project workforce be exposed to temperature stress or weather events (non-air conditioned or poorly ventilated buildings / working outside)?	
Is demand for the project's products/services sensitive to weather or climate conditions?	

The following table assists to determine if the project location is likely to be exposed to climate change risks:

Is project location exposed to climate change? ²	
Changing climate hazard	Particularly exposed locations
Average temperature rise and increased risk of heat waves	<ul style="list-style-type: none"> ▪ Regions where average temperature is already high; ▪ Urban centres, where the 'urban heat island effect' will exacerbate high temperatures; ▪ Regions with limited freshwater supplies.
Mean sea level rise, coastal flooding and erosion	<ul style="list-style-type: none"> ▪ Coastal areas and islands.
Decreased seasonal precipitation, increased risks of drought, wildfire.	<ul style="list-style-type: none"> ▪ Regions where rainfall is already scarce; ▪ Locations where current demand for water almost matches supply or outstrips; ▪ Locations where water quality is poor; ▪ Regions prone to wildfire; ▪ Trans-boundary river basins where tensions over water use already exist.
Increased seasonal precipitation and more rapid snow melt – increased risk of river flooding, flash floods, or soil erosion.	<ul style="list-style-type: none"> ▪ Regions with high rainfall; ▪ Estuaries, deltas, river floodplains; ▪ Mountainous regions; ▪ Locations prone to landslips;

	<ul style="list-style-type: none"> ▪ Urban centres with storm water systems not designed to manage intense rainstorms; ▪ Contaminated environments (land, water).
Possible increase in storm intensity and frequency	<ul style="list-style-type: none"> ▪ Areas at risk of storms; ▪ Urban centres at risk from storms.

Certain types of WBIF projects might be more likely exposed to climate risks:

Project category	Example of project type
Energy	<ul style="list-style-type: none"> ▪ Electricity production (thermos power plants, gas turbines, hydropower, wind, solar); ▪ District heating, cogeneration; ▪ Electricity transmission (power transmission/distribution networks); ▪ Gas pipelines and facilities.
Buildings (social sector relevance)	<ul style="list-style-type: none"> ▪ Public buildings (educational infrastructure, hospitals, healthcare facilities, prisons); ▪ Commercial facilities / tourism infrastructure.
Transport	<ul style="list-style-type: none"> ▪ Railways, roads, bridges, airports, harbours, inland waterways.
Environment	<ul style="list-style-type: none"> ▪ Drinking water supply, wastewater treatment; ▪ Solid waste management; ▪ Flood protection.

During the assessment phase, the Lead IFIs allocate the Rio Markers to the application and comment on project's contribution to climate change (mitigation and adaptation) aspects.

The tracking is based on Rio Markers methodology developed by the OECD. The Rio Markers on climate indicate a donor's policy objectives in relation to each aid activity. They allow for approximate quantification of aid flows that target climate objectives. There are three values of Rio Markers to be used: 2, 1 and 0 (see table below for explanation).

Rio Marker	Description
2	<ul style="list-style-type: none"> ▪ Tackling climate change (mitigation, adaptation) is the principle objective of the project (it's explicit, prime objective); ▪ It is a principal reason for undertaking this project; ▪ If project is marked as "2" 100% of the project budget is counted as climate finance.
1	<ul style="list-style-type: none"> ▪ Tackling climate change (mitigation, adaptation) is a significant objective. Project has other prime objectives. ▪ If project is marked as "1" 40% of project budget is counted as climate finance.
0	<ul style="list-style-type: none"> ▪ Project does not have objectives related to climate change (mitigation, adaptation).

Rio Markers can be allocated for climate change mitigation and climate change adaptation. See table below for key concepts.

Climate change mitigation marker	<ul style="list-style-type: none"> ▪ Project contributes to the objective of reducing or limiting greenhouse gas (GHG) emissions and/or stabilisation of GHG concentrations in the atmosphere; ▪ Typical sectors include: water and sanitation, transport, energy, agriculture, forestry and industry; ▪ Examples of projects include: GHG emission reduction in the energy/ transport sectors; Application of new and renewable forms of energy, machinery and equipment; Methane emission reduction through waste management or sewage treatment; Introduction of new technologies and know-how that reduce GHG emissions (in waste management, transport, energy).
Climate change adaptation marker	<ul style="list-style-type: none"> ▪ Project contributes to reducing vulnerability of human or natural systems to the impacts of climate change and climate-related risks by maintaining or increasing adaptive capacity and resilience; ▪ Typical sectors include: health, water and sanitation, agriculture, forestry, fishing, flood protection, disaster prevention and preparedness; ▪ Examples of projects include: promoting water conservation in areas of high water stress; implementing measures for flood prevention and management (watershed management, wetland restoration), water saving irrigation methods.

The Lead IFI may propose a specific percentage of project budget which contributes to climate change based on its own methodology³.

The allocation of Rio Markers to a specific project does not influence its scoring or prioritisation during the WBIF decision making process on grant allocation. It is done to allow donors including the EU to report on their commitments to climate finance.

³ It is the case of IFIs using the Multilateral Development Banks Methodology (e.g. EBRD, EIB)

Annex VII: WBIF Screening and assessment grid

The main objectives of Annex VII are to (i) facilitate the screening and assessment of grant applications, and (ii) ensure a consistent approach and understanding of the requirements by both applicants and those involved in the selection (screening and assessment phases) of projects proposed for WBIF financing. The purpose of the grid is to:

- a) Help applicants in double checking that all sections of the INV GAF are duly filled in with adequate information and data, as well as increase the transparency of the selection process;
- b) Provide additional information to those involved in the screening and assessment of applications in respect of key aspects that should be followed in the evaluation of each section of the INV GAF (and/or of certain topics), and, hence, ensure that all criteria are applied in a coherent and consistent manner.
- c) Enhance the efficiency of the selection process by assigning the evaluation of the INV GAF's sections to relevant screening/ assessment organisations.

Part 1 of Annex VII contains general information about the project and a summary of the screening / assessment conclusions. This part should be completed by all those involved in the screening and assessment of grant applications, as appropriate and due. More details on such potential roles for key WBIF stakeholders involved in the selection process are provided below.

Part 2 contains sets of questions for each section of the INV GAF. The questions are for guidance only and their purpose is to support the evaluation comments provided in the boxes titled "Summary of recommendation" and "General comments." In the column 'Screening / Assessment Organization,' those involved will be able to choose between "Yes", "Partially", "No" in response to the aspects covered by the questions pertaining to a specific section of the GAF.

If the answer is "No" or "Partially", the screeners/assessors should substantiate their choice in the column "Screening / Assessment", particularly in case the information and arguments provided in the GAF are unclear or incomplete.

Part 1

					Screening / Assessment Organization						
					DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
Date of the screening / assessment:			Name and Unit of Screener / Assessor:								
1	Blending Facility	WBIF	2	Grant Number/code							
4	Sector(s)		5	CRS-code							
6	Beneficiary country										
7	Name of project										
Summary of recommendation		Recommendation of submission to the SC		Yes <input type="checkbox"/>	No <input type="checkbox"/>						
<i>[to be filled by all screeners/assessors]</i>		Conditionality for the approval of the project									
General Comments <i>[please assess the aspects pertinent to your role]</i>		<p><i>[In this section, please summaries the main conclusions, in bullet point format, which should cover the most vital aspect of the project proposal:</i></p> <ul style="list-style-type: none"> ▪ <i>The relevant information is presented briefly, in a clear and concise manner, to allow a good understanding of the project proposal at the first reading of the GAF</i> ▪ <i>Project status/maturity</i> ▪ <i>IFI commitment/agreement including status of the loan</i> ▪ <i>Coherence with the WBIF objectives and EU Policies/principles</i> ▪ <i>Budgetary issues, especially related to the calculation of the grant</i> ▪ <i>Institutional aspects</i> ▪ <i>Other issues, such as sustainability, results indicators, risks associated with the project proposal</i> 									

[To be completed by all screeners and assessors]

	<i>Overall conclusion and outstanding issues, such as the need for further clarifications or corrections.]</i>	
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Part 2

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
1 – 11 13 -14	Identity of the project: <ul style="list-style-type: none"> ▪ Is the information provided in each section consistent and in coherence with the information filled in the other sections of the GAF? ▪ Are all the sections of the GAF completed with the information requested therein? 		√	√	(√)	(√)	√	√	√
12	Project stage & Annex II: <ul style="list-style-type: none"> ▪ Does the technical and financial information demonstrate that the project fulfils the maturity criteria? [Thoroughly investigate the status of preparation or readiness of the project: <u>A. Project technical documentation is:</u> <ol style="list-style-type: none"> i. Complete ii. Under completion (indicate the estimated time for completion) iii. Far from completion due to lack of documentation iv. Far from completion due to legal/regulatory constraints <u>B. Financial information: IFI commitment/ agreement including status of the loan]</u> 		√	√	√	√	√	√	√
15	Short description of the Project: <ul style="list-style-type: none"> ▪ Is the relevant information presented briefly, in a clear manner, to allow a good understanding of the project proposal at the first reading of the section? 		√	√	√	√	√	√	√

	<ul style="list-style-type: none"> ▪ <i>What evidence is there of real demand for the project/ action?</i> ▪ <i>To what extent is the project proposal expected to provide a significant and sustainable contribution to solving the problem targeted? Is the issue focused enough?</i> ▪ <i>Does it clearly present who are the target groups of the project?</i> 								
16	<p>Main objectives of the Project:</p> <ul style="list-style-type: none"> ▪ <i>Are the objectives specific enough to define what there needs to be achieved?</i> ▪ <i>Are the objectives measurable? Will it be possible to measure their achievement at the end of the project?</i> ▪ <i>Is it possible to achieve (time and resources, external factors) the objectives within the project's lifetime?</i> ▪ <i>Is there a clear link between objectives and the results presented in Section 25?</i> 		√	√	√	√	√	√	√
17	<p>Context of the Project:</p> <ul style="list-style-type: none"> ▪ <i>Is the overall description of the project realistic and consistent?</i> ▪ <i>Is the need of carrying out the project well defined and justified?</i> ▪ <i>Is there coherence with main national/regional policies in the concerned sector or thematic area?</i> ▪ <i>Is the project coherent with the National/Regional Development Strategy?</i> ▪ <i>Is there clear ownership/support of the project from national/regional authorities?</i> 		√	√	√				√
18	<p>Coherence with the policy objectives of the WBIF and EU policies:</p> <ul style="list-style-type: none"> ▪ <i>Is the project proposal coherent with the policy objectives of the</i> 		√	√	√	√	√	√	√

	<p><i>WBIF, and the EU policies/principles?</i></p> <ul style="list-style-type: none"> ▪ <i>Is the proposed project coherent with the Economic Reform Programme?</i> ▪ <i>Is there compliance with social standards, including the promotion of gender equality?</i> ▪ <i>If the project proposal is a continuation of a previous project, does it show a clear need for this extension and also demonstrate that the activities/outcomes do not overlap?</i> 								
19	<p>Consultations before submission:</p> <ul style="list-style-type: none"> ▪ <i>How were the Lead IFI and EU Delegation involved in the project preparation?</i> ▪ <i>What kind of consultation process has taken place with the national/regional authorities (NIC or similar body)?</i> ▪ <i>Have endorsement letters by the Government and the IFI(s) been provided?</i> 		√	√	√	√	√	(√)	
20	<p>Institutional Framework of the Project:</p> <ul style="list-style-type: none"> ▪ <i>Is the information about the organizational set-up, implementation scheme and financial structure clear?</i> ▪ <i>Does the proposed core team of the Beneficiary have adequate experience for managing the project?</i> ▪ <i>Are the management structures in line with the project's size, duration, and needs?</i> ▪ <i>Are the management structures and procedures clear, transparent and fair?</i> ▪ <i>Are the administrative and financial management procedures explained and adequate?</i> 		√	√	√	√	√	√	

21	Project Budget and Financing Plan: <ul style="list-style-type: none"> ▪ Are the indicative budget and financing plan sufficiently detailed? ▪ Is the budget reasonable and realistic? ▪ Are there any unclear or unrealistic costs? Are there any excessive costs within the budget lines? if so, are they justified? ▪ Is a budget for visibility foreseen? ▪ Does the project financing plan present the appropriate mix of funding and leverage between loans and grants? ▪ Are all the funding sources provided in an accurate matter? 		√	√	√		√	√	√
22	Fiscal space and debt sustainability <ul style="list-style-type: none"> ▪ Is public debt described in absolute terms and relative to GDP, recent trajectory and expected medium term trajectory, public debt levels vs debt ceiling if applicable? ▪ How does the sovereign or sub-sovereign loan/guarantee attached to the project affect debt sustainability? 		√	√			√	(√)	(√)
23	Calculation of the WBIF Grant <ul style="list-style-type: none"> ▪ Is the WBIF grant amount accurately defined? ▪ Are the costs realistic and acceptable? ▪ Is the co-financing rate applied correctly to the different types of activities? ▪ Is there a clear link between the information presented in Section 21 and this Section? 		√	(√)			√	(√)	√

24	WBIF grant amount justification: <ul style="list-style-type: none"> ▪ Does the application explain how the WBIF grant amount was calculated? ▪ Is there a clear link between the information presented in Section 23 and this Section? 		√	(√)			√	(√)	√
25	Additionality of WBIF grant <ul style="list-style-type: none"> ▪ Are the expected impact and results sufficiently reflecting the expected outputs and the intended outcomes of the project? ▪ Is the positive impact relevant and well justified? ▪ Is the impact on gender equality clearly demonstrated? If the Action does not contribute to gender equality, is the justification reasonable and convincing? ▪ Why is the proposed grant funding necessary for the operation? 		√	(√)		√	√	√	√
26	Financial Leverage of the Project: <ul style="list-style-type: none"> ▪ What is the proposed financial leverage? ▪ Is the proposed leverage sufficient and coherent? 		√				√	(√)	(√)
27	Expected Results <ul style="list-style-type: none"> ▪ Are the indicators in accordance with the expected outcomes and proposed activities? ▪ Are the outcomes clearly defined, realistic (achievable) and quantified? ▪ Is the description of indicators adequate (description, measurement, baseline and target value)? ▪ Are there any unrealistic (unachievable) indicators? ▪ Are there any indicators missing? 		√	√	√	√	√	√	√

28	Project sustainability <ul style="list-style-type: none"> ▪ According to the application, do you think that the project will be sustainable when the grant support expires? ▪ Has the project considered environmental implications so that negative impacts on environment are either avoided or mitigated during the life of the project? ▪ Has the project incorporated mechanisms that guarantee equitable access to and distribution of project benefits on a continuous basis? 		√	√	√	√	√	√	√
29	Risk Assessment categories <ul style="list-style-type: none"> ▪ Are the identified mitigation measures for the risks sufficient? ▪ Are there additional risks that are not identified in the application? If so, please enumerate. 		√	(√)	(√)	√	√	(√)	√
30	Issues to be clarified before submission to the WBIF Steering Committee <ul style="list-style-type: none"> ▪ Were the issues (if any) described in a clear and coherent manner? 		√	√	√	√	√	√	√
31	Climate Mitigation and Adaptation Aspects: <ul style="list-style-type: none"> ▪ Is the contribution of the project to climate change mitigation/adaptation clearly demonstrated? ▪ Have basic environmental standards been incorporated into the design of the project proposal? ▪ Was the Lead IFI involved in allocating the Rio Markers? 		(√)			√	√		√
32	Indicative Project Calendar: <ul style="list-style-type: none"> ▪ Are the urgency and maturity of the requested grant contribution consistent with the calendar of the project? ▪ Are the activities and outputs in a logical time sequence? 		√	√	(√)	√	(√)		√

	<ul style="list-style-type: none"> ▪ Was the Lead IFI involved in the preparation of the project calendar? 								
33	<p>Description of procurement procedures:</p> <ul style="list-style-type: none"> ▪ Are the procurement procedures clearly presented in the application? ▪ Do they allow to complete the project in the proposed time and with the proposed resources? ▪ Are these procedures accepted to be equivalent to EC ones? 		√	(√)	(√)		√	(√)	√
34	<p>Monitoring, reporting and evaluation:</p> <ul style="list-style-type: none"> ▪ Are the monitoring, reporting and evaluation clearly described and sufficient? 		√	(√)			√	(√)	√
35	<p>Communication and visibility:</p> <ul style="list-style-type: none"> ▪ Are the communication activities in accordance with: <ul style="list-style-type: none"> - project theme - target groups - proposed activities - proposed outcomes? ▪ Is a visibility plan proposed? ▪ Are the communication activities in line with the EU visibility provisions and do they provide sufficient and clear visibility? ▪ Is a budget for visibility foreseen? 		√	√			√	(√)	√
	<p>Annexes:</p> <p>Is the information provided in each Annex well-defined, complete and in coherence with the information provided in the GAF?</p>		√	√	√	√	√	√	√